

**Statewide Energy Savings Assistance Program  
2017-2020 Cycle  
Policy and Procedures  
Manual**

Applicable to:

Pacific Gas & Electric Company  
Southern California Edison Company  
Southern California Gas Company  
San Diego Gas & Electric Company  
Southwest Gas Corporation  
Liberty Utilities (CalPeco Electric) LLC  
Golden State Water Company/Bear Valley Electric  
PacifiCorp D/B/A Pacific Power  
Alpine Natural Gas Operating Company

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

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## COMMON TERMS AND DEFINITIONS

- **CAM** – Common Area Measures
- **CARE** – California Alternate Rates for Energy
- **CHANGES** – Community Help and Awareness of Natural Gas and Electric Services
- **COL** – Conclusion of Law
- **CPUC** – California Public Utilities Commission
- **Customer** – Participant household or property owner or authorized representative for multifamily complexes
- **ESA** – Energy Savings Assistance Program (a ratepayer-funded energy efficiency program regulated by the CPUC)
- **FERA** – Family Electric Rate Assistance
- **IOU** – Investor-Owned Utility (interchangeable with “Utilities” and/or “Program Administrator”)
- **IS Manual** – Energy Savings Assistance Program California Installation Standards Manual
- **LIHEAP** – Low Income Home Energy Assistance Program
- **Low Income** – Income eligibility threshold is set at 200 percent of Federal Poverty Guidelines.
- **Multifamily Building** – A building that contains 5 or more attached units
- **Multifamily Complex** – Property on which there are one or more multifamily buildings
- **My Account/My Energy** – Utility portal that allows customer to view bill and access tools to help control energy costs
- **OP** – Ordering Paragraph
- **Outreach Worker** – ESA Program assessment/enrollment representative (interchangeable with “outreach specialist” and/or “enrollment specialist”)
- **P&P Manual** – California Statewide Energy Savings Assistance Program Policy and Procedure Manual
- **PU Code** – California Public Utilities Code pursuant to existing California Law
- **Service Provider** – ESA Program implementer (interchangeable with “contractor”)

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- **Service Territory** – Utility service area
- **SMJU** – Small Multi-Jurisdictional Utility (includes Southwest Gas Corporation, Liberty Utilities (CalPeco Electric) LLC, Golden State Water Company/Bear Valley Electric, PacifiCorp D/B/A Pacific Power, and Alpine Natural Gas Operating Company)
- **Single Family Building** – A building that contains one, two, three or four units

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## 1 Introduction

### 1.1 Overview

This *Statewide Energy Savings Assistance Program Policy and Procedures Manual*<sup>1</sup> (*P&P Manual*) describes the policies and procedures followed in the Energy Savings Assistance (“ESA”) Programs administered by Pacific Gas and Electric Company (“PG&E”), Southern California Edison Company (“SCE”), Southern California Gas Company (“SoCalGas”), and San Diego Gas & Electric Company (“SDG&E”); collectively referred to as the Investor-Owned Utilities (“IOUs”), as well as Southwest Gas Corporation, Liberty Utilities (CalPeco Electric) LLC, Golden State Water Company/Bear Valley Electric, PacifiCorp D/B/A Pacific Power, and Alpine Natural Gas Operating Company; collectively referred to as the Small Multi-Jurisdictional Utilities (“SMJUs”). Statewide ESA Program policy and procedures are approved and adopted by the California Public Utilities Commission (“Commission” or “CPUC”).

This manual provides policies and procedures for implementation of the ESA Program and is updated pursuant to the changes in the Program ordered in Commission Decision 16-11-022.<sup>2</sup> This *P&P Manual* references, and is intended to accompany, the *ESA Program California Installation Standards Manual* (“*IS Manual*”).

An electronic copy of this *P&P Manual* may be obtained at the CPUC website at <http://www.cpuc.ca.gov/iqap/>. If questions arise regarding interpretation of a certain policy or procedure, the Utilities shall use Commission Decision 16-11-022 or subsequent superseding decision as the overriding authority.

The policies and procedures in this *P&P Manual* are supplemented by the general and specific terms and conditions incorporated into contracts between the Utilities and their contract Service Providers as part of the ESA Program.

Updates in Program policies and procedures may be issued by the Utilities during the Program Year subject to approval by the CPUC. ESA Program Managers have the flexibility to deviate from established procedures to respond to cases of customer hardship and unusual circumstances. The Program Managers shall document any exceptions in the customer and project file. Changes in the means of implementing policies, procedures and standards will be discussed with contractors prior to being made.

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<sup>1</sup> Formerly known as the “Statewide Low-Income Energy Efficiency Policy and Procedures Manual”.

<sup>2</sup> Updates to this *P&P Manual* reflect changes from D.16-11-022, which became effective November 21, 2016, for the 2017-2020 ESA-CARE Program Cycle. Policies and procedures that are specific to the SMJUs are shown in Supplement A, which also reflects changes from D.18-08-020.

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## 1.2 Structure of this Manual

The remainder of this *P&P Manual* is organized as follows:

- **Section 2** specifies general statewide policies and procedures relating to customer and home eligibility for the ESA Program.
- **Section 3** discusses policies relating to customer outreach and customer relations.
- **Section 4** describes the services that are provided under the ESA Program in the initial home visit.
- **Section 5** lists the energy efficiency measures that are available to participants in the ESA Program.
- **Section 6** discusses policies relating to minor home repairs.
- **Section 7** describes policies and procedures relating to the installation of energy efficiency measures.
- **Section 8** summarizes general statewide inspection policies and procedures.
- **Section 9** discusses Service Providers' eligibility.
- **Section 10** describes policies and procedures relating to natural gas appliance testing and furnace repairs and replacements.



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## 2 Customer and Structural Eligibility

### 2.1 Overview

This section discusses the eligibility of individual households for ESA Program services. Eligibility of a household for measures offered through the Program depends on several factors, including:

- Household income;
  - Actual income documentation
  - Categorical eligibility
  - Self-certification
- Utility services provided to the property;
- The structure and type of property in which the household resides;
- Obtaining the approval of the property owner or authorized agent in the event the household resides in rental property;
- Previous ESA Program services provided; and
- The property's need for energy efficiency measures offered through the Program.

These eligibility requirements are explained below.

### 2.2 Customer Eligibility Requirements

#### 2.2.1 *Income Guidelines*

All the Utilities use ESA Program income guidelines established by the CPUC to qualify participants in the ESA Program.

These guidelines are provided to the Utilities by the CPUC on an annual basis. The income eligibility level for the ESA Program is set at 200 percent (“%”) of the Federal Poverty Guidelines Levels pursuant to Public Utilities Code.<sup>3</sup> Current ESA Program income guidelines can be obtained at the CPUC website at <http://www.cpuc.ca.gov/General.aspx?id=976>

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<sup>3</sup> See PUC Code §739.1 and §2790. Also Commission Resolution E-3254 (1992), Ordering Paragraph (OP) 3.

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## 2.2.2 Types of Income Included in Household Income

For the purposes of determining Program eligibility, all income is considered, from all household members, from all sources listed in **Table 2-1** whether taxable or non-taxable.<sup>4</sup> **Table 2-1** indicates the specific items included as income but is not limited for the purpose of determining eligibility for the ESA Program.

The following types of receipts **are not** considered household income for the purposes of determining eligibility:

- Loan proceeds, including student loans and reverse mortgages;
- Assets (money in bank accounts, a house, a car or other property of possessions);
- Housing subsidies;<sup>5</sup>
- Funds transferred from one applicant account to another; or
- Liquidation of assets (other than the portion representing capital or other gains).

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<sup>4</sup> See D.89-07-062 page 35.

<sup>5</sup> See D.14-08-030 OP 40, at page 120.

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**Table 2-1: Household Income Types**

Wages, salaries and commissions	401K payments or traditional IRA disbursements <sup>1</sup>
Alimony payments	Rental income and royalties <sup>2</sup>
Child support payments	School grants, scholarships or other aid <sup>1</sup>
Disability benefits	Self-employment earnings <sup>2</sup>
Foster care payments	Social security payments
Realized capital gains on assets	Supplemental Security Income (SSI) payments and State Supplemental Payments (SSPs)
Interest and dividends on assets	Temporary Assistance to Needy Families (TANF) payments <sup>3</sup>
Gambling/lottery winnings	Unemployment Benefits payments
General Relief /Cash Public Assistance <sup>3</sup> (County)	Veterans Administration Benefit payments
Monetary gifts (both one-time and recurring)	Workers Compensation payments
Insurance settlements or legal settlements <sup>1</sup>	Union strike fund benefits
Pension payments or withdrawals <sup>1</sup>	LIHEAP (Low Income Home Energy Assistance Program) <sup>3</sup>
Medi-Cal for Families (formerly Healthy Families) <sup>3</sup>	Bureau of Indian Affairs General Assistance <sup>3</sup>
Women, Infants, Children (WIC) <sup>3</sup>	NSLP (National School Lunch Program) <sup>3</sup>
<p><sup>1</sup> Not including loan proceeds.</p> <p><sup>2</sup> For rental income and self-employment income, only positive values of income are included. Negative net rents and negative self-employment income are ignored.</p> <p><sup>3</sup> Where not provided in cash distributions, participation in these public purpose programs are considered for categorical eligibility enrollment purposes only. Categorical eligibility enrollment requirements may differ across utilities. See Supplement A for SMJU treatment.</p>	

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## *2.2.3 Verification of Income*

### *2.2.3.1 Actual Income Documentation Required*

When income documentation is required, income documentation must be reviewed, recorded, copied and securely stored by Service Providers prior to the installation of measures for all prospective participants. To ensure the privacy and safety of customer information, bank accounts and social security numbers, or other sensitive customer information must be redacted.

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**Table 2-2: Types of Income Documentation**

Type of Income	Documentation
Wages, salaries and Commissions	Copy of customer's payroll check stub(s) OR Federal income tax filing showing gross income OR affidavit from employer (for cash wages only, and only where just one employer)
Alimony or Child Support Payments	Copy of check, bank statement, OR most recent court document stating amount
Disability benefits, Foster Care payments, Unemployment Benefits, VA Benefits, Workers Compensation	Copy of checks stubs OR copy of most recent award letter
Capital or Other gains	Federal Income Tax filing showing capital or other gains
Food stamps	Copy of most recent award letter OR food stamp/cash issuance letter (indicate TANF or General Relief)
Gambling/lottery winnings	Determined on case-by-case basis
General relief	Copy of most recent award letter (Notice of Action) OR copy of un-cashed check(s) OR copy of direct deposit statement(s)
Monetary gifts	Copy of customer's bank statement OR affidavit from gift giver
Proceeds from insurance settlements or legal settlements	Copy of settlement document
Interest and dividend income	Copy of customer's bank statement(s) OR copy of customer's investment statement(s) OR Federal Income Tax filing showing gross income
Pension or 401K payments or Withdrawals	Copy of customer's check stubs OR copy of most recent award letter OR Form 1099R from prior year OR copy of most recent bank statement
Rental income <sup>1</sup>	Tax return (Form 1040, Schedule E, Total Rental Real Estate and Royalty Income or Loss) showing rental income OR copy of rental receipts OR copy of rental agreement specifying rent amount and affidavit from tenant
School grants, scholarships or other aid	Copy of award letter OR copies of cancelled checks
Self-employment earnings <sup>1</sup>	Income statement showing most recent quarterly adjusted earnings plus prior year's tax return (1040 Schedule C, Net Profit or Loss) OR written affidavit from an accountant or applicant
SSI payments, TANF payments, or Social Security payments	Copy of most recent award letter (Notice of Action) OR copy of un-cashed check(s) OR copy of customer's direct deposit statement
Union strike fund benefits	Copy of benefits payment stub
<sup>1</sup> For rental income and self-employment income, only positive values of income are included. Negative net rents and negative self-employment income are ignored.	

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CARE **self-certification** does not automatically qualify a household for ESA Program, except in the case of group homes or targeted self-certification areas, where it is specifically allowed.

In the case where the utility has **verified** that the customer is CARE-eligible within the past year, such income verification may be used for ESA Program participation.

The utility will periodically audit enrollment information and /or income documentation retained by the Service Providers. If information and/or documentation is not complete and correct for a participant, payment to the Service Providers for the provision of ESA Program services to that unit may be disallowed.

The kinds of income documentation required by the Program include but are not limited to those presented in **Table 2-2**. In applying these documentation requirements, the following stipulations must be observed:

- Current cash award letters must include the value of the award, if applicable, must also be dated within one year, and must list the customer's name.
- Affidavits relating to gifts must indicate the amount and frequency of the gift(s). They must also contain the name, phone number, address and signature of the giver.
- In determining rental income, a renter-landlord relationship exists between household members when a room or rooms in the house is being rented and the **renter is not a dependent of anyone** in the household. In that case, the **renter is not counted** as a household member and the rent paid **is counted** as part of the total household income. If the **renter is a dependent**, the **renter is counted** as a household member (even if he or she is paying rent) and **his or her income is considered** part of the total household income. A dependent is anyone claimed on the applicant's income tax return.
- Federal income tax documentation, when available, must include copies of all W-2s, 1099s, and profit/loss schedules or IRS tax transcript.
- Affidavits from an employer, who pays the applicant cash wages must include the company name, address and phone number. It must also include the name of the applicant, total amount paid to the applicant, and the frequency of payments. It must contain a signature from the employer's authorized representative.
- If the applicant receives cash wages from multiple employers for jobs like mowing lawns, babysitting, handyman services, casual day labor, etc., a self-employment affidavit from the applicant is acceptable.

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- In cases where a household claims no income for the past 12 months, the applicant must demonstrate his or her means of financial support other than income. If the applicant cannot provide documentation of either income or other means of support, Program services will not be performed until such information is provided.

### **2.2.3.2 Categorical Eligibility**

Categorical eligibility enrollment is another procedure designed to ease enrollment processes in both ESA and CARE programs. Customers are eligible to participate under categorical eligibility,<sup>6</sup> and can enroll in the ESA Program based on current participation in another local, state, or federal means-tested program.<sup>7</sup>

Applicants utilizing the categorical eligibility option to enroll in the ESA Program must present documentation reflecting current participation in a Commission approved program in order to satisfy the “income documentation” component. To protect the privacy of program applicants, such documentation must be reviewed, recorded, copied and securely stored by Service Providers prior to the installation of measures for all prospective applicants.

### **2.2.3.3 Targeted Self-Certification**

Targeted Self-Certification is a third enrollment procedure designed to ease enrollment processes in ESA Program. Eligibility for self-certification<sup>8</sup> is determined by each utility based on their identification of geographic areas of their service territory where 80% of the customers are at or below 200% of the federal poverty line. Applicants residing within these targeted self-certification areas must sign a “self-certification statement” certifying that they do indeed meet the current income guidelines established for participation in the ESA Program. This self-certification statement is to be retained in lieu of other income documentation or proof of participation in a categorical eligibility program.

### **2.2.3.4 Household Income Calculation Procedures**

Household income guidelines are based on all gross annual income. For self-employed individuals, gross income is defined to be net profit and loss from self-employment.

If a full 12 months of income information is not available, or if there has been a change in the employment status of the household over the past 12 months, it may be necessary to annualize income from a shorter period of time.

All Service Providers shall compute annual income as accurately as possible. The calculations

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<sup>6</sup>Categorical eligibility approved in Decision 06-12-038 for SCE, PG&E, SoCalGas, and SDG&E OP 21. See Supplement A for SMJU treatment.

<sup>7</sup> CPUC approved categorical programs, reflected in **Table 2-1**, can be located at: <http://www.cpuc.ca.gov/General.aspx?id=976>.

<sup>8</sup> Per D.16-11-022 OP 11, households receiving only Energy Education are not eligible for self-certification.

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used will depend on the type of records available from each household member. Since all household members may not have the same type of income records, it may be necessary, and appropriate, to use more than one method when documenting income for different members of the same household. The applicable calculation method used may be disclosed to the customer upon request.

## ***2.2.4 Determining Household Size***

Household size is the current number of people living in the home as permanent residents. Friends or family on a temporary visit (less than 6 months) are not considered household members nor are their earnings part of household income.

Children and/or other dependents continually residing in the household *only* on weekends, holidays, or vacations may be counted as part of the household only if the family claims them as dependents on their federal income tax filing. Children by previous marriages who do not reside in the home, or children away at school, are not considered household members, even if they are receiving child support, unless they are claimed as dependents on the applicant's federal income tax filing.

## ***2.2.5 Qualifying Multifamily Buildings***

The ESA Program makes use of fractional income qualification for certain measures for multifamily buildings. The terms of income qualification are as follows:

- For the purposes of determining income eligibility, multifamily buildings are defined as those with five (5) or more attached units. Duplexes, triplexes, and fourplexes are qualified as single-family units for income eligibility determinations.
- **Table 5-1** provides a list of measures available to qualified multi-family buildings.
- Unoccupied and other non-qualified multifamily units may be weatherized as long as the multifamily building satisfies the “80% rule” for income qualification.
- The “80% rule” means that to qualify an entire multifamily building for measures offered by the Program, at least 80% of all units must be occupied by income-qualified households.
- If at least 80% of all units adjacent to a common attic space satisfy the 80% rule, that attic space may be treated even if the 80% requirement is not satisfied for the entire building. If fewer than 80% of the units are occupied by income-qualified households, individual units occupied by income qualified households may still receive all feasible measures.



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- Service Providers must review, record, copy and securely store income documentation for all households used to qualify an apartment building. The provider must also make its best effort to review and record income documentation for all other households in the multifamily building (i.e., those not used to meet the 80% qualification standard).
- Multifamily buildings may be eligible for whole building ESA Program enrollment without the need for door-to-door tenant income documentation. Buildings eligible for “whole building” enrollment are located in a PRIZM Code, census tract, or federally recognized tribal reservation, or zone where 80% of households are at or below 200% of federal poverty guidelines; a Promise Zone as designated by the federal government, or the building is registered as low-income affordable housing with ESA Program qualified income documentation that is less than 12 months old on file. A copy of the owner or authorized representative’s whole building certification must be kept in the file for that customer.
- Renters residing in multifamily properties shall be provided with information and pre-paid postage that they can pass on to their landlords on behalf of the ESA Program. In the course of the customer enrollment, the outreach worker shall provide a description of multifamily program services available to the income qualified household.
- Multifamily buildings may be eligible for common area measures offered by the Program. Buildings eligible for common area measures must provide affordable housing to low-income Californians in deed-restricted, government and non-profit owned multifamily buildings.<sup>9</sup> To qualify for common area measures offered by the Program, at least 65% of all occupied units in that multifamily building must be occupied by low income households, who are eligible for the ESA Program. A copy of the owner’s or authorized representative’s certification of ESA Program income eligibility must be kept in the customer files for that property owner.

## 2.3 Service Eligibility

### 2.3.1 General Service Eligibility Conditions

To be eligible for the ESA Program, a customer must be served by an active utility account/meter (includes master meter). In an area served by different investor-owned gas and electric Utilities (e.g., the SoCalGas-SCE overlap area) the fuel source for the dwelling’s space

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<sup>9</sup> D.16-11-022 at p. 202 requires the utilities to benchmark multi-family properties (whether treated through the common area approach or simply reported on through the SPOC process) through EPA Portfolio Manager, beginning with master-metered buildings.

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heat shall determine which utility will be the provider of air sealing/envelope and attic insulation measures to the dwelling if that fuel source is either natural gas or electricity. If a non-IOU heating fuel is used, *and* the home has air conditioning, the electric IOU will be the provider of weatherization measures other than infiltration-reduction measures.

Measure-specific eligibility requirements will be followed in the ESA Program. Not all measures are offered in all utility services territories or climate zones. **Table 5-1** shows the measures offered by each utility for all housing types. See **Table SA-1** for SMJU measure-specific eligibility requirements.

### 2.3.2 Referrals

In order to provide the maximum opportunity for eligible customers to receive all feasible measures, the Utilities will set up a referral system with each other. In addition, the Utilities will work with community agencies and local governments including, local Department of Community Services and Development (CSD) agencies, to expand ESA Program leveraging opportunities. This will increase the number of measures available to eligible customers by sharing the cost of measures offered by both programs.

In 2016, CSD Service Providers were authorized to provide ESA Program services in accordance with the leveraging platform established in Commission Decision D.16-11-022.<sup>10</sup> The standards provided in this *P&P Manual* shall be observed by CSD Service Providers, to the extent applicable, where ESA Program services are provided by CSD.

In areas where a customer receives natural gas and electric services from separate Utilities, those Utilities will work together to ensure the customer receives all feasible ESA Program measures. The utility installing infiltration measures will conduct natural gas appliance testing if the utility serves natural gas somewhere in its service area (and thus has trained gas service representatives). If the customer has electric space heat served by an electric-only utility, the electric utility will not install infiltration measures if natural gas appliances are present.

The following steps shall be taken to mitigate the duplication of costs otherwise associated with customers participating in two utility programs:

- First, customers that have provided proof of income qualification or deemed categorically eligible by one IOU, shall be considered eligible by all other IOUs serving this customer; and
- Second, gas and electric Utilities will offer common energy education in overlapping

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<sup>10</sup> D.16-11-022 Dicta at p. 201, 368-369 and Ops 31-34, 47-48.

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service areas so that customers receive education from only one utility.

## 2.4 Structural Eligibility

### 2.4.1 Public Housing

Public housing is eligible for participation in the ESA Program, but must meet the program eligibility requirements in order to participate. (Note: this does not include on-base military housing, unless utility service(s) are provided by the Utilities.)

### 2.4.2 Housing Type

Single family homes, multifamily units, and mobile homes are eligible to participate in the program.

- Duplexes, triplexes, and fourplexes will be qualified as single-family homes.
- Multifamily buildings are defined as those with five (5) or more attached units.
- Mobile homes are defined by California Health and Safety Code (Division 13, Part 2, Chapter 1) as having “eight feet or more in width, or 40 feet or more in length ... or 320 or more square feet.” A mobile home is a manufactured home regulated by the U.S. Department of Housing and Urban Development code (24 CFR, Part 3280.2) and built on a trailer chassis and designed for highway delivery to a permanent location, and it can be a single-, double-, or triple-wide home.

The Utilities may promote or limit the treatment of housing types in individual program years if these actions are consistent with the achievement of the programmatic initiative.

### 2.4.3 Housing on Non-Residential Rates

In general, only residential customers on residential rates are eligible to participate in the ESA Program. However, group homes on non-residential rates are eligible for ESA Program services as long as they are currently eligible for CARE under current CARE guidelines applicable to group living facilities<sup>11</sup>, and the structure in question is a single family, multifamily or mobile home suitable for weatherization under ESA Program standards.<sup>12</sup>

CARE-eligible facilities include but are not limited to the following.

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<sup>11</sup> See D. 92-04-024, April 8, 1992; D. 92-06-060, June 17, 1992; D. 95-10-047, October 18, 1995. Also see *Commission Advisory and Compliance Division, Workshop Report on California Alternate Rates for Energy (CARE): The Development of Guidelines to Implement CARE for Migrant Farmworker Housing, Agricultural Employee Housing, and Employee Housing*, May 1995

<sup>12</sup> It should be noted that CARE income eligibility requires that 100% of the residents of the facility (other than live-in staff) meet the CARE income guideline. This income eligibility criterion will be applied to group homes for the purposes of determining ESA Program income eligibility.

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- Migrant farm worker housing centers, as defined in Section 50710 of the Health and Safety Code, provided that 70% of all energy usage in master-metered facilities and 100% of all energy usage in individually metered facilities are residential.
- Privately owned employee housing, as defined in Section 17009 of the Health and Safety Code, that is licensed and inspected by the state and local agencies pursuant to Part I of Division 13, and in which 100% of all energy use is residential.
- Housing for agricultural employees operated by non-profit entities, as defined in Subdivision (b) of Section 1140.4 of the Labor Code, and that has an exception from local property taxes pursuant to subdivision (g) of the Revenue and Taxation Code, provided that 70% of all energy usage in master-metered facilities and 100% of all energy usage in individually-metered facilities is residential.
- Non-profit group living facilities, defined as transitional housing (such as a drug rehabilitation or halfway house), short- or long-term care facilities (such as a hospice, nursing home, children's home or seniors' home), group homes for physically or mentally challenged persons, or other nonprofit group living facilities.
- Homeless shelters, hospices and women's shelters with the primary function of providing lodging and which are open for operation with at least six beds for a minimum of 180 days and/or nights (including satellite facilities in the name of the licensed corporation, where 70% of the energy supplied is for residential purposes.
- As mandated by AB 868 and reiterated by an October 1, 2004 Administrative Law Judge's Ruling,<sup>13</sup> migrant housing centers are presumed to meet CARE income eligibility guidelines without verification. This presumption will also be used in determining ESA Program income eligibility of such facilities. For the purpose of determining eligibility of other types of housing on non-residential rates, income qualification shall be considered satisfied if the facility is CARE eligible. These facilities represent a unique situation and this income verification procedure shall not be considered a precedent for other circumstances.

## 2.5 Home Ownership Documentation

### 2.5.1 Overview

Home ownership must be verified. The legal owner or authorized agent must sign the property owner authorization form. It is the responsibility of the Service Provider to review all supporting

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<sup>13</sup> Administrative Law Judge's Ruling Seeking Input Regarding Assembly Bill 868 (Care Eligibility for Migrant Housing Centers), October 1, 2004, p.5

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documents provided to ensure proof of home ownership. If a home is in the name of a deceased spouse, the surviving spouse should be considered as the owner. Service providers and individuals signing property owner authorization are verifying that the property owner is authorized to sign agreement to participate in ESA Program, and authorizes ESA Program services for that property. A copy of the signed property owner authorization must be maintained in the customer or project file.

Any of the following may be used for home ownership documentation.

- Current loan or mortgage documents;
- Property tax records or bills;
- Homeowner property insurance (declaration page);
- Mortgage payment invoices or book;
- Title search service;
- Deeds; and
- Current Mobile Home Registration from Department of Housing and Community Development or DMV certificate of title for mobile home.

## ***2.5.2 Multiple Home Ownership***

If the home is owned by more than one person, the homeowner will be considered any one of the persons whose name appears on the ownership document.

## ***2.5.3 Life Estate/Living Trust***

A homeowner may have established a "Life Estate" or "Living Trust." This occurs when the property is deeded to another individual or trust, but the original owner maintains control of the property. The original owner (trustee) may sign as the property owner only if he or she has a copy of Life Estate or Living Trust documents. Service Providers must review and verify that the individual signing the property owner authorization is authorized to do so when the property is the subject of a "Life Estate" or "Living Trust."

## ***2.5.4 Power of Attorney***

In cases where the property owner is not available to sign on property owner authorization, any person having a Power of Attorney for that owner may sign the form.

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## *2.5.5 Property Management Companies*

Authorized representatives of property management companies may sign for property owners for both single family and multifamily agreements under the following conditions:

- The property management company has a standard Power of Attorney agreement with the property owner; or
- The property management company has a signed Management Agreement with the owner authorizing the property management company to act as the agent for the specific property; or
- Any other documentation that the utility may require to establish that an agreement exists between the property owner and the management company.

A copy of any supporting documentation must be kept in the customer's file.

## **2.6 Treatment of Rental Units**

### *2.6.1 Property Owner Approval*

In general, rental units may not receive Program Services and Measures until a property owner authorization has been received. This approval must cover the participation of the unit in the Program as well as the installation of specific measures. Such approval is valid for a period of 12 months from the date it is signed by the property owner or authorized agent. If approval of the Property Owner is not received before the installation of such services, the Service Provider will be required to reimburse the utility for all payments received from the utility for the measures in question; with prior written authorization from the Utilities' Program Manager, Service Providers may proceed with the installation of services and measures that do not directly affect the condition and/or structure without the signed property owner authorization.

### *2.6.2 Eligibility of Rental Units for Certain Measures*

If the Property Owner's permission is required and has been obtained, and that other eligibility conditions are met, rental units may be treated under the Program. However, the following policies relating to specific measures shall be applied. Not all measures listed are offered in all utility service territories or climate zones. See **Table 5-1**.

- Rental units are not eligible for furnace replacements or major furnace repairs associated with the mitigation of NGAT failures. However, service and adjustments may be made to furnaces and water heaters if these actions would improve the performance of the system at a minimal cost.

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- Refrigerator and air conditioner replacements may be provided at no charge to either the tenant or the property owner, except in the instance where the property owner owns the refrigerator or air conditioning unit that is replaced and pays the utility bill. In these instances, the Utilities may make payments to installation Service Providers to cover part of the cost of replacement.
- *Second Refrigerator Replacement:*<sup>14</sup> The electric Utilities shall offer second refrigerators where at least six or more people are living in the household.<sup>15</sup> For households receiving a primary refrigerator replacement, which have a second inefficient unit; the Service Provider shall first encourage the household to remove and recycle the secondary unit, by providing customer education, including rebates available to retire and recycle the second inefficient unit.<sup>16</sup> If the customer declines to remove and recycle the inefficient second unit, then the Service Provider may offer replacement with a more efficient second unit using the same guidelines as the primary refrigerator replacement.<sup>17</sup>
- The Utilities may opt to provide, at a nominal charge to the property owner, evaporative coolers, refrigerator replacement, and replacement air conditioners and heat pumps. For those instances, the Utilities may make payments to installation Service Providers to cover part of the cost of replacement.

## 2.7 Previous Program Participation

The “Go-Back” Rule is eliminated.<sup>18</sup> Utilities will conduct household re-treatment based on household energy usage, prioritizing high energy users.<sup>19</sup> Utilities apply additional prioritization criteria within their service territories, consistent with guidelines in D.16-11-022.

## 2.8 Need for ESA Program Services

The Modified 3-Measure Rule is eliminated.<sup>20</sup> A home must receive all feasible measures offered under the ESA Program.

As stipulated in the standard non-feasibility criteria<sup>21</sup>, if a measure is already in place and

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<sup>14</sup> This rule applies to all second refrigerator replacements, for any property type, and is not limited to rental units. See Supplement A for SMJU electric Utilities treatment.

<sup>15</sup> D.16-11-022 dicta at p.102-103.

<sup>16</sup> D.16-11-022 dicta at p.102.

<sup>17</sup> Id.

<sup>18</sup> D.16-11-022 OP 9. D.18-08-020 OP 4.

<sup>19</sup> D.16-11-022 CL 13.

<sup>20</sup> D.16-11-022 OP 9. D.18-08-020 OP 4.

<sup>21</sup> ESA California Installation Standards

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operating properly, even if it does not meet the current Installation Standards for new installations, it should not be removed and replaced.<sup>22</sup>

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<sup>22</sup> If a customer refuses a measure, that measure is considered non-feasible. See Section 7.



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## 3 Customer Outreach and Customer Relations

### 3.1 Introduction

This section presents statewide ESA Program policies and procedures in the areas of customer outreach and customer relations. Subsection 3.2 discusses policies relating to the recruitment of participants for the Program, while Subsection 3.3 focuses on the maintenance of proper relationships with customers. The policies in this section are supplemented by additional provisions in both specific and general terms and conditions included in formal agreements between Utilities and Service Providers.

### 3.2 Customer Outreach

Service Providers enrolling customers for participation in the ESA Program are required to follow strict policies relating to customer outreach and enrollment. Customer outreach policies cover promotional guidelines, limitations on representations made by Service Providers and their employees, outreach interactions, and tracking. Utility and Service Provider outreach efforts may target those customers with the highest energy usage, considering energy burden and/or energy insecurity.<sup>23</sup>

#### 3.2.1 Promotional Guidelines

Only promotional materials approved by the utility may be used to promote participation in the ESA Program.

#### 3.2.2 Representations by Service Provider and Provider's Employees

Neither the Service Provider nor his/her employees may imply that they are employees of the utility or affiliated with the utility in any way other than through the ESA Program.

#### 3.2.3 Outreach Interactions

Outreach personnel must effectively contact and interact with a diverse set of customers. These personnel shall have available any necessary multilingual staff and/or translators and shall make every effort to resolve barriers to communication attributable to persons with disabilities.

#### 3.2.4 Outreach for Customers with Disabilities

Service Providers shall serve and conduct outreach to customers with disabilities. Customers with disabilities may be identified based on their enrollment in the Medical Baseline Program, enrollment in the Deaf and Disabled Telecommunications Program (DDPT), enrollment in ESA

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<sup>23</sup> Public Utilities Code Section 327(a)(6)  
Public Utilities Code Section 2790 (d).

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Program through a disability-based community-based organization (CBO), requests for accessible formats of written materials or use of Tele-Typewriter/Telecommunications Device for the Deaf (TTY/TDD), visibility of an observed disability, and/or self-identification as having a disability. Service Providers shall not ask the customer if he/she has a disability.

## **3.3 Customer Relations**

### ***3.3.1 Introduction***

It is imperative that both Service Providers and utility employees maintain proper customer relationships. The ESA Program is a customer service-oriented energy efficiency program, and professional and courteous service should be delivered accordingly. Specific policies with respect to customer relations are specified below.

### ***3.3.2 Expedient Service***

Service must be provided to participants in a reasonable time frame, as determined by the utility. Service Providers must inform customers of the approximate amount of time required for installations, inspections and gas appliance testing (if required), and shall provide services as expeditiously as possible. The number of visits to a home shall be kept to a minimum.

### ***3.3.3 Other Work***

Only work directly associated with providing ESA Program authorized services to participating customers may be billed to the ESA Program. The Service Provider is prohibited from selling other services to the customer or charging the customer for any other service.<sup>24</sup>

### ***3.3.4 Staff Identification***

All Service Providers or subcontractor employees who engage in customer contact must always wear identification badges provided or approved by the utility. Each badge must always be visible and include a color photo of the employee. If the Service Provider produces badges, templates for identification badges will be provided by the utility. The Service Provider shall immediately return the ID badges of all personnel no longer working for the Service Providers or its subcontractors on the ESA Program. In the event the Service Provider is unable to return a badge, the Service Provider shall immediately notify the utility.

### ***3.3.5 Crew Appearance***

ESA Program Service Providers are responsible for the courtesy and appearance of their employees. Discourteous personnel and unprofessional appearance will not be tolerated in this program and may constitute grounds for contract termination.

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<sup>24</sup> This provision does not preclude the possibility of requiring a co-payment for the installation of one or more measures, if approved by the utility.

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### ***3.3.6 Customers 18 Years or Older***

In general, Service Providers shall enter customer's residences only when adults, eighteen (18) years of age or older are present. The only exception to this rule is that Service Providers may enter the home of a customer under eighteen (18) years of age if the customer is married or has been declared an emancipated minor by the courts.

### ***3.3.7 Customer Complaint Procedures***

The Service Provider must make every effort to resolve and document customer complaints. The Service Provider must notify the utility or its designee of the status of each complaint within 24 hours of the Service Provider's receipt of the complaint. If the complaint deals with customer safety, the Service Provider must resolve it within 24 hours. If the complaint does not relate to customer safety, the Service Provider must resolve the complaint to the satisfaction of the customer as required by the utility. The acceptability of the Service Provider's resolution of complaints will be determined at the sole discretion of the utility. If the Service Provider has not resolved the complaint within the mandated period, the Service Provider shall notify the utility or its designee of this failure.

### ***3.3.8 Substance Abuse and Smoking Policy***

In addition to local and state laws, Service Provider personnel shall not be under the influence of drugs or alcohol nor be using drugs or alcohol anytime when performing ESA Program work. Smoking is always prohibited within the residence being served and on the customer's property.

### ***3.3.9 Incident Reports***

Service Providers must immediately contact the utility or its designee to provide an incident report if during a home visit there is damage to a customer's home and/or property, or if the Service Provider's employee has been accused of an illegal act. Within 24 hours, the Service Provider will inform the utility or its designee of the resolutions of all such incidents.

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## 4 Procedures for Customer Home Visits

### 4.1 Introduction

This section describes the procedures to be followed by ESA Program outreach workers and Service Providers during visits to a participating home. These procedures cover the provision of general program information, the collection of data on the household and the property, the completion of in-home energy education, the completion of the in-home energy assessment, and the installation of measures as approved by each utility.

### 4.2 Description of Program Services

In the course of the customer enrollment, an outreach worker shall provide a thorough description of ESA Program services available to the income qualified household. At a minimum, this description must cover the following services:

- An overview of the ESA Program, including program goals, eligibility requirements, eligible measures, and procedures. The procedures to be covered by this description must encompass in-home energy education, available energy efficiency services and minor home repairs, general installation procedures, inspection procedures, and natural gas appliance testing procedures (if applicable).
- Other programs designed to repair/replace furnaces or install other energy efficiency measures (if these are offered as separate programs).
- The California Alternate Rates for Energy (CARE) Program. Outreach workers will also aid in enrolling the customer in CARE if the customer chooses to participate in it.
- Outreach workers will also aid in enrolling the customer in the utilities “My Account” portal, if the customer chooses to participate in it.
- Other utility programs designed to provide services to low-income customers, including level-payment programs, medical baseline programs, and other energy efficiency programs for which the customer may be qualified.
- Similar programs offered by CSD and other known energy related programs.

The outreach worker may also describe other utility and non-utility low income assistance and energy efficiency programs. At no time shall outreach workers promote or provide fee-based services to customers in lieu of free services offered under the ESA Program.

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## 4.3 Data Collection

During the initial interview, the outreach worker will also collect data needed to document eligibility and to meet tracking and reporting requirements. In general, information including, but not limited to the following must be collected:

- Name, address and phone number of applicant,
- Senior/disability status of applicant or other permanent household member, as observed by the assessor or voluntarily provided by the applicant,
- Residence type and owner/renter status,
- Gas and/or electric account information,
- Appliance/HVAC system information,
- Customer unwillingness/inability to participate, and
- Home square footage.

Demographic data may also be collected if offered by the customer.

## 4.4 In-Home Energy Education

In-home energy education will be provided to all income-eligible applicants using forms and checklists provided by the Utilities. The Utilities shall not count a household as “treated” if provided energy education alone.<sup>25</sup>

In-home energy education will cover the following general areas: heating and cooling usage, water heating system usage, major electric and gas appliance usage, small appliance usage, benefits of energy efficiency programs in reducing greenhouse gas emissions, water conservation, and lighting usage.

Specific topics to be covered in the course of in-home energy education must include but are not limited to the following<sup>26</sup>:

- The general levels of usage associated with specific end uses, installed program measures and appliances

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<sup>25</sup> D.16-11-022 OP 11.

<sup>26</sup> Utilities may include additional topics specific to their Service Territories, and Climate Zones where applicable.

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- The impacts on usage of individual energy efficiency measures offered through the ESA Program or other Programs offered to low-income customers by the utility
- Practices that diminish the savings from individual energy efficiency measures, as well as the potential cost of such practices
- Ways of decreasing usage through changes in practices
- Information on CARE, the Medical Baseline Program, Family Electric Rate Assistance (FERA), Low Income Home Energy Assistance Program (LIHEAP), Community Help and Awareness of Natural Gas and Electric Services (CHANGES), and other available programs
- Appliance safety information
- Understanding utility bills and current utility rates
- Greenhouse gas emissions
- Water conservation
- CFL disposal and recycling

## **4.5 In-Home Energy Assessment**

An assessment of the structure will be completed on homes with income-qualifying applicants using utility approved forms and/or tools. The assessment will be completed by the Service Provider, prior to the installation of any measures. The assessment will identify feasible measures which may be installed through the Program. The customer should be educated and informed on the procedures used to conduct natural gas appliance testing where applicable.

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## 5 Program Measures

### 5.1 Introduction

This section identifies energy efficiency measures available through the ESA Program and discusses the means by which changes in eligible measures are made over time. Subsection 5.2 refers to the measures offered under the program, while Subsection 5.3 outlines the process that will be used to evaluate measures for inclusion in the program in future years.

### 5.2 Program Measures

**Table 5-1** indicates the specific program measures that may be provided to participants for the ESA Program in accordance with the *IS Manual*.

**Table SA-1**, found in Supplement A of this *P&P Manual*, indicates the specific program measures that may be provided to participants for the SMJUs' ESA Program in accordance with the *IS Manual*.

### 5.3 Consideration of Changes to Measure List

Utilities jointly evaluate existing program measures in the course of developing recommendations for programs in subsequent years. Measures are evaluated using all available information on both costs and benefits (including energy benefits as well as non-energy benefits), and from that information the Utilities develop a set of recommendations for CPUC approval.

If warranted by the evidence, these recommendations may vary across climate zones. The Utilities will also implement a process for considering new measures to be added to the Program in accordance with CPUC directives. This process will involve the issuance of a solicitation for recommendations for new measures and assessment of the cost-effectiveness of the new measures proposed.

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**Table 5-1: Eligible Measures**

Table 5-1: Eligible Measures<sup>1</sup>

Measure	PG&E				Renters Eligible	SDG&E				Renters Eligible	SCE				Renters Eligible	SCG				Renters Eligible	
	CZ	S F	M F	M H		CZ	S F	M F	M H		CZ	S F	M F	M H		CZ	S F	M F	M H		
<b>Heating, Ventilation &amp; Air Conditioning</b>																					
Blower Motor Retrofit	11, 12, 13, 14	✓	✓	✓	✓																
Gas Furnace Repair/Replace <sup>4</sup>	All CZ	✓	✓	✓		7, 10 Gas	✓	✓	✓								All CZ	✓	✓	✓	
High Efficiency Furnace Repair/Replace <sup>5</sup>	All CZ	✓	✓	✓													All CZ	✓	✓	✓	
Forced Air Unit Standing Pilot Light Conversion						All CZ Gas	✓		✓	✓							All CZ	✓	✓	✓	✓
Room A/C Replacement	11, 12, 13, 14	✓			✓	10	✓	✓	✓	✓	10, 13, 14, 15	✓	✓	✓	✓	✓					
Central A/C Replacement	11, 12, 13, 14	✓			✓						13, 14, 15	✓	✓	✓	✓	✓					
Central Heat Pump Replacement	11, 12, 13, 14	✓	✓	✓	✓						13, 14, 15	✓	✓	✓	✓	✓					
Smart Thermostats	All CZ	✓	✓	✓	✓	7, 10, 14, 15	✓	✓	✓	✓	All CZ	✓	✓	✓	✓	✓	All CZ	✓	✓	✓	✓
Efficient Fan Controller	All CZ (Except SF & MF 1,5, 6 and MF 3)	✓	✓	✓	✓	7, 10 Elec	✓	✓	✓	✓	13, 14, 15	✓	✓	✓	✓	✓					
Duct Sealing	All CZ	✓		✓	✓	7, 10 Gas	✓		✓	✓											
						7, 10 Elec	✓			✓											
Prescriptive Duct Sealing																	All CZ	✓		✓	✓
Evaporative Coolers	1, 2, 3, 4, 11, 12, 13, 14, 16 (Except MH 1)	✓		✓	✓						10, 13, 14, 15, 16	✓		✓	✓	✓					



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Table 5-1: Eligible Measures<sup>1</sup>

Measure	PG&E				Renters Eligible	SDG&E				Renters Eligible	SCE				Renters Eligible	SCG				Renters Eligible	
	CZ	S F	M F	M H		CZ	S F	M F	M H		CZ	S F	M F	M H		CZ	S F	M F	M H		
<b>Maintenance</b>																					
Furnace Clean & Tune						7,10	✓	✓	✓	✓						All CZ	✓	✓	✓	✓	
						15			✓	✓											
Central A/C Tune-up / Services	2, 4, 6, 11, 12, 13, 14	✓	✓	✓	✓	10		✓		✓	13, 14, 15	✓	✓	✓	✓						
<b>Enclosure</b>																					
Air Sealing/Envelope <sup>2</sup>	All CZ	✓	✓	✓	✓	7,10, 15	✓	✓	✓	✓	All CZ Elec	✓	✓	✓	✓	All CZ	✓	✓	✓	✓	
						14, 15 Elec	✓			✓											
						15 Gas			✓	✓											
Attic Insulation	All CZ	✓	✓		✓	7, 10, 14 Elec	✓			✓	All CZ Elec	✓	✓	✓	✓	All CZ	✓	✓		✓	
						7, 10 Gas	✓	✓		✓											
Minor Home Repairs <sup>3</sup>	All CZ	✓	✓	✓	✓	All CZ	✓	✓	✓	✓	All CZ Elec	✓	✓	✓	✓	All CZ	✓	✓	✓	✓	
<b>Domestic Hot Water</b>																					
Faucet Aerators	All CZ	✓	✓	✓	✓	All CZ	✓	✓	✓	✓	All CZ Elec	✓	✓	✓	✓	All CZ	✓	✓	✓	✓	
Low-Flow Showerhead	All CZ	✓	✓	✓	✓	All CZ	✓	✓	✓	✓	All CZ Elec	✓	✓	✓	✓	All CZ	✓	✓	✓	✓	
Water Heater Repair/Replacement <sup>4</sup>	All CZ	✓	✓	✓		All CZ	✓	✓	✓							All CZ	✓	✓	✓		
Heat Pump Water Heater	All CZ	✓		✓	✓	All CZ	✓	✓	✓	✓											
Water Heater Blanket	All CZ	✓	✓	✓	✓	All CZ	✓	✓	✓	✓	All CZ Elec	✓	✓	✓	✓	All CZ	✓	✓	✓	✓	
Water Heater Pipe Insulation	All CZ	✓	✓	✓	✓	All CZ	✓	✓	✓	✓	All CZ Elec	✓	✓	✓	✓	All CZ	✓	✓	✓	✓	
Thermostatic Shower Valve	All CZ	✓	✓	✓	✓	All CZ	✓	✓	✓	✓	All CZ	✓	✓	✓	✓	All CZ	✓	✓	✓	✓	
Combined low-flow Showerhead and Thermostatic Shower Valve	All CZ	✓	✓	✓	✓	All CZ	✓	✓	✓	✓	All CZ	✓	✓	✓	✓						
Thermostatic Tub Spout / Tub diverter	All CZ	✓	✓	✓	✓	All CZ	✓	✓	✓	✓						All CZ	✓	✓	✓	✓	

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**Table 5-1: Eligible Measures<sup>1</sup>**

Measure	PG&E				Renters Eligible	SDG&E				Renters Eligible	SCE				Renters Eligible	SCG				Renters Eligible
	CZ	S F	M F	M H		CZ	S F	M F	M H		CZ	S F	M F	M H		CZ	S F	M F	M H	
<b>Lighting</b>																				
Vacancy Sensors	All CZ	√	√	√	√															
LED A-Lamps	All CZ	√	√	√	√						All CZ	√	√	√	√					
LED Reflector Bulb	All CZ	√	√	√	√	All CZ	√	√	√	√	All CZ	√	√	√	√					
LED Diffuse Bulbs (60W Replacement)						All CZ	√	√	√	√										
LED Reflector Downlight Retrofit Kits	All CZ	√	√	√	√															
Interior Hard-wired LED Fixtures	All CZ	√	√	√	√	All CZ	√	√	√	√										
Exterior Hard-wired LED Fixtures	All CZ	√	√	√	√	All CZ	√	√	√	√	All CZ	√				√				
LED Torchieres	All CZ	√	√	√	√	All CZ	√	√	√	√	All CZ	√	√	√	√					
<b>Appliances</b>																				
Refrigerators <sup>6</sup>	All CZ	√	√	√	√	All CZ	√	√	√	√	All CZ	√	√	√	√					
Second Refrigerators <sup>6</sup>	All CZ	√	√	√	√	All CZ	√	√	√	√	All CZ	√	√	√	√					
Freezers											All CZ	√	√	√	√					
High Efficiency Clothes Washer	All CZ	√	√	√	√	All CZ	√	√	√	√	All CZ Elec	√	√	√	√	All CZ	√	√		
<b>Miscellaneous</b>																				
Pool Pumps						All CZ	√			√	All CZ	√			√					
Tier 1 Smart Power Strips	All CZ	√	√	√	√	All CZ	√	√	√	√	All CZ	√	√	√	√					
Tier 2 Advanced Power Strips	All CZ	√	√	√	√	All CZ	√	√	√	√	All CZ	√	√	√	√					

**Table 5-1 Footnotes:**

<sup>1</sup> **Table 5-1** indicates the specific program measures that may be provided to participants for the ESA Program in accordance with the *IS Manual*. Climate zones referenced, are developed by the CEC, and may be located at <http://www.energy.ca.gov/maps/renewable/BuildingClimateZoneMap.pdf>, and are updated regularly at [http://www.energy.ca.gov/maps/renewable/building\\_climate\\_zones.html](http://www.energy.ca.gov/maps/renewable/building_climate_zones.html).

<sup>2</sup> Includes Caulking, Cover Plate Gaskets, Evaporative Cooler Cover, Air Conditioner Cooler Discharge Cover, Attic Access Weatherstripping and Minor Home Repairs (which include repairs such as ceiling repair, cover plates, door jams, door patch/plate, door replacement, exhaust fan vents, exterior wall repair, foam wall patch, interior wall repair, glass replacements, glazing compounds, lock sets (exterior door) windowsill repair, thresholds, vent repair and alignment, and window repair).

<sup>3</sup> There are multiple sub-measures included under minor home repairs. Minor home repairs are constituted by services that reduce infiltration (e.g., window repairs), mitigate a hazardous condition (e.g., CVA correction), or accommodate the installation of

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program measures (e.g., attic venting). For the purposes of qualifying a home for the ESA Program, all minor home repairs (combined) count as a single measure.

<sup>4</sup>For owner occupied units, furnace repairs and replacements are provided only when necessary to mitigate NGAT fails and pursuant to the installation of infiltration-reduction measures. Water heater repairs and replacements are also provided only to mitigate NGAT fails or to replace leaking water heater tanks.

<sup>5</sup> HE Furnace is a High Efficiency central gas furnace (FAU) with an annual fuel utilization efficiency (AFUE) of  $\geq 95\%$ . A High Efficiency FAU may be installed when the existing FAU has failed NGAT and cannot be repaired (aka “burnout”). A High Efficiency FAU may also be installed to replace an existing operational FAU, provided all the following conditions are met:

- Existing FAU has an AFUE  $\leq 65\%$ .
- Customer’s winter season usage is  $>400$  therms.
- The household qualifies for and receives ESA Program infiltration-reduction measures.

Priority will be given to areas impacted by the Aliso Canyon natural gas outage.

<sup>6</sup>See section 2.6.2 above for second refrigerator replacement policy.

*Note:* In situations where there are questions regarding the interpretation of a certain measure, the Utilities shall use Decision 16-11-022 or subsequent superseding decision as the overriding authority.

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## 6 Minor Home Repairs

### 6.1 Introduction

This section describes the ESA Program policies and procedures relating to minor home repairs. Section 6.2 discusses the minor home repairs that may be provided through the ESA Program. Section 6.3 describes Program limits on expenditures on general types of minor home repairs. Finally, Section 6.4 describes the prioritization criteria that will be used by Program Managers to prioritize repairs for a specific home when not all needed minor home repairs can be made within the constraints of the budget limits for that home.

### 6.2 Minor Home Repairs

Minor home repairs are repairs required to enable installation of eligible program measures, to reduce infiltration, or to mitigate a hazardous condition and does not include non-functional appliance repair or replacement. Minor home repairs shall be done in a manner that maintains accessibility for customers with observed disabilities.

In all homes receiving infiltration-reduction measures, minor home repairs also include other corrections needed to pass the NGAT protocol, including but not limited to, adding combustion and ventilation air (CVA) venting, and other corrections. It is the general policy of the ESA Program that these repairs must be made if they are needed and feasible, subject to budgetary limits.

### 6.3 Limits on Minor Home Repairs

There are two types of limits on costs incurred for minor home repairs.

- **Average Cost Limits.** These are limits on the average cost of categories of service across all homes receiving the service in question. They are designed to provide overall cost control for the provision of these services.
- **Individual Home Limits.** These are defined as limits on the cost that can be incurred for an individual home without the specific approval of the utility Program Manager. Individual home limits are meant to provide for equity in the distribution of program funds across individual households but also provide Program Managers enough flexibility to respond to individual customer needs and hardship situations.

These expenditure limits are presented in **Table 6-1** and apply to **all** minor home repairs.

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**Table 6-1: Caps on Minor Home Repairs**

Service	Average Cost per Home Receiving Service	Maximum Cost for Individual Home
Minor Home Repairs	\$500	\$1,000

## 6.4 Prioritization of Minor Home Repairs

In the event that a Service Provider requests permission from the utility Program Manager to exceed the limit on minor home repairs, the Program Manager will base the decision on the status of the Service Provider's minor home repair budget, the overall program budget, and the need for the repairs in question. If the Program Manager deems it necessary to limit expenditures on the home, measures will be prioritized using the following general priority list:

- Repairs needed to mitigate immediate hazards (e.g., door repairs where doors will not close or lock),
- Repairs needed to mitigate major infiltration sources (e.g., broken windows, holes in doors, etc.),
- Repairs required to permit the installation of a measure, and
- Other repairs.

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## 7 Measure Installation Policies and Procedures

### 7.1 Introduction

This section presents ESA Program policies for Program measures that are covered in the *IS Manual*. Subsection 7.2 specifies general policies that apply to all measures, including Service Providers installation, installation standards, safety, site clean-up, and other policies.

### 7.2 General Installation Policies

#### 7.2.1 Introduction

Several general policies relating to the installation of Program measures must be followed by installation personnel. These policies are presented below.

#### 7.2.2 Installation by Contractor

Measures must be installed by the Service Providers. Dropping off materials for later installation by the customer is not permitted under the ESA Program.

#### 7.2.3 Installation Standards

All measures must be installed in conformance with the *IS Manual*. These standards are intended to meet or exceed existing codes and regulations, and to conform to accepted building practices. When a conflict exists between these installation standards and local codes, the more stringent requirement shall take precedence.

#### 7.2.4 Safety

Service Providers must plan and conduct all work in a manner that is consistent with the safety of persons and property. All work shall be conducted in compliance with reasonable and safe working practices and with applicable federal, state, and local laws. For instance, the Service Provider is responsible for complete compliance with California Occupational Safety and Health Standards. It is the responsibility of each Service Provider to establish and maintain a safety program for all work undertaken for the ESA Program. It is also the responsibility of each Service Providers to ensure that all employees observe safety rules by complying with all required safety precautions and regulations. Service Providers must ensure that their staff members receive appropriate training in the safe and proper use of the tools associated with the installation of each ESA Program measure.

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## ***7.2.5 Installation of Feasible Measures***

It is the policy of the CPUC that ESA Program Service Providers must install all feasible measures unless after communicating the benefits of installing the new measure(s), the customer specifically refuses the measure(s). If the installer determines that a measure cannot be installed, the reason shall be recorded and made available to the utility or its designee.

## ***7.2.6 Lead-Safe Practices***

Service Providers shall conduct lead-safe practices when working with pre-1978 painted materials in accordance with federal, state, and local regulations and codes. Lead-safe practices for specific measures are listed in the *IS Manual*.

## ***7.2.7 Site Clean-Up Policies***

The Service Provider must maintain all work sites and related structures, equipment and facilities in a clean, orderly condition during all work conducted under the ESA Program. Any unused or leftover materials, garbage and debris must be promptly removed from the customer's premises by the Service Provider and disposed of at the Service Provider's expense. The customer's premises must be left in a clean and orderly condition at the end of each day and at the completion of work.

## ***7.2.8 Recycling and Disposal Policy***

The Service Providers shall properly dispose and recycle replaced measures in an environmentally safe manner and in accordance with federal, state, and local regulations and codes. Specific disposal and recycling policies and procedures of measures are listed in the *IS Manual*.

## ***7.2.9 Weatherization of Mobile Homes***

Mobile homes with open combustion furnaces or water heaters drawing air from inside the conditioned space may not have infiltration reduction measures installed under the ESA Program. Attic insulation (and attic duct reconnection) is not a measure for mobile homes.

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## 8 Inspection Policies

### 8.1 Introduction

This section summarizes the inspection policies used in the ESA Program to ensure safety and quality control in the installation of measures and minor home repairs. Subsection 8.2 discusses the designation of the responsibilities for inspections. Subsection 8.3 describes policies relating to pre-installation inspections. Subsection 8.4 presents policies on post-installation inspections.

### 8.2 Inspection Personnel

Utilities will use in-house personnel, contract employees, or Service Providers to conduct inspections. However, each utility will undertake in-house either the prime Service Providers' (administration) function or the inspection function, but not both, with the very limited exceptions discussed in D. 00-07-020.

### 8.3 Pre-Installation Inspection

The IOUs may implement a pre-installation inspection process for their respective ESA Program. As part of this process, each IOU can select the percentage of homes to be evaluated for program eligibility prior to the installation of measures.

### 8.4 Post-Installation Inspection

#### *8.4.1 General Policies on Post-Installation Inspection*

Post-installation inspections are used to assure that Service Providers install measures in accordance with the California Installation Standards of the ESA Program. In this subsection, specific policies relating to post-installation inspections are presented. These policies encompass the types of pass rates used in program administration, frequency of post-installation inspections, treatment of failed inspections, resolution of disputes relating to inspections, inspection waivers, and minor job corrections.

#### *8.4.2 Types of Pass Rates*

Utilities or their designees will collect information on both per-home and per-measure pass rates. Per-home pass rates will be used for the purposes of determining minimum sample sizes for tracking performance. Per-measure pass rates will be used to tailor training and technical assistance for Service Providers, as well as to manage programs in a prudent manner.



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### 8.4.3 Post-Installation Inspection Frequency

Utilities or their inspection Service Providers will select<sup>27</sup> for inspection all attic insulation and furnace replacement jobs. An inspection from a local jurisdiction (city or county) may, at the utilities' discretion, qualify as inspection towards the mandatory goal. For all other jobs not involving attic insulation or furnace replacement, random inspections will be conducted for a sample of units.

Suggested minimum sample sizes are shown below in Table 8-1. These sample sizes are designed to provide 90% confidence that the true pass rate is within 5% of the estimated value.

**Table 8-1: Minimum Sample Sizes for Inspections (90% within 5% precision)**

Pass Rate	Number of Homes Completed by Contractor					
	200	500	1,000	2,000	5,000	10,000
<b>0.70</b>	140	241	317	377	425	444
<b>0.75</b>	129	210	265	306	337	348
<b>0.80</b>	115	176	213	239	257	264
<b>0.85</b>	98	139	161	175	184	188
<b>0.90</b>	76	97	108	114	118	119
<b>0.95</b>	45	51	54	56	57	57

Utilities or their inspection Service Providers may exceed these minimum sample sizes if, in the judgment of the administrator, larger sample sizes are necessary to preserve program quality control. Circumstances that may justify larger sample sizes include, but are not limited to, the following:

1. If the utility's program or the amount of additional post-inspections undertaken is small enough to conduct additional post inspections without substantially increasing total program expenditures.
2. If a Service Provider exhibits a pattern of inspection failures that justifies inspection of a higher percentage of jobs.
3. If a Service Provider is on a quality improvement plan which requires improvement

<sup>27</sup> It is understood that selecting 100% of jobs for inspection does not necessarily mean that 100% of inspections will be completed, since the utilities and their inspection Service Providers cannot compel program participants to be present for inspection appointments.

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of its inspection pass rates.

4. If a Service Provider's crews are newly trained or new to the program and require closer field supervision and on-the-job training.
5. If a Service Provider's installation crews are not sure of program installation standards, as shown by failed inspection results.
6. If a Service Provider's allocation of homes covers multiple counties.
7. If post-inspections are done in conjunction with post-installation natural gas appliance tests, since there are economies associated with conducting post-installation inspections and post-installation natural gas appliance testing **at the same time.**<sup>28</sup>
8. If larger sample sizes are necessary to resolve disputes with Service Providers over estimated billing fail rates.
9. If a new measure has been added to the Program.

Utilities will keep records of actual inspection frequencies by Service Providers.

#### ***8.4.4 Failed Inspections***

If a feasible measure is installed incorrectly or is not installed at all, Contractor may be issued a correction fail which must be resolved as required by the IOU. Hazardous fails must be addressed within 24 hours of notification by the utility and/or its designee.

#### ***8.4.5 Failed Inspection Dispute Resolution***

In those instances where a dispute arises between inspectors and Service Providers, the utility may utilize in-house personnel or a third-party to hear and determine appropriate action on any dispute between Service Providers and inspectors.

#### ***8.4.6 Inspection Waivers***

Policies on inspection waivers vary between mandatory and non-mandatory inspections, as follows:

- ***Mandatory inspections*** are required for projects which include attic insulation or furnace replacement. For mandatory inspections, three attempts will be made to arrange for a post-installation inspection within 30 calendar days of the notification of job completion. After three such attempts, the inspection provider will send a certified letter to the participant asking for permission to inspect the

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<sup>28</sup> The rationale here is that there are economies associated with conducting post-installation inspections and post-installation natural gas appliance testing.

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home. If the participant does not respond to this certified letter within two weeks, the inspection provider need not conduct the inspection but must notify the utility that the inspection could not be completed.

- ***Non-mandatory inspections*** relate to projects not involving attic insulation or furnace replacement. They are non-mandatory in the sense that only a sample of projects must be inspected. For non-mandatory inspections, three attempts will be made to arrange for a post-installation inspection within 30 calendar days of the notification of job completion. A non-mandatory inspection of a sampled project may be waived by the utility after three attempts to contact the participant, provided that attempts are made in an effort to overcome barriers attributable to language preference or disability. The inspection provider shall replace a waived inspection with another inspection and shall complete enough inspections as provided in the policy on post inspection frequency (see above).

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## 9 Contractor Eligibility

### 9.1 Introduction

This section outlines Service Providers eligibility conditions under the ESA Program. Subsection 9.2 deals with insurance requirements. Subsection 9.3 relates to licensing requirements. Subsection 9.4 relates to workforce, education, and training. The purpose of this section is to provide general information on these requirements. It may not include all the requirements specified in the contracts between Service Providers and Program Administrators. Service Providers interested in participating in the ESA Program can obtain information at each utilities' respective website.

### 9.2 Insurance Requirements

Service Providers and their employees or subcontractors shall maintain insurance in full force and effect during the life of the contract with the utility, with responsible insurance carriers authorized to do business in California and having a Best Insurance Guide (or equivalent) rating that meets the guidelines of each utility.

### 9.3 Licensing Requirements

Any organization or company contracting under the ESA Program must comply with all applicable federal, state and local laws and regulations, as well as with utility guidelines. Service Providers and subcontractors must also comply with any applicable California State Licensing Board (CSLB) requirements, including current requirements for electrical, plumbing and HVAC, and must remain in good standing with the CSLB.

### 9.4 Workforce Education and Training (WE&T)

Service Providers should make every effort to hire and train from the local low-income communities.

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## 10 Natural Gas Appliance Testing

### 10.1 Introduction

This section summarizes the statewide policy on ESA Program natural gas appliance testing (NGAT). Subsection 10.2 discusses the circumstances when such testing must be conducted. Subsection 10.3 presents the general protocols that are followed in the course of natural gas appliance testing. Subsection 10.4 addresses the timing of testing. Subsection 10.5 considers actions to be taken when one or more test is failed by appliances in a participating home. Finally, Subsection 10.6 discusses the types of personnel used for the assessments.

Note that specific standards for these natural gas appliance testing (NGAT) protocols are described in the *IS Manual*.

### 10.2 Applicability of Natural Gas Appliance Testing

#### 10.2.1 General Applicability

In general, natural gas appliance testing will be conducted for all homes that receive infiltration reduction measures and that have at least one natural gas appliance affecting the living space.<sup>29</sup> In addition, the repair and replacement of a natural gas furnace or water heater involves appliance testing. See the NGAT section in the *IS Manual*, as applicable.

#### 10.2.2 Applicability to Combustion Fuels other than IOU Natural Gas

Homes with non-IOU (e.g., propane) space heating fuels are not eligible for infiltration reduction measures. Therefore, they are not eligible for natural gas appliance testing. Homes with IOU space heating but which use a non-IOU combustion fuel for another appliance (i.e., water heating) are also ineligible for NGAT due to the inability of the IOUs to service combustion appliances using non-IOU fuels. The IOUs will refer these latter homes to local LIHEAP agencies.

### 10.3 Natural Gas Appliance Testing Protocols

#### 10.3.1 General Protocols

General natural gas appliance testing protocols are presented below. Note again that detailed procedures are described in the NGAT section of the *IS Manual*. The types of checks conducted as part of NGAT are described in this section.

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<sup>29</sup> The NGAT section of the *IS Manual* describes the conditions under which an appliance is determined to affect the living space.

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## ***10.3.2 Pre-Weatherization Evaluations of Gas Appliances***

In order to avoid cases in which post-weatherization NGAT would discover nonconforming conditions that (a) preclude installation of infiltration reduction measures, and (b) cannot be corrected within the scope of the program, some pre-weatherization evaluations of gas appliances are performed as part of the home assessment.

Required corrections will be performed before weatherization commences. The customer will be informed of conditions that preclude installation of infiltration reduction measures and cannot be remedied by the ESA Program (e.g., exhausting clothes-dryers outdoors, and repair or replacement of appliances and gas vents for which repair or replacement is not available).

## ***10.3.3 Post-Weatherization NGAT***

After completion of weatherization that includes infiltration reduction measures, NGAT is performed for all-natural gas appliances affecting the living space.

## ***10.3.4 Disposition of Appliance Fails/Problems***

If a problem is identified through the application of the overall natural gas appliance testing protocol (i.e., elevated CO, inadequate draft, or defect causing an unsafe condition), the case will be referred for resolution to qualified utility-trained personnel or a Service Providers licensed to repair appliances. Such resolution may involve the use of flue CO testing as well as other procedures.

## **10.4 Timing of Combustion Appliance Testing**

### ***10.4.1 Homes with Natural Gas Appliances***

For homes with natural gas appliances, post-weatherization NGAT protocols are conducted after weatherization. Post-weatherization NGAT shall be conducted within five (5) working days from the date that infiltration reduction measures are installed.

## **10.5 Actions to be Taken When Appliances Fail NGAT**

The following actions will be taken when appliances fail NGAT:

- In owner-occupied homes, natural gas space heaters failing one or more of the tests covered by the NGAT protocol will be provided with Service/Adjustment and, if necessary, will be repaired or replaced subject to Program policies and procedures.<sup>30</sup>

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<sup>30</sup> Note that the absence of a furnace in cases where another gas appliance is used for space heating will constitute an NGAT fail.

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- In owner-occupied homes, natural gas water heaters failing one or more of the tests covered by the NGAT protocol will be provided with Service/Adjustment and, if necessary, will be repaired or replaced subject to Program policies and procedures.<sup>31</sup>
- In owner-occupied homes, non-program appliances<sup>32</sup> failing one or more of the tests covered by the NGAT protocols will be referred for service or provided with Service/Adjustment.<sup>33</sup> If Service/Adjustment does not correct the problem, the appliance will be tagged, shut off, and/or capped and reported to the customer.
- In renter-occupied homes, appliances failing one or more of the tests covered by the NGAT protocol will be referred for service or provided with Service/Adjustment.<sup>34</sup> If Service/Adjustment does not correct the problem, the appliance will be tagged, shut off, and/or capped and reported to the customer.

There are cost restrictions to be considered when determining whether to repair the furnace measure. The cost to repair the measure should not be more than the cost to replace the measure as follows:

- Central Furnaces - 50% (Does not include the costs of compliance items.)
- Wall/Floor/Direct Vent Wall Furnaces - 40% (Does not include the costs of compliance items.)
- Water Heaters – 50% (Does not include the costs of compliance items.)

## 10.6 Personnel Performing Natural Gas Appliance Assessments and Testing

The Utilities have the option of conducting natural gas appliance assessments and testing using in-house staff or contracting with third parties to provide these services.

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<sup>31</sup> Water heater repairs and replacements are provided only to mitigate NGAT fails or to replace water heaters that are leaking from the tank.

<sup>32</sup> Appliances for which ESA Program repair or replacement is not available.

<sup>33</sup> In this context, Service/Adjustment of an appliance entails providing services that are within the scope of the gas service department for customers in general.

<sup>34</sup> In this context, Service/Adjustment of an appliance entails providing services that are within the scope of the gas service department for customers in general.

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## Supplement A

### SMJU ESA Program



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## SMJU ESA PROGRAM DISTINCTIONS

### 1. GENERAL (APPLIES TO ALL SMJUs)

- a. SMJUs do not qualify customers for participation in the ESA Program through Categorical Eligibility provisions.
- b. SMJUs make best efforts to leverage the ESA Program with the CSD program; however, due to the small nature of the SMJU programs this effort has limited applicability and data sharing is not currently available.
- c. Prioritization of Go-Backs: SMJUs will, to the extent possible, prioritize go-backs as directed by the Commission; however, due to the small nature of the programs other methods may be employed to manage go-back treatments with contractors.

### 2. CLARIFICATION FOR ELECTRIC SMJUs

Bear Valley Electric, Liberty Utilities, and PacifiCorp (the Electric SMJUs) fund measures through the Energy Savings Assistance (ESA) Program that are intended to reduce the kWh usage of participating households.

Homes with permanently installed electric heating systems that heat at least 51% of the home and/or permanently installed air-conditioning systems that are designed to cool at least 51% of the home are eligible to receive shell measures and measures intended to improve heating/cooling system efficiencies. These include ceiling, floor, wall and duct insulation, outlet gaskets, weatherstripping, caulking and shell infiltration, ventilation, electric furnace repair and replacement, door and glass replacement, door threshold, storm windows, thermostats, furnace filters, and foam tape.

Also, the Electric SMJUs will fund measures designed to reduce water heating usage in homes that have an electric water heater. These measures include low-flow showerheads, thermostatic shower valves, pipe wrap, faucet aerators, water heater blankets, electric water heater repair and replacement, and clothes washers.

A variety of additional measures may be funded by the Electric SMJUs regardless of the type of heating/cooling and water heating systems installed in participant's homes. These include A/C or evaporative cooler covers, home repairs, LED lightbulbs and fixtures, torchieres, refrigerators, microwaves, and power strips.

Please refer to **Table SA-1** included in this Supplement that illustrates the specific measures included in each Electric SMJUs' ESA Program.

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**Table SA-1: Eligible SMJU Measures**

Table SA-1: Eligible SMJU Measures [1]

Measure [1],[2]	Alpine				Renters Eligible [3]	BVES				Renters Eligible	Liberty				Renters Eligible	PacifiCorp				Renters Eligible	SWGAS				Renters Eligible [3]					
	CZ-12	S F	M F	M H		CZ-16	S F	M F	M H		CZ-16	S F	M F	M H		CZ 1, 16	S F	M F	M H		CZ	S F	M F	M H						
<b>Heating, Ventilation &amp; Air Conditioning</b>																														
Gas Furnace Repair/Replace	CZ-12	✓	✓	✓																					CZ-14, 15, 16	✓	✓	✓		
HE-FAU/ Gas Furnace Repair/Replace [3],[4]	CZ-12	✓	✓	✓																					CZ-14, 15, 16	✓	✓	✓		
Forced Air Unit Standing Pilot Light Conversion																									CZ-14, 15, 16	✓	✓	✓	✓	
Electric Furnace Repair or Replcmt [7]						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓											
Thermostats															CZ 1, 16	✓	✓	✓	✓											
Central A/C Replacement															CZ 1, 16	✓	✓	✓												
Duct Sealing	CZ-12	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓					CZ-14, 15, 16	✓	✓	✓	✓	
Prescriptive Duct Sealing						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓					CZ-14, 15, 16	✓	✓	✓	✓	

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Table SA-1: Eligible SMJU Measures [1]

Measure [1],[2]	Alpine				Renters Eligible [3]	BVES				Renters Eligible	Liberty				Renters Eligible	PacifiCorp				Renters Eligible	SWGAS				Renters Eligible [3]
	CZ-12	S F	M F	M H		CZ-16	S F	M F	M H		CZ-16	S F	M F	M H		CZ-16	S F	M F	M H		CZ-1, 16	S F	M F	M H	
<b>Maintenance</b>																									
Furnace Clean & Tune	CZ-12	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ-1, 16	✓	✓	✓	✓	CZ-14, 15, 16	✓	✓	✓	✓
<b>Enclosure</b>																									
Envelope/Air Sealing Measures [5]	CZ-12	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ-1, 16	✓	✓	✓	✓	CZ-14, 15, 16	✓	✓	✓	✓
Attic Insulation	CZ-12	✓	✓		✓	CZ-16	✓	✓		✓	CZ-16	✓	✓		✓	CZ-1, 16	✓	✓		✓	CZ-14, 15, 16	✓	✓		✓
Kneewall Insulation						CZ-16	✓	✓		✓	CZ-16	✓	✓		✓	CZ-1, 16	✓	✓		✓	CZ-14, 15, 16	✓	✓		✓
Floor Insulation						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ-1, 16	✓	✓	✓	✓	CZ-14, 15, 16	✓	✓	✓	✓
Minor Home Repairs [6]						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ-1, 16	✓	✓	✓	✓	CZ-14, 15, 16	✓	✓	✓	✓
Evaporative Coolers Covers						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ-1, 16	✓	✓	✓	✓	CZ-14, 15, 16	✓	✓	✓	✓
Storm Windows						CZ-16	✓	✓	✓		CZ-16	✓	✓	✓							CZ-16	✓	✓	✓	
<b>Domestic Hot Water</b>																									
Faucet Aerators	CZ-12	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ-1, 16	✓	✓	✓	✓	CZ-14, 15, 16	✓	✓	✓	✓

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Table SA-1: Eligible SMJU Measures [1]

Measure [1],[2]	Alpine				Renters Eligible [3]	BVES				Renters Eligible	Liberty				Renters Eligible	PacifiCorp				Renters Eligible	SWGAS				Renters Eligible [3]
	CZ-12	S F	M F	M H		CZ-16	S F	M F	M H		CZ-16	S F	M F	M H		CZ-16	S F	M F	M H		CZ 1, 16	S F	M F	M H	
<b>Domestic Hot Water (cont.)</b>																									
Low-Flow Showerhead						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓	CZ-14, 15, 16	✓	✓	✓	✓
Water Heater Repair / Replacement	CZ-12	✓	✓	✓		CZ-16	✓	✓	✓		CZ-16	✓	✓	✓		CZ 1, 16	✓	✓	✓		CZ-14, 15, 16	✓	✓	✓	
Water Heater Blanket	CZ-12	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓	CZ-14, 15, 16	✓	✓	✓	✓
Water Heater Pipe Insulation	CZ-12	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓	CZ-14, 15, 16	✓	✓	✓	✓
Thermostatic Shower Valve	CZ-12	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓	CZ-14, 15, 16	✓	✓	✓	✓
Combined Low-Flow Showerhead & Thermostatic Shower Valve	CZ-12	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓	CZ-14, 15, 16	✓	✓	✓	✓
Thermostatic Tub Spout / Tub Diverter	CZ-12	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓						CZ 1, 16					CZ-14, 15, 16	✓	✓	✓	✓
<b>Lighting</b>																									
Vacancy Sensors																CZ 1, 16	✓	✓	✓	✓					
LED A-Lamps						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓					

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Table SA-1: Eligible SMJU Measures [1]

Measure [1],[2]	Alpine				Renters Eligible [3]	BVES				Renters Eligible	Liberty				Renters Eligible	PacifiCorp				Renters Eligible	SWGAS				Renters Eligible [3]
	CZ-12	S F	M F	M H		CZ-16	S F	M F	M H		CZ-16	S F	M F	M H		CZ-16	S F	M F	M H		CZ 1, 16	S F	M F	M H	
<b>Lighting (cont.)</b>																									
LED Reflector Bulbs						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓					
LED Reflector Downlight Retrofit Kits						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓					
Interior Hard-wired LED Fixtures						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓					
Exterior Hard-wired LED Fixtures						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓					
LED Torchieres						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓										
LED Night Lights						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓					
<b>Appliances</b>																									
Refrigerators [8]						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓					
Second Refrigerators [8]						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓										
High Efficiency Clothes Washers						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓	CZ-14, 15, 16	✓	✓	✓	✓
Microwave Ovens						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓					

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**Table SA-1: Eligible SMJU Measures [1]**

Measure [1],[2]	Alpine				Renters Eligible [3]	BVES				Renters Eligible	Liberty				Renters Eligible	PacifiCorp				Renters Eligible	SWGAS				Renters Eligible [3]
	CZ-12	S F	M F	M H		CZ-16	S F	M F	M H		CZ-16	S F	M F	M H		CZ-16	S F	M F	M H		CZ 1, 16	S F	M F	M H	
<b>Miscellaneous</b>																									
Tier 1 Smart Power Strips						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓					
Tier 2 Advanced Power Strips						CZ-16	✓	✓	✓	✓	CZ-16	✓	✓	✓	✓	CZ 1, 16	✓	✓	✓	✓					

### Table SA-1 Footnotes:

1) **Table SA-1** indicates the specific program measures that may be provided to participants for the ESA Program in accordance with the *IS Manual*. Climate zones referenced are developed by the CEC, and may be located at <http://www.energy.ca.gov/maps/renewable/BuildingClimateZoneMap.pdf>, and are updated regularly at [http://www.energy.ca.gov/maps/renewable/building\\_climate\\_zones.html](http://www.energy.ca.gov/maps/renewable/building_climate_zones.html).

2) In situations where there are questions regarding the interpretation of a certain measure, the SMJUs shall use Decision 18-08-020 or subsequent superseding decision as the overriding authority.

3) Only owner-occupied units qualifying for gas furnace repairs and replacements, and only when necessary to mitigate NGAT fails and to make feasible the installation of infiltration-reduction measures. Gas water heater repairs and replacements are also provided only for owner-occupied units to mitigate NGAT fails or to replace leaking water heater tanks. Renter-occupied units are not eligible to receive appliance repair and replacement services.

4) HE Furnace is a High Efficiency central gas furnace (FAU) with an annual fuel utilization efficiency (AFUE) of  $\geq 95\%$ . A High Efficiency FAU may be installed when the existing FAU has failed NGAT and cannot be repaired (aka “burnout”). A High Efficiency FAU may also be installed to replace an existing operational FAU, provided all the following conditions are met:

- Existing FAU has an AFUE  $\leq 65\%$ .
- Customer’s winter season usage is 400 therms.
- The household qualifies for and receives ESA Program infiltration-reduction measures.

5) Envelope/Air Sealing Measures may include: Caulking, Cover Plates, Utility Gaskets, Evaporative Cooler Cover, Air-Conditioner Cooler Cover, Attic Access and Door Weatherstripping.

6) There are multiple sub-measures included under minor home repairs. Minor home repairs are constituted by services that reduce infiltration (e.g., window repairs), mitigate a hazardous condition (e.g. CVA correction), or accommodate the installation of program measures (e.g., attic venting). For the purposes of qualifying a home for the ESA Program, all minor home repairs (combined) count as a single measure. Minor Home Repairs (to support

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efforts to weatherize a household and/or support infiltration measures) may include, but are not limited to, the following: ceiling, floor and wall repairs; cover plates, door jams, thresholds, door patch/plate, door replacement, lock sets (exterior doors), exhaust fan and venting repairs, replacements, and alignment (appliances and attics), exterior wall repair, foam wall patch, interior wall repair, window repair, glass replacements, glazing compounds, windowsill repair, and sash repair. Refer to Section 6.3 of this P&P Manual for Maximum Expenditures and Caps.

7] Electric furnace repairs and replacements are provided only to owner-occupied units and only when necessary to mitigate electrical hazard(s). Electric water heater repairs and replacements are provided only to owner-occupied units and only when necessary to mitigate electrical hazard(s) or to replace a leaking water heater tank. Renter-occupied units are not eligible to receive appliance repair and replacement services.

8] See Section 2.6.2 of the P&P Manual for second refrigerator replacement policy.