

**Statewide Energy Savings Assistance Program  
2021-2026 Cycle  
Policy and Procedures  
Manual**

Applicable to:

Pacific Gas and 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

---

## Table of Contents

<b>1</b>	<b>Introduction .....</b>	<b>8</b>
1.1	Overview.....	8
1.2	Structure of this Manual.....	9
<b>2</b>	<b>Customer and Structural Eligibility .....</b>	<b>10</b>
2.1	Overview.....	10
2.2	Customer Eligibility Requirements.....	10
2.2.1	<i>Income Guidelines</i> .....	10
2.2.2	<i>Types of Income Included in Household Income</i> .....	11
2.2.3	<i>Verification of Income</i> .....	11
2.2.4	<i>Determining Household Size</i> .....	14
2.2.5	<i>Qualifying Multifamily Buildings</i> .....	14
2.3	Service Eligibility .....	16
2.3.1	<i>General Service Eligibility Conditions</i> .....	16
2.3.2	<i>Referrals</i> .....	17
2.4	Structural Eligibility.....	18
2.4.1	<i>Public Housing</i> .....	18
2.4.2	<i>Housing Type</i> .....	18
2.4.3	<i>Housing on Non-Residential Rates</i> .....	18
2.5	Home Ownership Documentation.....	20
2.5.1	<i>Overview</i> .....	20
2.5.2	<i>Multiple Home Ownership</i> .....	21
2.5.3	<i>Life Estate/Living Trust</i> .....	21
2.5.4	<i>Power of Attorney</i> .....	21
2.5.5	<i>Property Management Companies</i> .....	21
2.6	Treatment of Rental Units.....	21
2.6.1	<i>Property Owner Approval</i> .....	21
2.6.2	<i>Eligibility of Rental Units for Certain Measures</i> .....	22
2.7	Service for Previous Program Participation.....	23
<b>3</b>	<b>Customer Outreach, Relations, and Enrollment .....</b>	<b>24</b>
3.1	Introduction.....	24
3.2	Customer Outreach .....	24
3.2.1	<i>Promotional Guidelines</i> .....	24
3.2.2	<i>Representations by the Contractor and their Employees</i> .....	24
3.2.3	<i>Outreach Interactions</i> .....	24
3.2.4	<i>Outreach for Customers with Disabilities</i> .....	24
3.3	Customer Relations.....	25
3.3.1	<i>Introduction</i> .....	25
3.3.2	<i>Expedient Service</i> .....	25
3.3.3	<i>Other Work</i> .....	25
3.3.4	<i>Staff Identification</i> .....	25
3.3.5	<i>Contractor Etiquette</i> .....	26
3.3.6	<i>Customers 18 Years or Older</i> .....	26

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

3.3.7	<i>Customer Complaint Procedures</i> .....	26
3.3.8	<i>Substance Abuse and Smoking Policy</i> .....	26
3.3.9	<i>Incident Reports</i> .....	26
3.4	<b>Customer Enrollment</b> .....	26
3.4.1	<i>In-Person Enrollment</i> .....	27
3.4.2	<i>Virtual Enrollment</i> .....	27
3.4.3	<i>Self-Enrollment</i> .....	27
<b>4</b>	<b>Procedures for Customer Home Visits</b> .....	<b>28</b>
4.1	Introduction .....	28
4.2	Description of Program Services .....	28
4.3	Data Collection .....	29
4.4	Energy Education .....	30
4.5	In-Home Energy Audit (Assessment) .....	31
<b>5</b>	<b>Program Measures</b> .....	<b>32</b>
5.1	Introduction .....	32
5.2	Program Measures .....	32
5.3	Consideration of Changes to the Measure List .....	32
<b>6</b>	<b>Minor Home Repairs</b> .....	<b>34</b>
6.1	Introduction .....	34
6.2	Minor Home Repairs .....	34
6.3	Limits on Minor Home Repairs .....	34
6.4	Prioritization of Minor Home Repairs .....	35
<b>7</b>	<b>Measure Installation Policies and Procedures</b> .....	<b>36</b>
7.1	Introduction .....	36
7.2	General Installation Policies .....	36
7.2.1	<i>Introduction</i> .....	36
7.2.2	<i>Installation by Contractor</i> .....	36
7.2.3	<i>Installation Standards</i> .....	36
7.2.4	<i>Safety</i> .....	36
7.2.5	<i>Installation of Measures</i> .....	37
7.2.6	<i>Lead-Safe Practices</i> .....	37
7.2.7	<i>Site Clean-Up Policies</i> .....	37
7.2.8	<i>Recycling and Disposal Policy</i> .....	37
7.2.9	<i>Weatherization of Mobile Homes</i> .....	37
<b>8</b>	<b>Inspection Policies</b> .....	<b>38</b>
8.1	Introduction .....	38
8.2	Inspection Personnel .....	38
8.3	Pre-Installation Inspection .....	38
8.4	Post-Installation Inspection .....	38
8.4.1	<i>General Policies on Post-Installation Inspection</i> .....	38
8.4.2	<i>Types of Pass Rates</i> .....	38
8.4.3	<i>Post-Installation Inspection Frequency</i> .....	39
8.4.4	<i>Failed Inspections</i> .....	40

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

8.4.5	<i>Failed Inspection Dispute Resolution</i>	40
8.4.6	<i>Inspection Waivers</i>	40
<b>9</b>	<b>Contractor Eligibility</b>	<b>42</b>
9.1	Introduction	42
9.2	Insurance Requirements	42
9.3	Licensing Requirements	42
9.4	Workforce Education and Training (WE&T)	42
<b>10</b>	<b>Natural Gas Appliance Testing</b>	<b>44</b>
10.1	Introduction	44
10.2	Applicability of Natural Gas Appliance Testing	44
10.2.1	<i>General Applicability</i>	44
10.2.2	<i>Applicability to Combustion Fuels Other than IOU Natural Gas</i>	44
10.3	Natural Gas Appliance Testing Protocols	44
10.3.1	<i>General Protocols</i>	44
10.3.2	<i>Pre-Weatherization Evaluations of Gas Appliances</i>	45
10.3.3	<i>Post-Weatherization NGAT</i>	45
10.3.4	<i>Disposition of Appliance Fails/Problems</i>	45
10.4	Timing of Combustion Appliance Testing	45
10.4.1	<i>Homes with Natural Gas Appliances</i>	45
10.5	Actions to be Taken When Appliances Fail NGAT	45
10.6	Personnel Performing Natural Gas Appliance Assessments and Testing	46
<b>11</b>	<b>Natural Gas Appliance Evaluation</b>	<b>47</b>
11.1	Introduction	47
11.2	Applicability of Natural Gas Appliance Evaluation	47
11.2.1	<i>General Applicability</i>	47
11.2.2	<i>Applicability to Combustion Fuels Other than IOU Natural Gas</i>	47
11.3	Natural Gas Appliance Evaluation Protocols	47
11.3.1	<i>General Protocols</i>	47
11.3.2	<i>Pre-Replacement Evaluations of Gas Appliances</i>	47
11.3.3	<i>Post-Replacement Safety Testing for Gas Appliances</i>	47
11.4	Personnel Performing Natural Gas Appliance Evaluations	48

## Section X: MULTIFAMILY WHOLE BUILDING (PLACEHOLDER)

### TABLES

Table 6-1: Caps on Minor Home Repairs	35
Table 8-1: Minimum Sample Sizes for Inspections (90% within 5% precision)	39

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## **SUPPLEMENT A: SMJU ESA Program**

SMJU ESA Program Distinctions.....	50
------------------------------------	----

## **ATTACHMENT A: Eligible ESA Program Measures**

Table A-1: Eligible IOU Measures .....	52
Table A-2: Eligible SMJU Measures .....	56

## **ATTACHMENT B: Definitions of Reporting Categories and Segments**

Table B-1: IOU Reporting Categories and Segments – Definitions and Methodologies (PY 2022-2026).....	60
Table B-2: SMJU Reporting Categories and Segments – Definitions and Methodologies (PY 2022-2026).....	66

## **ATTACHMENT C: ESA Pilot Measures (PLACEHOLDER)**

Table C-1: Pilot Plus Measures	
Table C-2: Pilot Deep Measures	
Table C-3: SCE Building Electrification Pilot Measures	
Table C-4: SCE Clean Energy Homes Pilot Measures	
Table C-5: PG&E Virtual Energy Coach Pilot Measures	

## **ATTACHMENT D: Inspection Pass Rates**

Table D-1: Expanded Inspection Pass Rate Tables.....	76
--	----

## **ATTACHMENT E: Household Income and Documentation**

Table E-1: Household Income Types and Documentation .....	78
---	----

## **ATTACHMENT F: Self-Install Measures**

Table F-1: Self-Install Measure per Utility .....	82
---	----

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## COMMON TERMS AND DEFINITIONS

- ❑ **Basic Measures** – the first of two tiers of measures offered by the utilities as listed in **Table A-1** and **Table A-2**. Customers may qualify for basic measures through self-certification.
- ❑ **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
- ❑ **Contractor** – third party (non-IOU) entity providing ESA services
- ❑ **CPUC** – California Public Utilities Commission
- ❑ **Customer** – participant household or property owner or authorized representative for multifamily complexes
- ❑ **De-certification** – the process of no longer allowing the contractor employee to work in a customer-facing role within the ESA Program
- ❑ **ESA** – Energy Savings Assistance Program (a ratepayer-funded energy efficiency program regulated by the CPUC)
- ❑ **FERA** – Family Electric Rate Assistance
- ❑ **HCS** – Health, Comfort, and Safety
- ❑ **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** – at or below the income eligibility threshold of 250 percent (“%”) of Federal Poverty Guidelines (FPG) <sup>1</sup>
- ❑ **Multifamily Building** – a building that contains five or more units, with each unit

---

<sup>1</sup> Per Senate Bill 756, on and after July 1, 2022 “low-income customers” are defined as persons and families whose household income is at or below 250% of the FPG.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

combined (sharing a wall or floor/ceiling) with at least one other unit<sup>2</sup>

- ❑ **Multifamily Complex** – property on which there is at least one multifamily building
- ❑ **My Account/My Energy** – utility portal that allows customer to view bill and access tools to help control energy costs
- ❑ **OP** – Ordering Paragraph
- ❑ **Program Representative** – includes third party (non-IOU) service provider employees, such as outreach workers, assessors, installers, and inspectors
- ❑ **P&P Manual** – California Statewide Energy Savings Assistance Program Policy and Procedure Manual
- ❑ **PU Code** – California Public Utilities Code pursuant to existing California Law
- ❑ **Self-installation** – Installation of measures by the customer.
- ❑ **Service Provider** – CSD Program contractor
- ❑ **Service Territory** – utility service area
- ❑ **Simple Measures** – a term no longer used in the ESA Program. It was once used to describe a group of measures which are now part of the basic measures tier.
- ❑ **Single Family Building** – a building that contains one, two, three, or four units
- ❑ **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)
- ❑ **Subcontractor** – third party (non-IOU) entity providing ESA services on behalf of the prime contractor (implementer/contractor)

---

<sup>2</sup> D.21-06-015, p. 372

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## 1 Introduction

### 1.1 Overview

This *Statewide Energy Savings Assistance Program Policy and Procedures Manual*<sup>3</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 (D.) 21-06-015.<sup>4</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 D. 21-06-015 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 contractors 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

---

<sup>3</sup> Formerly known as the “Statewide Low-Income Energy Efficiency Policy and Procedures Manual”.

<sup>4</sup> Updates to this *P&P Manual* reflect changes from D.21-06-015, which became effective June 3, 2021, for the 2021-2026 ESA-CARE Program Cycle. Policies and procedures that are specific to the SMJUs are shown in Supplement A, which also reflects changes from D.21-10-023.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

discussed with contractors prior to being made.

## 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 contractor eligibility.
- **Section 10** describes policies and procedures relating to natural gas appliance testing, furnace repairs and replacements, and water heater repairs and replacements.
- **Section 11** describes policies and procedures relating to natural gas appliance evaluation.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## 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
- The property's need for measures and services 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 or below 250 % of the FPG Levels pursuant to California Public Utilities Code (CA PUC).<sup>5</sup> Current ESA Program income guidelines can be obtained at the CPUC website at <http://www.cpuc.ca.gov/General.aspx?id=976>

---

<sup>5</sup> See CA PUC §739.1 and §2790. Also, Commission Resolution E-3254 (1992), OP 3. Per SB 756, on and after July 1, 2022 “low-income customers” are defined as persons and families whose household income is at or below 250% of the FPG.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## 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 E-1** (found in Attachment E), whether taxable or non-taxable.<sup>6</sup> **Table E-1** indicates the specific items included as income but is not limited to 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 or possessions)
- Housing subsidies<sup>7</sup>
- Funds transferred from one applicant account to another
- Liquidation of assets (other than the portion representing capital or other gains)

## 2.2.3 *Verification of Income*

### 2.2.3.1 *Actual Income Documentation Required*

When income documentation is required by the utility, income documentation must be reviewed, copied, recorded, and securely stored by contractors 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.

CARE **self-certification** does not automatically qualify a household for the ESA Program, except in the case of non-profit group homes<sup>8</sup> or targeted self-certification areas, where it is specifically allowed.<sup>9</sup>

---

<sup>6</sup> D.89-07-062, p. 35

<sup>7</sup> D.14-08-030 OP 40, p. 120

<sup>8</sup> SB 693 expanded CARE to include certain non-profit group living facilities and was added into Publ.Util.Code §. 739.1, and AB 3429 added §.739.2 further expanding CARE to include agricultural farmworker housing. Res E-3586 OP.1.i. authorized self-certification for CARE beginning June 1, 1999. With the exception of homeless shelters, all facilities must certify that 100% of the residents of the facility individually meet the CARE eligibility standards for a single-person household. A caregiver who lives in the facility is not a resident for purposes of determining eligibility.

<sup>9</sup> D.08-11-031, OP.6; and D.12-08-044, pp.309-310.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

In the case that 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 contractors. If information and/or documentation is not complete and correct for a participant, payment to the contractors 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 E-1**. 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 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 are 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.
- 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

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

applicant cannot provide documentation of 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>10</sup> and can enroll in the ESA Program based on current participation in another approved local, state, or federal means-tested program.<sup>11</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 contractors 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 for the ESA Program. A customer that self-certifies is not eligible for basic measures which require modifications to dwellings that include grounding, such as refrigerators, portable air conditioners, and smart thermostats. Eligibility for self-certification 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 250% 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. Customers are allowed to self-certify that they meet the Energy Savings Assistance (ESA) program income eligibility requirement to receive ESA basic measures, which may include energy education, LED light bulbs, smart power strips, and Energy Conservation Savings Kits.<sup>12</sup>

### **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 as 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

---

<sup>10</sup>Categorical eligibility approved in D.06-12-038 for SCE, PG&E, SoCalGas, and SDG&E OP 21. See Supplement A for SMJU treatment.

<sup>11</sup> CPUC approved categorical programs, reflected in **Table E-1**, can be located at: <http://www.cpuc.ca.gov/General.aspx?id=976>.

<sup>12</sup>D.21-06-015 OP49

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

employment status of the household over the past 12 months, it may be necessary to annualize income from a shorter period of time.

All contractors shall compute annual income as accurately as possible. The calculations 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 having five or more units, and each unit must be combined (sharing a wall or floor/ceiling) with at least one other unit.<sup>13</sup> Duplexes, triplexes, and fourplexes are qualified as single family units for income eligibility determinations.
- **Table A-1** provides a list of measures available to qualified multi-family buildings.
- Deed-restricted multifamily property owners are allowed to certify that at least 65% of the building's tenants meet the Energy Savings Assistance program income eligibility thresholds and therefore authorize treatment for all households without the

---

<sup>13</sup> D.21-06-015, OP.156, and p. 372

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

Utilities requiring individual tenant verification.<sup>14</sup>

- Non-deed-restricted multifamily property owners are allowed to certify that at least 80% of the building’s tenants meet the Energy Savings Assistance program income eligibility thresholds and therefore authorize treatment for all households without the Utilities requiring individual tenant verification.<sup>15</sup>
- Both deed- and non-deed restricted multifamily properties are also eligible for services (including in unit, common area and whole building measures).
- Unoccupied and other non-qualified multifamily units may be weatherized as long as the multifamily building satisfies the “80/20 rule” for income qualification.
  - The “80/20 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.<sup>16</sup>
- If at least 80% of all units adjacent to a common attic space satisfy the 80/20 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 feasible measures.<sup>17</sup>
- Contractors 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

---

<sup>14</sup> D.21-06-015, Section 7.9.5, p.362. For purposes of the ESA Program, deed-restricted is defined consistent with Decision 17-12-009, which provides: “Eligible properties must meet the partial definition of deed-restricted in California Public Utilities Code Section 2852(a)(A) further modified here. For this ESA program multi-family effort, a property must be a multi-family residential complex financed with low income housing tax credits, tax-exempt mortgage revenue bonds, general obligation bonds, or local, state, or federal loans or grants.” (D.21-06-015, OP.155).

<sup>15</sup> D.21-06-015, Section 7.9.5, p.363.

<sup>16</sup> D.01-03-028, OP.3; p.80, COL.7, p.72; and Section III.D, pp.18-20 re “Fractional Qualifications in Multifamily Complexes and Mobile Homes.” This was maintained in D.17-12-009, Attachment 1 (modifying D.16-11-022), p.185 (non-redlined).

<sup>17</sup> D.01-03-028, OP.3 and COL.7.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

below 250% of FPG; 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.<sup>18</sup>

- 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, a Program Representative shall provide a description of multifamily program services that may be available to the income qualified household.<sup>19</sup>
- 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>20</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 (including a 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 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 service territories or climate zones. **Table A-1** shows the measures offered by each utility for all housing types. See **Table A-2** for SMJU measure-specific

---

<sup>18</sup> D.17-12-009, Attachment 1 (modifying D.16-11-022), OP.41(b) and OP.71.

<sup>19</sup> D.17-12-009, Attachment 1 (modifying D.16-11-022), OP.41 and 69

<sup>20</sup> D.16-11-022, as modified by D.17-12-009 Attachment 1, at p. 211 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.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

eligibility requirements.

## 2.3.2 Referrals

In order to provide the maximum opportunity for eligible customers to receive measures, the Utilities have 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 D.16-11-022.<sup>21</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 the applicable and feasible measures offered by each utility within each segment and/or measure tier.<sup>22</sup> Applicability is defined by the IOUs' measure prioritization models designed to achieve the respective IOU's energy savings goals and HCS (health, comfort, and safety) benefits based on household needs and the customer's unique profile.<sup>23</sup> Feasibility is defined by Installation Standards requirements. 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:

---

<sup>21</sup> D.16-11-022, as modified by D.17-12-009 Attachment 1, Dicta at p. 203, 369-370 and OPs 29-32, 47-48.

<sup>22</sup> See D.21-06-015, Section 6.5.8.11, p.199 and Section 6.5.8.12, p.200, and D.21-06-015 Attachment 3 requiring IOUs to jointly submit a compliance filing to develop a common set of measures within each treatment tier, and to further discuss what level of treatment will be provided to which customer segments and need states to provide greater statewide consistency (see OP.58 and OP.115). IOUs filed Advice Letter SDG&E 3842-E/3012-G et. al. on the Energy Savings Assistance (ESA) Program Design and Delivery of Measure Treatment Tiers for Program Year 2022-2026 pursuant to Decision D.21-06-015 (September 1, 2021), SDG&E Advice Letter 3842- E/3012-G et. al. was approved by Energy Division Disposition on December 22, 2021 (effective October 1, 2021).

See also: CA Public Utilities Code § 2790 (b)(2) specifies: "The commission shall direct an electrical or gas corporation to provide as many of these measures as are feasible for each eligible low-income dwelling unit." And CA Public Utilities Code § 9500 (b)(2) says: "Each publicly owned electric and gas utility shall provide as many of these measures as it determines to be feasible and cost-effective for each eligible low-income dwelling unit."

<sup>23</sup> See D.21-06-015, OP.56 and Section 6.4.8.1, p.164.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

- 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.
- Second, gas and electric Utilities will offer common energy education in overlapping 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 having five or more units, with each unit combined (sharing a wall or floor/ceiling) with at least one other unit.<sup>24</sup>
- 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, housing on non-residential rates is eligible for ESA Program services as long as it is currently eligible for CARE under current CARE guidelines<sup>25</sup>, and the structure in

---

<sup>24</sup> D.21-06-015, OP.156

<sup>25</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

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

question is a single family, multifamily or mobile home suitable for weatherization under ESA Program standards.<sup>26</sup>

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

- ❑ 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>27</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

---

*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>26</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.

<sup>27</sup> Administrative Law Judge's Ruling Seeking Input Regarding Assembly Bill 868 (Care Eligibility for Migrant Housing Centers), October 1, 2004, p.5

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

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. It is the responsibility of the contractor to review all supporting documents provided to ensure proof of home ownership and/or legal authorized representative. Any of the following supporting documents 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
- Current Mobile Home Registration from the Department of Housing and Community Development (HCD) or DMV certificate of title for a mobile home

If a home is in the name of a deceased spouse, the surviving spouse should be considered the owner/landlord.<sup>28</sup>

If the property is owner-occupied, the homeowner is not required to sign a property owner authorization form. For renters/tenants, the legal owner or the legal owner's authorized representative must sign the property owner authorization form. Contractors and individuals signing property owner authorization forms are verifying that the property owner is authorized to sign the agreement to participate in the ESA Program and authorizes ESA Program services for that property. Required documents must be maintained in the customer or project file.

---

<sup>28</sup> If the last name of the spouse is different from the last name of the property owner, then the marriage certificate must be verified.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## ***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 names appear 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. Contractors 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.

## ***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 one of the following conditions:

- The property management company has a standard Power of Attorney agreement with the property owner
- 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
- 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. The utilities must waive the Property Owner Approval/Authorization requirements for households qualified to receive basic measures. However, measures requiring modifications to dwellings that include grounding, such as

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

refrigerators, portable air conditioners, and smart thermostats, do require Property Owner Approval/Authorization.<sup>29</sup>

When property owner approval is required, 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 24 months from the date it is signed by the property owner or authorized agent.<sup>30</sup> If approval of the Property Owner is not received before the installation of such services, the Contractor 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, contractors 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 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 A-1**.<sup>31</sup>

- Rental units may be eligible for furnace or water heater replacements/repairs, with property owner copay. Service and adjustments may also be made to furnaces and water heaters if these actions would improve the performance of the system at a minimal cost.
- 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 contractors to cover part of the cost of replacement.
- *Second Refrigerator Replacement:*<sup>32</sup> The electric Utilities shall offer second refrigerators. For households receiving a primary refrigerator replacement and which have a second inefficient unit, the contractor shall first encourage the household to remove and recycle the secondary unit by providing customer education, including

---

<sup>29</sup> D.21-06-015, OP.54.

<sup>30</sup> D.21-06-015, OP.55.

<sup>31</sup> D.21-06-015 approved the IOUs' proposed measure mixes (See Section 6.5.8.1, p.192). See pp.169-177 summarizing IOU measure proposals. IOU measure offerings are shown in **Table A-1**.

<sup>32</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.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

rebates available to retire and recycle the second inefficient unit.<sup>33</sup> If the customer declines to remove and recycle the inefficient second unit, then the contractor may offer replacement with a more efficient second unit using the same guidelines as the primary refrigerator replacement.<sup>34</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 contractors to cover part of the cost of replacement.

## 2.7 Service for Previous Program Participation

Program services may be provided to customers who have been previously served when: 1) measures have exceeded their effective useful life, or 2) the customer is eligible for measures that were not previously installed or offered.<sup>35</sup>

As stipulated in the standard non-feasibility criteria<sup>36</sup>, if a measure is already in place and operating properly, even if it does not meet the current Installation Standards for new installations, it should not be removed and replaced.<sup>37</sup>

---

<sup>33</sup> D.16-11-022 dicta at p.102.

<sup>34</sup> Id.

<sup>35</sup> D.17-12-009, Atch1 (modifying D.16-11-022), OP.9; and upheld in.D.21-06-015, p.167-168.

<sup>36</sup> ESA California Installation Standards

<sup>37</sup> If a customer refuses a measure, that measure is considered non-feasible. See Section 7.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## 3 Customer Outreach, Relations, and Enrollment

### 3.1 Introduction

This section presents statewide ESA Program policies and procedures in the areas of customer outreach, customer relations, and customer enrollment. Subsection 3.2 discusses policies relating to the recruitment of participants for the Program, Subsection 3.3 focuses on the maintenance of proper relationships with customers, and Subsection 3.4 describes enrollment options available to the customer. 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 contractors.

### 3.2 Customer Outreach

Contractors 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 contractors and their employees, outreach interactions, and tracking. Utility and contractor outreach efforts may target those customers with the highest energy usage, considering energy burden and/or energy insecurity.<sup>38</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 the Contractor and their Employees*

Neither the contractor nor their 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*

Contractor 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*

Contractors shall serve and conduct outreach to customers with disabilities. Customers with disabilities may be identified based on their enrollment in the Medical Baseline Program,

---

<sup>38</sup> Public Utilities Code Section 327(a)(6)  
Public Utilities Code Section 2790 (d).

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

enrollment in the Deaf and Disabled Telecommunications Program (DDPT), enrollment in the ESA Program through a disability-focused community-based organization (CBO), requests for accessible formats of written materials or use of a Tele-Typewriter/Telecommunications Device for the Deaf (TTY/TDD), visibility of an observed disability, and/or self-identification as having a disability. Contractors shall not ask the customer or any household members if they have a disability.<sup>39</sup>

## 3.3 Customer Relations

### 3.3.1 Introduction

It is imperative that both contractors 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. Contractors 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 contractor is prohibited from selling other services to the customer or charging the customer for any other service.<sup>40</sup>

### 3.3.4 Staff Identification

All contractors 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 contractor produces badges, templates for identification badges will be provided by the utility. The contractor shall immediately return the ID badges of all personnel no longer working for the contractors or their subcontractors on the ESA Program. In the event the contractor is unable to return a badge, the contractor shall immediately notify the utility.

---

<sup>39</sup> D.08-11-031, OP.30 and OP.31. See also p.69.

<sup>40</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.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

### ***3.3.5 Contractor Etiquette***

ESA Program contractors 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 de-certification of the individual and revocation of their badge, or contract termination.

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

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

Contractors 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 contractor's employee has been accused of an illegal act. Within 24 hours, the contractor will inform the utility or its designee of the resolutions of all such incidents.

## **3.4 Customer Enrollment**

Customer may be enrolled either in-person or virtually; customer additionally will have the option for self-enrollment, if available.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## ***3.4.1 In-Person Enrollment***

In-person enrollment is defined as one where a Program Representative visits the customer's home to perform the enrollment. The enrollment may include providing the customer with general program information, energy education, collecting enrollment data on the household and the property, an in-home energy audit (assessment), installation of approved measures, and any other program requirements for an in-person enrollment.

## ***3.4.2 Virtual Enrollment***

Virtual enrollment is defined as one where a Program Representative performs the enrollment via telephone or online meeting tool. The enrollment may include providing the customer with general program information, energy education, collecting enrollment data on the household and the property, performing an energy audit (assessment) and any other program requirements for a virtual enrollment. The customer should be provided clear instructions on how to upload any additional required documents.

## ***3.4.3 Self-Enrollment***

A self-enrollment is defined as one where the customer completes the application process using a utility-approved online enrollment system. During a self-enrollment, the applicant will be required to provide program enrollment documents, including proof of home ownership, proof of qualification, and any other required enrollment documentation electronically using the utility-approved system. A self-enrollment may require final review and approval by a Program Representative before enrollment is considered complete.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## 4 Procedures for Customer Home Visits

### 4.1 Introduction

This section describes the procedures to be followed by ESA Program Representatives 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 energy education, the completion of the in-home energy audit (assessment), and the installation of measures as approved by each utility.

### 4.2 Description of Program Services

During the customer enrollment, a Program Representative 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, potentially eligible measures, and procedures. The procedures to be covered by this description must encompass 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).
- Discount Rate Programs. Program Representatives may assist in the IOUs automatic enrollment of customers who are participating in the Energy Savings Assistance program into the appropriate discount rate program (CARE and/or FERA) for which they may be eligible.
- Program Representatives aiding in enrolling the customer in the utilities “My Account” portal, unless customer declines to participate.
- 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.
- Alternative enrollment options, either to be completed outside the home or online.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

- A voluntary energy audit at or before the time of enrollment, preferably completed online.

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

## 4.3 Data Collection

During the initial interview, the Program Representative will also collect data needed to document eligibility and to meet tracking and reporting requirements. Customers will be allowed to provide this information as well. In general, the following information must be collected (or provided by the customer).

- Name, address, and phone number of applicant
- Gas and/or electric account information
- Number of dwelling inhabitants
- Household income and income documentation for all household inhabitants
- Appliance/HVAC system information
- Customer unwillingness/inability to participate
- Home square footage

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

- Housing type
- Owner/renter status
- Senior
- Veteran
- CARE/FERA
- Tribal
- Medical Baseline
- Disability

Other data points that may be reported on include:

- Previous vs. new participant
- Disconnected
- Arrearages
- High Usage
- High Energy Burden
- SEVI (Socioeconomic Vulnerability Index)
- Affordability Ratio
- DAC (disadvantaged communities)

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

- Rural
- Climate Zone
- CARB (California Air Resource Board) Community
- PSPS (Public Safety Power Shutoff) Zone (Event)
- High Fire Threat District (also known as Wildfire Zone)
- Respiratory

In addition, **Table B-1** and **Table B-2** (see Attachment B) define the categories and segments listed above and indicate the source of the information for tracking and reporting purposes.

## 4.4 Energy Education

Energy education will be provided to all income-eligible applicants utilizing online energy education modules. Hardcopy education booklets shall be provided only to customers who are limited by broadband access or do not have access to online resources.<sup>41</sup> The Utilities shall not count a household as “treated” if provided energy education alone.<sup>42</sup>

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 energy education must include but are not limited to the following<sup>43</sup>:

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

---

<sup>41</sup> D.21-06-015 OP 96

<sup>42</sup> D.16-11-022, as modified by D.17-12-009 Attachment 1, OP 11

<sup>43</sup> Utilities may include additional topics specific to their Service Territories, and Climate Zones where applicable.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

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 Audit (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 Program Representative, or the customer may also self-assess their home prior to the installation of any measures. The assessment will identify those measures which may be installed through the Program. Customers may self-install water conservation measures per utility policy.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## 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 A-1**, found in Attachment A of this *P&P Manual*, indicates the specific program measures that may be provided to participants in the ESA Program in accordance with the *IS Manual*.<sup>44</sup>

**Table A-2**, found in Attachment A of this *P&P Manual*, indicates the specific program measures that may be provided to participants in the SMJUs' ESA Program in accordance with the *IS Manual*.<sup>45</sup>

### 5.3 Consideration of Changes to the 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 in their ESA Program Applications.

If warranted by the evidence, these recommendations may vary across climate zones. The Utilities have implemented a process for considering new measure additions, modifications and retirements to provide increased flexibility with which to make adjustments to the ESA (Main) Program during the current program cycle in accordance with CPUC directives in D.21-06-015.<sup>46</sup> This process requires the use of monthly reports (for modification purposes) as the most efficient method to allow the IOUs flexibility to make measure and program changes.<sup>47</sup> The ESA Working Group will be used as the venue to discuss these measure changes, as well as changes

---

<sup>44</sup> IOU measures approved per D.21-06-015, or modified/added/retired per the ESA Working Group's ESA (Main) Measure Offering Protocols.

<sup>45</sup> SMJU measures approved per D.21-10-023

<sup>46</sup> D.21-06-015, OP.61 and OP.69. This is also described in Section 6.5.8.1, p.192 and Section 6.5.8.11, p.199. The IOUs drafted ESA (Main) Measure Offering Protocols to Retire, Modify, and Add New Measures in 2022. These protocols were adopted by consensus at the ESA WG Meeting on July 27, 2022.

<sup>47</sup> D.21-06-015, p. 192 and 199.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

to measure co-pays and measure replacement criteria, before submitting them for notification through the ESA monthly reports. **Table A-1** and **Table A-2** (see Attachment A) will be updated to reflect any measure changes approved by the CPUC included in the monthly report. The monthly report will be referenced in the updated table(s).

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## 6 Minor Home Repairs

### 6.1 Introduction

This section describes the ESA Program policies and procedures relating to minor home repairs. Subsection 6.2 discusses the minor home repairs that may be provided through the ESA Program. Subsection 6.3 describes Program limits on expenditures on general types of minor home repairs. Finally, Subsection 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.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

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

<b>Service</b>	<b>Average Cost per Home Receiving Service<sup>48</sup></b>	<b>Maximum Cost for Individual Home</b>
Minor Home Repairs	\$1,700	\$2,500

## 6.4 Prioritization of Minor Home Repairs

The maximum minor home repair cost is currently set at \$2,500 per home.<sup>49</sup> However, the ESA Working Group is authorized to adjust the maximum cost up to 150% of the average household cost.<sup>50</sup> The utilities must monitor the minor home repair cap to ensure an appropriate share of the total program budget is spent on minor home repair. The ESA Working Group may adjust the cap based on average costs per household, as deeper retrofits result in higher average costs per household.<sup>51</sup> In the event that a contractor requests permission from the utility Program Manager to exceed the limit on minor home repairs, the Program Manager will base the decision on the estimated cost of the contractor's proposed minor home repair, 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
- Other repairs

---

<sup>48</sup> The \$1,700 average was used to determine the maximum minor home repair cost of \$2,500 and is not intended as an average to be maintained by the Program. The average cost will vary as the program progresses and will act as a reference for future minor home repair maximum cost adjustments (up to 150% of the newly determined average cost).

<sup>49</sup> D.21-06-015, OP.68.

<sup>50</sup> Id.

<sup>51</sup> D.21-06-015, p. 198.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## 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 contractor 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

In general, measures must be installed by the contractor, with the exception of measures that are authorized by the IOUs to be self-installed by the customer. Dropping off materials that have not been approved by the IOUs for later installation by the customer is not permitted under the ESA Program. The IOUs may approve limited customer self-installation of basic measures, provided verification processes are in place to ensure customer qualifications and installation standards are met. A list of self-install measures per utility can be found in Attachment F.

#### 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

Contractors 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 in accordance with individual utility contracts. For instance, the contractor is responsible for complete compliance with California Occupational Safety and Health Standards. It is the responsibility of each contractor to establish and maintain a safety program for all work undertaken for the ESA Program. It is also the responsibility of each contractor to ensure that all employees observe safety rules by complying with all required safety precautions and regulations. Contractors must ensure that their staff members receive appropriate training in the safe and proper use of the tools associated

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

with the installation of each ESA Program measure.

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

ESA Program contractors must communicate to the customer the benefits of each measure to be installed. 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***

Contractors 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 contractor 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 contractor and disposed of at the contractor'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 contractors 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 are not measures for mobile homes.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## 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 may use in-house personnel, contract employees, or contractor to conduct inspections. However, each utility will undertake either the in-house prime contractor's (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 contractors 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 contractors, as well as to manage programs in a prudent manner.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

## 8.4.3 Post-Installation Inspection Frequency

Utilities or their third party inspection contractors will select<sup>52</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. An expanded table of minimum sample sizes can be found in Attachment D.

**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
70%	140	241	317	377	425	443
75%	129	210	265	306	337	348
80%	115	176	213	238	257	263
85%	98	138	161	174	184	187
90%	75	97	107	113	117	119
95%	45	51	54	55	56	57

Utilities or their third party inspection contractors may exceed these minimum sample sizes if, in the judgment of the utility, 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 contractor exhibits a pattern of inspection failures that justifies inspection of a higher percentage of jobs
3. If a contractor is on a quality improvement plan which requires improvement of its

<sup>52</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 third party inspection contractors cannot compel program participants to be present for inspection appointments.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

inspection pass rates

Utilities will keep records of actual inspection frequencies by contractors.

## **8.4.4 Failed Inspections**

If a measure is installed incorrectly, a 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 contractors, the utility may utilize in-house personnel or a third-party to hear and determine appropriate action on any dispute between contractors and inspectors.

## **8.4.6 Inspection Waivers**

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

- **Mandatory inspections** by ESA Program inspector: Inspections are required for projects which include attic insulation or gas furnace replacement and additional measures as specified by the utility. 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 to schedule an appointment to inspect the home. If the participant does not respond in a timely manner<sup>53</sup> to this certified letter, the inspection provider must notify the utility that the inspection could not be completed. A certified letter may be substituted with similar means of communication, such as DocuSign, FedEx, UPS, etc.
- **Mandatory inspections** by the Authority Having Jurisdiction (AHJ): Any ESA Program measure that requires a building permit, issued by a building department for conventional and modular homes, or by HCD for mobile homes, must pass final inspection, with a copy of the finalized inspection report retained in the customer's file.
  - **Refused AHJ inspections**
    - In cases where the customer refuses to allow the AHJ to perform a final inspection, the contractor obtaining the permit shall advise the customer that

---

<sup>53</sup> Per contractual agreement or IOU procedure.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

- the inspection is required by the AHJ (State, County or City) and if refused, the permit will expire, and the work may be considered work done without a permit.
  - Upon discovery that the customer has refused the AHJ inspection, the ESA contractor will notify the homeowner by certified mail (or other means listed above) that full responsibility for finalizing the permit now rests with the homeowner. Any further contractor obligation is detailed in the utility contract or applicable procedure that the utility may have.
  - The ESA contractor shall retain in the customer's file copies of communications with the AHJ, certified letters sent to the customer, and any other written correspondence regarding the case.
- ***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 **Table 8-1** and/or Attachment D).

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## 9 Contractor Eligibility

### 9.1 Introduction

This section outlines eligibility conditions for contractors and their subcontractors 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 contractors and Program Administrators. Contractors interested in participating in the ESA Program can obtain information at each utility's respective website.

The IOUs must modify the policy related to background checks for the ESA Program to be consistent with the current direction for energy efficiency contractors as ordered in D.18-10-008 and corrected in D.19-07-016.<sup>54</sup>

### 9.2 Insurance Requirements

Contractors and their employees or subcontractors shall maintain insurance in full force and effect during the life of the contract as prescribed by 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. Contractors and their 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)

Contractors and their subcontractors should make every effort to hire and train from the local low-income communities. The utilities must also comply with the following efforts:<sup>55</sup>

- Alignment with the California Workforce Development Board's Energy and

---

<sup>54</sup> D.21-06-015, OP.105.

<sup>55</sup> D. 21-06-015, OP.104.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## Climate Jobs initiatives

- Alignment of ESA training with the Multi-Craft Core Curriculum.
- Establishment of formal partnerships between the IOUs, contractors and their subcontractors, apprenticeships, and community college programs to better integrate ESA into energy efficiency workforce education, as well as organizations that provide services to assist in developing ESA workers into more advanced positions, and CBOs that provide services to assist those in DACs or who are underrepresented.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## 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>56</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

---

<sup>56</sup> The NGAT section of the *IS Manual* describes the conditions under which an appliance is determined to affect the living space.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

as part of NGAT are described in this section.

## ***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 gas 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 contractor 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

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

procedures.<sup>57</sup>

- 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.
- In owner-occupied homes, non-program appliances<sup>58</sup> failing one or more of the tests covered by the NGAT protocols will be referred for service or provided with Service/Adjustment.<sup>59</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>60</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.

---

<sup>57</sup> Note that the absence of a furnace in cases where another gas appliance is used for space heating will constitute an NGAT fail.

<sup>58</sup> Appliances for which ESA Program repair or replacement is not available.

<sup>59</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>60</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.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## 11 Natural Gas Appliance Evaluation

### 11.1 Introduction

This section summarizes the statewide policy on ESA Program natural gas appliance evaluation for the purpose of determining if an appliance may be replaced. Specific standards for these natural gas appliance evaluations are described in the *IS Manual*.

### 11.2 Applicability of Natural Gas Appliance Evaluation

#### 11.2.1 General Applicability

In general, natural gas appliance evaluations may be conducted for all natural gas space heating and water heating appliances in owner-occupied homes prior to replacement. Those units not meeting the replacement criteria will be referred to weatherization.

#### 11.2.2 Applicability to Combustion Fuels Other than IOU Natural Gas

Homes with non-IOU (e.g., propane) fuels are not eligible for appliance evaluation or appliance repair and replacement. The IOUs will refer these homes to local LIHEAP agencies.

### 11.3 Natural Gas Appliance Evaluation Protocols

#### 11.3.1 General Protocols

General natural gas appliance evaluation protocols are presented below. More detailed procedures are described in the Natural Gas Appliance Evaluation section of the *IS Manual*.

#### 11.3.2 Pre-Replacement Evaluations of Gas Appliances

Prior to the installation of weatherization measures, an evaluation of natural gas space heating and water heating appliances may be conducted. Natural gas appliances failing the evaluation may be referred to weatherization for repair or replacement subject to Utility-specific Program policies and procedures.

#### 11.3.3 Post-Replacement Safety Testing for Gas Appliances

Natural gas appliance safety testing is performed immediately following appliance replacement. Appliances failing one or more of the post-replacement safety tests shall be corrected.

If infiltration reductions measures were installed after the appliance has been replaced, NGAT shall be conducted for all natural gas appliances affecting the living space in accordance with the

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

NGAT section of the *IS Manual*.

## **11.4 Personnel Performing Natural Gas Appliance Evaluations**

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

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## Supplement A

### SMJU ESA Program

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## SMJU ESA PROGRAM DISTINCTIONS

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

- a. SMJUs qualify customers for participation in the ESA Program through Categorical Eligibility provisions.<sup>61</sup>
- 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 Retirements (Go-Backs): SMJUs will, to the extent possible, prioritize retirements as directed by the Commission; however, due to the small nature of the programs other methods may be employed to manage retirements with contractors.

### 2. CLARIFICATION FOR ELECTRIC SMJUs

Bear Valley Electric, Liberty Utilities, and PacifiCorp (the Electric SMJUs) fund measures through the 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 A-1** found in Attachment A, which illustrates the specific measures included in each Electric SMJUs' ESA Program.

---

<sup>61</sup> Per D.21-10-023 OP9, the SMJUs must each implement categorical eligibility enrollment by no later than July 1, 2022 for the CARE and ESA programs consisting of the same assistance programs used by the large IOUs' categorical eligibility enrollment program.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## Attachment A

### Eligible ESA Program Measures

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

**Table A-1: Eligible IOU Measures<sup>1</sup>**

Measure	PG&E							SDG&E							SCE							SoCalGas						
	Tier	Special Segments <sup>10</sup>	CZ	S F	M F	M H	Renters Eligible	Tier	Special Segments <sup>10</sup>	CZ	S F	M F	M H	Renters Eligible	Tier	Special Segments <sup>10</sup>	CZ	S F	M F	M H	Renters Eligible	Tier	Special Segments <sup>10</sup>	CZ	S F	M F	M H	Renters Eligible
Faucet Aerators	Basic	N/A	All	✓	✓	✓	✓	Basic	N/A	All	✓	✓	✓	✓	Basic	N/A	All Elec	✓	✓	✓	✓	Basic	N/A	All	✓	✓	✓	✓
Low-Flow Showerhead or Combined Showerhead TSV	Basic	N/A	All	✓	✓	✓	✓	Basic	N/A	All	✓	✓	✓	✓	Basic	N/A	All Elec	✓	✓	✓	✓	Basic	N/A	All	✓	✓	✓	✓
Thermostatic Shower Valve	Basic	N/A	All	✓	✓	✓	✓	Basic	N/A	All	✓	✓	✓	✓	Basic	N/A	All Elec	✓	✓	✓	✓	Basic	N/A	All	✓	✓	✓	✓
Thermostatic Tub Spout/Diverter	Basic	N/A	All	✓	✓	✓	✓	Basic	N/A	All	✓	✓	✓	✓								Basic	N/A	All	✓	✓	✓	✓
LED A-lamp Bulbs	Basic	N/A	All	✓	✓	✓	✓	Basic	N/A	All	✓	✓	✓	✓	Basic	N/A	All	✓	✓	✓	✓							
LED Reflector Bulbs	Basic	N/A	All	✓	✓	✓	✓	Basic	N/A	All	✓	✓	✓	✓	Basic	N/A	All	✓	✓	✓	✓							
Power Strips <sup>2</sup>	Basic	N/A	All	✓	✓	✓	✓	Basic	N/A	All	✓	✓	✓	✓	Basic	N/A	All	✓	✓	✓	✓							
Exterior Hard Wired LED Fixtures	Plus	N/A	All	✓	✓	✓	✓							Basic	N/A	All	✓			✓								
Refrigerators <sup>3</sup>	Plus	N/A	All	✓	✓	✓	✓	Plus	N/A	All	✓	✓	✓	✓	Basic	N/A	All	✓	✓	✓	✓							
Smart Thermostat	Plus	N/A	All	✓	✓	✓	✓	Basic	HEU	All	✓	✓	✓	✓	Basic	N/A	All	✓	✓	✓	✓	Plus	N/A	All	✓	✓	✓	✓
Air Purifiers	Plus	MBL & DAC/ Tribal/ Rural	All	✓	✓	✓	✓	Plus	MBL, DAC/ CARB	All	✓	✓	✓	✓														
Portable AC	Plus	MBL & DAC/ Tribal/ Rural	CZ 11-14	✓	✓	✓	✓	Plus	MBL	CZ 10, 14, 15	✓	✓	✓	✓	Plus	HEU	CZ 13, 14, 15	✓	✓	✓	✓							
Diagnostic Air Sealing	Plus	HEU	All	✓	✓	✓	✓																					
Cold Storage	Plus	Wildfire	All	✓	✓	✓	✓																					
Floor Insulation	Plus	HEU	All	✓	✓	✓	✓																					
Comprehensive Home Health and Safety Check-up <sup>4</sup>																						Plus	N/A	All	✓	✓	✓	

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

Measure	PG&E							SDG&E							SCE							SoCalGas							
	Tier	Special Segments <sup>10</sup>	CZ	S F	M F	M H	Renters Eligible	Tier	Special Segments <sup>10</sup>	CZ	S F	M F	M H	Renters Eligible	Tier	Special Segments <sup>10</sup>	CZ	S F	M F	M H	Renters Eligible	Tier	Special Segments <sup>10</sup>	CZ	S F	M F	M H	Renters Eligible	
Central Heat Pump - FS														Plus	HEU	CZ 13, 14, 15	✓	✓	✓	✓									
CO & Smoke Alarms <sup>5</sup>	Plus	N/A	All	✓	✓	✓	✓															Plus	N/A	All	✓	✓	✓	✓	
Solar Water Heating																						Plus	HEU	All	✓	✓	✓	✓	
Whole House Fan	Plus	N/A	CZ 4, 11-14, 16	✓			✓	Plus	N/A	CZ 10, 14, 15	✓			✓															
Clothes Dryers								Plus	N/A	All	✓		✓	✓															
Dishwasher															Plus	HEU	All	✓	✓	✓	✓								
Evaporative Cooler Maintenance															Plus	HEU	CZ 10, 13-16	✓		✓	✓								
Freezers	Plus	N/A	All	✓	✓	✓	✓								Plus	HEU	All	✓	✓	✓	✓								
Furnace Clean & Tune																						Plus	N/A	All	✓	✓	✓	✓	
Gas Furnace Repair/Replace <sup>6</sup>	Plus	N/A	All	✓	✓	✓	✓	Plus	N/A	All	✓	✓	✓									Plus	N/A	All	✓	✓	✓		
HE FAU Repair/Replace <sup>7</sup>	Plus	N/A	All	✓	✓	✓	✓															Plus	N/A	All	✓	✓	✓		
Room AC Replacement								Plus	N/A	CZ 10	✓	✓	✓	✓	Plus	HEU	CZ 10, 13-15	✓	✓	✓	✓								
Central AC Replacement	Plus	N/A	CZ 11-14	✓			✓								Plus	HEU	CZ 10, 13-15	✓	✓	✓	✓								
Central Heat Pump Replacement	Plus	N/A	CZ 11-14	✓	✓	✓	✓								Plus	HEU	CZ 10, 13-15	✓	✓	✓	✓								
Efficient Fan Controller								Plus	N/A	All Elec	✓			✓	Plus	HEU	All	✓	✓	✓	✓								
Evaporative Cooler															Plus	HEU	CZ 10, 13-16	✓		✓	✓								
Duct Sealing								Plus	N/A	All Elec	✓			✓															
Prescriptive Duct Sealing	Plus	N/A	All	✓		✓	✓															Plus	N/A	All	✓		✓	✓	

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

Measure	PG&E							SDG&E							SCE							SoCalGas							
	Tier	Special Segments <sup>10</sup>	CZ	S F	M F	M H	Renters Eligible	Tier	Special Segments <sup>10</sup>	CZ	S F	M F	M H	Renters Eligible	Tier	Special Segments <sup>10</sup>	CZ	S F	M F	M H	Renters Eligible	Tier	Special Segments <sup>10</sup>	CZ	S F	M F	M H	Renters Eligible	
Central AC Tune-up/Services	Plus	N/A	CZ 2, 4, 6, 11-14	✓	✓	✓	✓							Plus	HEU	All	✓	✓	✓	✓									
Envelope/Air Sealing Measures <sup>8</sup>	Plus	N/A	All	✓	✓	✓	✓	Plus	N/A	All	✓	✓	✓	✓	Plus	HEU	All Elec	✓	✓	✓	✓	Plus	N/A	All	✓	✓	✓	✓	✓
Attic Insulation	Plus	N/A	All	✓	✓		✓	Plus	N/A	All Elec	✓			✓	Plus	HEU	All Elec	✓	✓		✓	Plus	N/A	All	✓	✓		✓	✓
Minor Home Repairs <sup>9</sup>	Plus	N/A	All	✓	✓	✓	✓	Plus	N/A	All	✓	✓	✓	✓	Plus	HEU	All Elec	✓	✓	✓	✓	Plus	N/A	All	✓	✓	✓	✓	✓
Water Heater Repair/Replacement	Plus	N/A	All	✓	✓	✓	✓	Plus	N/A	All	✓	✓									Plus	N/A	All	✓	✓	✓			
Heat Pump Water Heater	Plus	N/A	All	✓	✓	✓	✓	Plus	N/A	All	✓		✓	✓	Plus	HEU	All	✓	✓	✓	✓								
Water Heater Blanket	Plus	N/A	All	✓	✓	✓	✓	Plus	N/A	All			✓	✓	Plus	HEU	All Elec	✓	✓	✓	✓	Plus	N/A	All	✓	✓	✓	✓	✓
Water Heater Pipe Insulation	Plus	N/A	All	✓	✓	✓	✓	Plus	N/A	All			✓	✓	Plus	HEU	All Elec	✓	✓	✓	✓	Plus	N/A	All	✓	✓	✓	✓	✓
High Efficiency Clothes Washer	Plus	N/A	All	✓	✓	✓	✓	Plus	N/A	All	✓	✓	✓	✓	Plus	HEU	All	✓	✓	✓	✓	Plus	N/A	All	✓	✓	✓	✓	✓
Pool Pumps	Plus	N/A	All	✓			✓	Plus	N/A	All	✓			✓	Plus	HEU	All	✓			✓								
Ductless Mini Split Heat Pump														Plus	HEU	CZ 13, 14, 15	✓	✓	✓	✓									

### Table A-1 Footnotes:

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

The 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> Power Strips – PG&E will offer Tier II Bluetooth enabled smart power strips, SCE will offer Tier II smart strips, and SDG&E will offer Tier I and Tier II smart power strips. The IOUs will only provide Power Strips to Basic customers not requiring grounding.

# California Statewide Energy Savings Assistance Program

## Policy and Procedures Manual

---

<sup>3</sup> Refer to Subsection 2.6.2 of this *P&P Manual* for second refrigerator replacement policy.

<sup>4</sup> The Comprehensive Home Health & Safety Check-Up includes: installation of smoke alarms, installation of CO alarms, installation of FAU filter, checking water pressure, checking water fixtures for leaks, checking and advising of utility shut-off locations (electric panel, gas meter, main water valve), replacement of cracked or missing switch/outlet covers, assessment of gas appliance venting to the exterior of the home and making necessary corrections, checking for adequate CVA, checking for gas leaks, and checking that gas appliances are operating correctly.

<sup>5</sup> PG&E offers these measures to meet permit requirements.

<sup>6</sup> SoCalGas measures for Furnace Replace are Space Heating Appliances, Forced Air Unit (FAU) Early Replace, and WF/FAU Replace on Burnout. For owner-occupied units, furnace repairs and replacements are provided 1) when necessary to mitigate NGAT fails and pursuant to the installation of infiltration-reduction measures, or 2) when replacement has been identified through natural gas appliance evaluation. Water heater repairs and replacements are also provided 1) when necessary to mitigate NGAT fails, 2) to replace leaking water heater tanks, or 3) when replacement has been identified through natural gas appliance evaluation.

<sup>7</sup> Measures for HE FAU Replace are HE FAU Early Replace, HE FAU Replace on Burnout, HE FAU when replacement has been identified through natural gas appliance evaluation (for SoCalGas), and HE FAU Early Replace and Replace on Burnout (for PG&E). 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 (also known as “burnout”).

For SoCalGas, a High Efficiency FAU may also be installed as an early replacement for an existing operational FAU, provided all the following conditions are met:

- The existing FAU has an AFUE  $< 80\%$ .
- The customer’s winter season usage is  $> 200\%$  of baseline

For PG&E, a High Efficiency FAU may also be installed as an early replacement for an existing operational FAU, provided all the following conditions are met:

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

<sup>8</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 patching, interior wall repair, glass replacements, glazing compounds, lock sets (exterior door) windowsill repair, thresholds, vent repair and alignment, and window repair).

<sup>9</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 program measures (e.g., attic venting).

<sup>10</sup> Special Segments are as defined in the IOUs’ Application and approved in D.21-06-015.

Note: In situations where there are questions regarding the interpretation of a certain measure, the Utilities shall use D. 21-06-015 or subsequent superseding decision as the overriding authority.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

**Table A-2: Eligible SMJU Measures<sup>1</sup>**

Measure [1],[2]	Alpine						BVES					Liberty					PacifiCorp					Southwest Gas																		
	Proposed Tier	Special Segment	CZ	SF	MF	MH	Avail. To Renters	Proposed Tier	Special Segment	CZ	SF	MF	MH	Avail. To Renters	Proposed Tier	Special Segment	CZ	SF	MF	MH	Avail. To Renters	Proposed Tier	Special Segment	CZ	SF	MF	MH	Avail. To Renters	Proposed Tier	Special Segment	CZ	SF	MF	MH	Avail. To Renters					
<b>Heating, Ventilation &amp; Air Conditioning</b>																																								
Gas Furnace Repair/Replacement	Plus	N/A	12	✓	N/A	N/A																													Plus	N/A	All CZ	✓	✓	✓
HEFAU Early Replace [3],[4]	Plus	N/A	12	✓	N/A	N/A																													Plus	N/A	14,16	✓	✓	✓
HEFAU On Burnout [3],[4]	Plus	N/A	12	✓	N/A	N/A																													Plus	N/A	14,16	✓	✓	✓
HE Wall Furnace Early Replace	Plus	N/A	12	✓	N/A	N/A																													Plus	N/A	14,16	✓	✓	✓
HE Wall Furnace On Burnout	Plus	N/A	12	✓	N/A	N/A																													Plus	N/A	14,16	✓	✓	✓
Forced Air Unit Standing Pilot Light Conversion																																								
Electric Furnace Repair or Replacement [7]								Plus	N/A	16	✓	✓	✓		Plus	N/A	16	✓	✓	✓		Plus	N/A	1,16	✓	✓	✓													
Central Heat Pump Replacement															Plus	N/A	16	✓	✓	✓	✓	Plus	N/A	1,16	✓	✓	✓													
Ductless Heat Pumps conversions from Electric Resistance Heating																						Plus	N/A	1,16	✓	✓	✓													
Smart Thermostats	Basic	N/A	12	✓	N/A	N/A	✓								Basic	N/A	16	✓	✓	✓	✓	Plus	N/A	1,16	✓	✓	✓	✓						Basic	N/A	14,16	✓	✓	✓	✓
Central A/C Replacement															Plus	N/A	16	✓	✓	✓	✓	Plus	N/A	1,16	✓	✓	✓													
Room AC Replacement								Plus	N/A	16	✓	✓	✓	✓	Plus	N/A	16	✓	✓	✓	✓																			
Brushless Fan Motors																						Plus	N/A	1,16	✓	✓	✓													
Duct Sealing								Plus	N/A	16	✓	✓	✓	✓								Plus	N/A	1,16	✓	✓	✓	✓												
Prescriptive Duct Sealing	Plus	N/A	12	✓	N/A	N/A	✓	Plus	N/A	16	✓	✓	✓	✓	Plus	N/A	16	✓	✓	✓	✓	Plus	N/A	1,16	✓	✓	✓	✓						Plus	N/A	14,16	✓	✓	✓	✓
Dehumidifier																						Plus	N/A	1,16	✓	✓	✓	✓												
Attic Ventilation																						Plus	N/A	1,16	✓	✓	✓	✓												
<b>Maintenance</b>																																								
Furnace Clean & Tune	Plus	N/A	12	✓	N/A	N/A	✓	Plus	N/A	16	✓	✓	✓	✓	Plus	N/A	16	✓	✓	✓	✓	Plus	N/A	1,16	✓	✓	✓	✓						Plus	N/A	14,16	✓	✓	✓	✓
Central A/C Tune-up															Plus	N/A	16	✓	✓	✓	✓	Plus	N/A	1,16	✓	✓	✓	✓												
Heat Pump Tune-up															Plus	N/A	16	✓	✓	✓	✓																			
<b>Enclosure</b>																																								
Envelop/Air Sealing Measures [5]	Plus	N/A	12	✓	N/A	N/A	✓	Plus	N/A	16	✓	✓	✓	✓	Plus	N/A	16	✓	✓	✓	✓	Plus	N/A	1,16	✓	✓	✓	✓						Plus	N/A	14,16	✓	✓	✓	✓
Attic Insulation	Plus	N/A	12	✓	N/A	N/A	✓	Plus	N/A	16	✓	✓	✓	✓	Plus	N/A	16	✓	✓	✓	✓	Plus	N/A	1,16	✓	✓	✓	✓						Plus	N/A	14,16	✓	✓	✓	✓
Kneewall Insulation								Plus	N/A	16	✓	✓	✓	✓								Plus	N/A	1,16	✓	✓	✓	✓												
Floor Insulation								Plus	N/A	16	✓	✓	✓	✓	Plus	N/A	16	✓	✓	✓	✓	Plus	N/A	1,16	✓	✓	✓	✓												
Minor Home Repair [6]	Plus	N/A	12	✓	N/A	N/A	✓	Plus	N/A	16	✓	✓	✓	✓	Plus	N/A	16	✓	✓	✓	✓	Plus	N/A	1,16	✓	✓	✓	✓						Plus	N/A	14,16	✓	✓	✓	✓
Evaporative Coolers Covers								Plus	N/A	16	✓	✓	✓	✓								Plus	N/A	1,16	✓	✓	✓	✓												
Storm Windows								Plus	N/A	16	✓	✓	✓	✓	Plus	N/A	16	✓	✓	✓	✓																			



# California Statewide Energy Savings Assistance Program

## Policy and Procedures Manual

---

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 D. 21-06-015 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 (also known as “burnout”). A High Efficiency FAU may also be installed to replace an existing operational FAU, provided all the following conditions are met:

- The existing FAU has an AFUE  $\leq 65\%$ .
- The 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 Covers, Air-Conditioner Cooler Covers, 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 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 patching/plate, door replacement; lock sets (exterior doors); exhaust fan and venting repairs, replacements, and alignment (appliances and attics); exterior wall repair; foam wall patching; interior wall repair; window repair; glass replacement; glazing compounds; windowsill repair; and sash repair. Refer to Subsection 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] Refer to Subsection 2.6.2 of this *P&P Manual* for second refrigerator replacement policy.

9] Other Hot Water includes Low-Flow Showerhead and Faucet Aerator.

10] Tank and Pipe Insulation includes Water Heater Blanket and Water Heater Pipe Insulation.

**California Statewide Energy Savings Assistance Program  
Policy and Procedures Manual**

---

**Attachment B**

**Definitions of Reporting Categories and Segments**

## California Statewide Energy Savings Assistance Program Policy and Procedures Manual

**Table B-1: IOU Reporting Categories and Segments – Definitions and Methodologies (PY 2022-2026)<sup>62</sup>**

Segment	Definition	Methodologies (Source for Tracking and Reporting)
<b>Demographic</b>		
Housing Type	Single family homes, multifamily dwelling units, and mobile homes are eligible to participate in the program. Duplexes, triplexes, and fourplexes will be qualified as single family homes. Multifamily complexes are defined as those with five (5) or more dwelling units. Mobile homes are defined by California Department of Housing and Community Development as having “over 320 square feet of gross floor area, more than eight feet in width, and more than 40 feet in length.” A mobile home is a manufactured home regulated by the U.S. Department of Housing and Urban Development code (Sec. 3280) 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. (Derived from Statewide Energy Savings Assistance Program 2017-2020 Cycle Policy and Procedures (P&P) Manual p. 20)	Source from utility program database.
Renter vs. Owner	Owner: The individual or company that has owner’s rights to the dwelling. Renter: The individual who pays rent for a dwelling and is not a dependent of anyone in the household.	Source from utility program database.
Previous vs. New Participant	The go back rule is eliminated pursuant to D.16-11-022 Ordering Paragraph 9 and D.18-08-020 Ordering Paragraph 4. Utilities are directed to conduct household retreatment based on household energy usage, prioritizing high energy users (D.16-11-022 COL 13). Utilities apply additional prioritization criteria within their territories consistent with guidelines in D.16-11-022.	Source from utility program database.
Senior	PG&E definition is age 60 years plus. (ESA - utility internal use) SDG&E definition is age 62 years or older. (ESA - utility internal use) SCE and SoCalGas definition is based on CPUC term "elderly" at age 65 years or over.	At this time, all the utilities may not currently request, track or report this data.

<sup>62</sup> As directed in Attachment 3 of D.21-06-015, the Joint IOUs submit the definitions for certain terms, many of which are derived from CPUC proceedings outside of this Low Income proceeding. To the extent a definition is modified pursuant to the relevant proceeding, the definitions submitted here are subject to change.

## California Statewide Energy Savings Assistance Program Policy and Procedures Manual

Segment	Definition	Methodologies (Source for Tracking and Reporting)
Veteran	A former member of the armed forces, unless dishonorably discharged. The IOUs do not have a standard definition for this segment.	At this time, the utilities do not request, track or report this data. Therefore, there is no methodology for identifying this segment.
Hard-to-Reach	The Commission’s Energy Efficiency Policy Manual defines hard-to-reach residential customers as “those customers who do not have easy access to program information or generally do not participate in energy efficiency programs due to a language, income, housing type, geographic, or home ownership (split incentives) barrier.” Derived from D.18-05-041, p. 41-42.	Source from utility customer information systems, participating outreach contractors, program database, and other sources where applicable.
Vulnerable	CPUC adopts the staff definition of communities that are the most vulnerable to climate change and call such communities “Disadvantaged Vulnerable Communities” or DVCs. As discussed in the “Median Income” Section below, we modify the staff proposal to include state median income and not area median income: A DVC for purposes of this proceeding consists of communities in the 25% highest scoring census tracts according to the most current versions of the California Communities Environmental Health Screening Tool (CalEnviroScreen), as well as all California Tribal lands, census tracts that score in the highest 5% of Pollution Burden within CalEnviroScreen, but do not receive an overall CalEnviroScreen score due to unreliable public health and socioeconomic data, and census tracts with median household incomes less than 60% of state median income. D.20-08-046 at p. 12-13, dated August 27, 2020. (Decision on Energy Utility Climate Change Vulnerability Assessments and Climate Adaptation in Disadvantaged Communities [Phase 1, Topics 4 and 5])	At this time, the utilities do not request, track or report this data. Therefore, there is no methodology for identifying this segment.

## California Statewide Energy Savings Assistance Program Policy and Procedures Manual

Segment	Definition	Methodologies (Source for Tracking and Reporting)
<b>Financial</b>		
CARE	CARE legislation was codified in Public Utilities Code (“PUC”) Sections 739.1 and 739.2 (low-income households with incomes at or below 200% of the federal poverty guidelines).	Source from utility customer information systems.
Disconnected	As approved by the CPUC for the utility-specific tariffs.	Source from utility customer information systems.
Arrearages	PG&E defines arrearages as overdue balances greater than 19 days. (Source is Rule 8.) SDG&E and SoCalGas defines arrearages as overdue balance greater than 30 days. (Disconnections D.18-12-013.) SCE defines arrearages as overdue balances greater than 20 days.	Source from utility customer information systems.
High Usage	Electric: PG&E and SDG&E - Usage of at least 400% of baseline at least three times in a 12-month period. (D.21-06-015.) Electric: SCE - Usage of at least 300% of baseline at least once in 12-month period. (D.21-06-015.) Gas: SoCalGas - Customers above 200% baseline quantity usage during non-winter periods. (D.17-12-009 at p. 287.)	Source from utility customer information systems.
High Energy Burden	Energy burden is the percentage of customers’ annual income that is spent on their energy bills. (2019 LINA Study at p.v - dated 12/13/2019)	At this time, the utilities do not track or report this data. Therefore, there is no methodology for identifying this segment.
SEVI	The Socioeconomic Vulnerability Index (SEVI) metric represents the relative socioeconomic standing of census tracts, referred to as communities, in terms of poverty, unemployment, educational attainment, linguistic isolation, and percentage of income spent on housing. This metric therefore considers how a rate change may affect one community’s ability to pay more than another’s. Source: 2019 Annual Affordability Report p. 16	At this time, the utilities do not track or report this data. Therefore, there is no methodology for identifying this segment.
Affordability Ratio	The Affordability Ratio (AR) metric quantifies the percentage of a representative household’s income that would be used to pay for an essential utility service after non-discretionary expenses such as housing	At this time, the utilities do not track or report this data. Therefore, there is

## California Statewide Energy Savings Assistance Program Policy and Procedures Manual

Segment	Definition	Methodologies (Source for Tracking and Reporting)
	and other essential utility service charges are deducted from the household's income. Source: 2019 Annual Affordability Report p. 14	no methodology for identifying this segment.
<b>Location</b>		
DAC	<p>"Disadvantaged communities" refers to the areas throughout California which most suffer from a combination of economic, health, and environmental burdens. These burdens include poverty, high unemployment, air and water pollution, presence of hazardous wastes, as well as high incidence of asthma and heart disease. One way that the state identifies these areas is by collecting and analyzing information from communities all over the state. CalEnviroScreen, an analytical tool created by the California Environmental Protection Agency (CalEPA), combines different types of census tract-specific information into a score to determine which communities are the most burdened or "disadvantaged." Insert a city or town in the CalEnviroScreen map's search box here to see if it is considered a disadvantaged community in this context: <a href="https://oehha.ca.gov/calenviroscreen/sb535">https://oehha.ca.gov/calenviroscreen/sb535</a> (Pursuant to Section 39711 of the Health and Safety Code, the California Environmental Protection Agency [CalEPA] developed a means for identifying disadvantaged communities. (D.18-05-041, p. 39.)</p>	Source from utility customer information systems.
Rural	<p>The Goldsmith definition is used to determine rural and urban eligibility and participation for ESA and CARE Programs. Rural areas are defined as all population, housing and territory not included within an urbanized area or urban cluster. Census blocks are identified as urban if they have a density of 1,000 people per square mile. These blocks are then aggregated to define urbanized areas that contain 50,000 or more people and urban clusters are areas with at least 2,500 but fewer than 50,000 people. (Reflected in Athens Research annual eligibility update filed February 12 of each year (D.21-06-015)).</p>	Source from utility customer information systems.
Tribal	<p>Native Americans residing on federally recognized Tribal land within the IOUs service territory. (D.17-12-009 at p. 185.)</p>	Source from utility customer information systems.

## California Statewide Energy Savings Assistance Program Policy and Procedures Manual

Segment	Definition	Methodologies (Source for Tracking and Reporting)
Climate Zone	California has a diversity of climates not seen in other states, and the statewide provisions adopted into the California Energy Code accounts for these variations using a set of sixteen California Energy Commission (CEC) climate zones. Several efficiency standards, such as those for envelope and fenestration (window and door) materials, depend on the specific climate zone that the building is located in. The climate zones referenced are developed by the CEC, and are updated regularly. (Derived from Statewide Energy Savings Assistance Program 2017-2020 Cycle P&P Manual p. 34 and p. 54)	Source from utility customer information systems.
CARB Community	Neighborhoods that have been identified by the California Air Resources Board (CARB) Community Air Protection Program, where they overlap with existing IOU DAC zip codes, as identified by Cal Enviro Screen 3.0 as being among the 20% most disadvantaged census tracts in IOUs territory.	Source from utility customer information systems.
PSPS Zone (Event)	Public Safety Power Shut-off: High Fire Threat areas where utilities may proactively cut power to electrical lines that may fail in certain weather conditions to reduce the likelihood that their infrastructure could cause or contribute to a wildfire. (D.20-05-051 De-Energization) SoCalGas: Not Applicable	The ESA Program does not track or report this data.
High Fire Threat District (also known as Wildfire Zone)	High Fire Threat District means those areas comprised of the following: (1) Zone 1 is Tier 1 of the latest version of the United States Forest Service and CAL FIRE’s joint map of Tree Mortality High Hazard Zones. (2) Zone 2 is Tier 2 (Elevated) of the CPUC Fire-Threat Map. (3) Zone 3 is Tier 3 (Extreme) of the CPUC Fire-Threat Map. The CPUC Fire-Threat Map was developed under R.15-05-006 and adopted by the CPUCs Safety and Enforcement Division in January 2018. The most recent version is located at <a href="https://ia.cpuc.ca.gov/firemap/">https://ia.cpuc.ca.gov/firemap/</a> . <b>PG&amp;E defines its Wildfire Zone Needs State as: Customers residing in areas defined as extreme danger zones (ie., Zone 3) in CPUC Fire Threat maps available at <a href="https://ia.cpuc.ca.gov/firemap/">https://ia.cpuc.ca.gov/firemap/</a> who are most likely to be turned off in the event of high fire danger.</b>	Source from utility customer information systems.

## California Statewide Energy Savings Assistance Program Policy and Procedures Manual

Segment	Definition	Methodologies (Source for Tracking and Reporting)
<b>Health Conditions</b>		
Medical Baseline	Customers who are enrolled in the IOUs Medical Baseline Allowance program. (Utility-specific tariff)	Source from utility customer information systems.
Respiratory	The utilities do not have a definition for this segment.	The utilities do not have a methodology for identifying this segment.
Disabled	ESA customers who self-identify as having a disability. (D.12-08-044)	Data is captured on ESA enrollment application

## California Statewide Energy Savings Assistance Program Policy and Procedures Manual

**Table B-2: SMJU Reporting Categories and Segments – Definitions and Methodologies (PY 2022-2026)<sup>63</sup>**

Segment	Consistent Across SMJUs		Not Consistent Across SMJUs
Demographic	Definition	Methodologies	
Housing Type	Single family homes, multifamily dwelling units, and mobile homes are eligible to participate in the program. Duplexes, triplexes, and fourplexes will be qualified as single family homes. Multifamily complexes are defined as those with five (5) or more attached dwelling units. Mobile homes are defined by California Department of Housing and Community Development as having “over 320 square feet of gross floor area, more than eight feet in width, and more than 40 feet in length.” A mobile home is a manufactured home regulated by the U.S. Department of Housing and Urban Development code (Sec. 3280) 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. (Derived from Statewide Energy Savings Assistance Program 2017-2020 Cycle Policy and Procedures (P&P) Manual p. 20)	Source from utility program database.	
Renter vs. Owner	<p>Owner: The individual or company that has owner’s rights to the dwelling.</p> <p>Renter: The individual who pays rent for dwelling and is not a dependent of anyone in the household.</p>	Source from utility program database.	

<sup>63</sup> As directed in Attachment 1 of D.21-10-023, the Joint SMJUs submit the definitions for certain terms, many of which are derived from CPUC proceedings outside of this Low Income proceeding. To the extent a definition is modified pursuant to the relevant proceeding, the definitions submitted here are subject to change.

## California Statewide Energy Savings Assistance Program Policy and Procedures Manual

Segment	Consistent Across SMJUs		Not Consistent Across SMJUs
Previous vs. New Participant	The go back rule is eliminated pursuant to D.16-11-022 Ordering Paragraph 9 and D.18-08-020 Ordering Paragraph 4. Utilities are directed to conduct household retreatment based on household energy usage, prioritizing high energy users (D.16-11-022 COL 13). Utilities apply additional prioritization criteria within their territories consistent with guidelines in D.16-11-022.	Source from utility program database.	
Seniors	Pub. Util. Code § 779.1(c) (Phrasing of “residential customers who are 65 years of age or older” with “dependent adults” implying senior status for prior group); Cal. Civ. Code § 1761(f) (“Senior citizen” means a person who is 65 years of age or older”); Cal. Civ. Code § 2944.8 (defining senior citizen as person 65 years of age or older); Cal. Bus. & Prof. Code § 17206.1 (defining senior citizen as person 65 years of age or older).	At this time, all the utilities may not request, track, or report this data.	PacifiCorp’s definition is based on CPUC term “elderly” at age 65 years or over.  Southwest Gas, Liberty, and BVES define an elderly person as one who is 62 years of age or older.
Veteran	A former member of the armed forces, unless dishonorably discharged. The SMJUs do not have a standard definition for this segment.	At this time, the utilities do not request, track, or report this data. Therefore, there is no methodology for identifying this segment.	
Hard-to-Reach	The Commission’s Energy Efficiency Policy Manual defines hard-to-reach residential customers as “those customers who do not have easy access to program information or generally do not participate in energy efficiency programs due to a language, income, housing type, geographic, or home ownership (split	At this time, the utilities do not request, track, or report this data. Therefore, there is no methodology for	

## California Statewide Energy Savings Assistance Program Policy and Procedures Manual

Segment	Consistent Across SMJUs		Not Consistent Across SMJUs
	incentives) barrier. Derived from D.18-05-041, pp.41-42.	identifying this segment.	
Vulnerable	<p>CPUC adopts the staff definition of communities that are the most vulnerable to climate change and call such communities “Disadvantaged Vulnerable Communities” or DVCs. As discussed in the “Median Income” Section below, we modify the staff proposal to include state median income and not area median income: DVCs for the purposes of this proceeding consist of communities in the 25% highest scoring census tracts according to the most current versions of the California Communities Environmental Health Screening Tool (CalEnviroScreen), as well as all California Tribal lands, census tracts that score in the highest 5% of Pollution Burden within CalEnviroScreen but do not receive an overall CalEnviroScreen score due to unreliable public health and socioeconomic data, and census tracts with median household incomes less than 60% of state median income.</p> <p>Decision 20-08-046 at p.12-13 dated August 27, 2020. (Decision on Energy Utility Climate Change Vulnerability Assessments and Climate Adaptation in Disadvantaged Communities [Phase 1, Topics 4 and 5])</p>	At this time, the utilities do not request, track or report this data. Therefore, there is no methodology for identifying this segment.	
<b>Financial</b>	<b>Definition</b>	<b>Methodologies</b>	
CARE	CARE legislation was codified in Public Utilities Code (“PUC”) Sections 739.1 and 739.2 (Low-income households with incomes at or below 200% of the federal poverty guidelines).	Source from utility program database.	

## California Statewide Energy Savings Assistance Program Policy and Procedures Manual

Segment	Consistent Across SMJUs		Not Consistent Across SMJUs
Disconnected	As approved by the CPUC for the utility-specific tariffs.	Source from utility program database.	
Arrearages		Source from utility program database.	Alpine, Liberty, PacifiCorp and Southwest Gas defines arrearages as past due balances greater than 30 days.  BVES defines arrearages at 45 days.
High Usage		Source from utility program database. Not applicable to all SMJUs service territories.	BVES, Liberty and PacifiCorp – Usage of at least 400% of baseline at least three times in a 12-month period. D.21-06-015 and D.21-10-023  Alpine and Southwest Gas do not define or identify High Usage customers
High Energy Burden	Energy burden is the percentage of customers’ annual income that is spent on their energy bills. (2019 LINA Study at p.v – dated 12/13/2019)	At this time, the utilities do not track or report this data. Therefore, there is no methodology for identifying this segment.	
SEVI	The Socioeconomic Vulnerability Index (SEVI) metric represents the relative socioeconomic standing of census tracts, referred to as communities, in terms of poverty, unemployment, educational attainment, linguistic isolation, and percentage of income spent on	At this time, the utilities do not track or report this data. Therefore, there is no methodology for	

## California Statewide Energy Savings Assistance Program Policy and Procedures Manual

Segment	Consistent Across SMJUs		Not Consistent Across SMJUs
	housing. This metric therefore considers how a rate change may affect one community's ability to pay more than another's. Source: 2019 Annual Affordability Report p. 16	identifying this segment.	
Affordability Ratio	The Affordability Ratio (AR) metric quantifies the percentage of a representative household's income that would be used to pay for an essential utility service after non-discretionary expenses such as housing and other essential utility service charges are deducted from the household's income. Source: 2019 Annual Affordability Report p. 14	At this time, the utilities do not track or report this data. Therefore, there is no methodology for identifying this segment.	

## California Statewide Energy Savings Assistance Program Policy and Procedures Manual

Segment	Consistent Across SMJUs		Not Consistent Across SMJUs
Location	Definition	Methodologies	
DAC	<p>Disadvantaged communities refers to the areas throughout California which most suffer from a combination of economic, health, and environmental burdens. These burdens include poverty, high unemployment, air and water pollution, presence of hazardous wastes as well as high incidence of asthma and heart disease. One way that the state identifies these areas is by collecting and analyzing information from communities all over the state. CalEnviroScreen, an analytical tool created by the California Environmental Protection Agency (CalEPA), combines different types of census tract-specific information into a score to determine which communities are the most burdened or “disadvantaged.” Insert a city or town in the CalEnviroScreen map’s search box here to see if it is considered a disadvantaged community in this context.</p> <p><a href="https://oehha.ca.gov/calenviroscreen/sb535">https://oehha.ca.gov/calenviroscreen/sb535</a></p> <p>(Pursuant to Section 39711 of the Health and Safety Code, the California Environmental Protection Agency (CalEPA) developed a means for identifying disadvantaged communities. See D.18-05-041 p. 39.)</p>	<p>Not applicable to all SMJUs service territories</p> <p>At this time, not all SMJUs track or report this data. Therefore, there is no methodology for identifying this segment</p>	<p>BVES, Liberty and PacifiCorp do not provide electric service to Disadvantaged Communities.</p> <p>Alpine does not provide natural gas service to Disadvantaged Communities.</p> <p>Southwest Gas serves the following DACs within its Southern California service territory: Adelanto, Barstow, Calico, North Barstow, Summit, and Victorville. Southwest Gas does not have DACs in its Northern California service territories</p>
Rural	<p>The Goldsmith definition is used to determine rural and urban eligibility and participation for ESA and CARE Programs. Rural areas are defined as all population, housing and territory not included within an urbanized area or urban cluster. Census blocks are identified as urban if they have a density of 1,000 people per square mile. These blocks are then</p>	<p>At this time, the utilities do not track or report this data. Therefore, there is no methodology for identifying this segment.</p>	

## California Statewide Energy Savings Assistance Program Policy and Procedures Manual

Segment	Consistent Across SMJUs		Not Consistent Across SMJUs
	aggregated to define urbanized areas that contain 50,000 or more people and urban clusters are areas with at least 2,500 but fewer than 50,000 people. (Reflected in Athens Research annual eligibility update filed February 12 of each year [D.21-06-015]).		
Tribal	The Commission’s Tribal Consultation Policy defines “California Native American tribe” as a Native American Tribe located in California that is on the contact list maintained by the Native American Heritage Commission for the purposes of Chapter 905 of the Statutes of 2004. (See Public Resources Code Section 21073.) California Native American Tribes include both federally recognized and non-federally recognized Tribes.	At this time, the utilities do not track or report this data. Therefore, there is no methodology for identifying this segment.	Alpine does not have Tribal land in its service area.  BVES does not have any Tribal lands in its service territory.  Liberty and PacifiCorp provide electric service to customers residing on Tribal lands.  Southwest Gas provides natural gas service to customers residing on Tribal lands.
Climate Zone	California has a diversity of climates not seen in other states, and the statewide provisions adopted into the California Energy Code accounts for these variations using a set of 16 California Energy Commission (CEC) climate zones. Several efficiency standards, such as those for envelope and fenestration (window and door) materials, depend on the specific climate zone that the building is located in. The climate zones referenced are developed by the CEC, and are	Source from utility program database.	

## California Statewide Energy Savings Assistance Program Policy and Procedures Manual

Segment	Consistent Across SMJUs		Not Consistent Across SMJUs
	updated regularly. (Derived from Statewide Energy Savings Assistance Program 2017-2020 Cycle P&P Manual p. 34 and p. 54)		
CARB Community	Neighborhoods that have been identified by the California Air Resources Board (CARB) Community Air Protection Program, where they overlap with existing IOU DAC zip codes, as identified by Cal Enviro Screen 3.0 as being among the 20% most disadvantaged census tracts in IOUs territory.	Not applicable to SMJUs service territories	BVES, Liberty and PacifiCorp do not provide electric service to customers in CARB Communities.  Alpine and Southwest Gas do not provide natural gas service to customers in CARB Communities.
PSPS Zone (Event)	Public Safety Power Shut-off: High Fire Threat areas where utilities may proactively cut power to electrical lines that may fail in certain weather conditions to reduce the likelihood that their infrastructure could cause or contribute to a wildfire. (D.20-05-051 De-Energization)	The ESA Program does not track or report this data.	Alpine is gas only
High Fire Threat District (also known as Wildfire Zone)	High Fire Threat District means those areas comprised of the following: (1) Zone 1 is Tier 1 of the latest version of the United States Forest Service and CAL FIRE’s joint map of Tree Mortality High Hazard Zones. (2) Zone 2 is Tier 2 (Elevated) of the CPUC Fire-Threat Map. (3) Zone 3 is Tier 3 (Extreme) of the CPUC Fire-Threat Map. The CPUC Fire-Threat Map was developed under R.15-05-006 and adopted by the CPUCs Safety and Enforcement Division in January 2018. The most	Source from utility program database.	

## California Statewide Energy Savings Assistance Program Policy and Procedures Manual

Segment	Consistent Across SMJUs		Not Consistent Across SMJUs
	recent version is located at <a href="https://ia.cpuc.ca.gov/firemap/">https://ia.cpuc.ca.gov/firemap/</a> .		
Health Condition	Definition	Methodologies	
Medical Baseline	Customers who are enrolled in the SMJUs Medical Baseline Allowance program. (Utility specific tariff)	Source from utility program database.	
Respiratory	The utilities do not have a definition for this segment.	The utilities do not have a methodology for identifying this segment.	
Disabled	ESA customers who self- identify as having a disability. (D.12-08-044)  Cal. Civ. Code § 1761(g) (“Disabled person” means a person who has a physical or mental impairment that substantially limits one or more major life activities.) ESA customers who self- identify as having a disability on their application.	Data is captured on the ESA enrollment application.	

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## Attachment D

### Inspection Pass Rates

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

**Table D-1: Expanded Inspection Pass Rate Tables**

Pass Rate	Number of Homes Complete by Contractor											
	100	200	300	400	500	600	700	800	900	1000	1100	1200
70%	82	140	182	215	241	262	279	294	306	317	326	335
75%	78	129	164	190	210	226	238	249	258	265	272	278
80%	73	115	143	162	176	187	195	202	208	213	217	221
85%	66	98	117	129	138	145	150	154	158	161	163	165
90%	55	75	86	93	97	100	103	105	106	107	109	109
95%	37	45	48	50	51	52	53	53	54	54	54	54

Pass Rate	Number of Homes Complete by Contractor											
	1300	1400	1500	1600	1700	1800	1900	2000	2500	3000	3500	4000
70%	342	349	354	360	365	369	373	377	391	402	410	416
75%	283	287	291	295	298	301	303	306	315	322	327	331
80%	224	227	229	232	234	235	237	238	244	248	251	254
85%	167	168	170	171	172	173	174	174	178	180	181	182
90%	110	111	111	112	112	113	113	113	115	116	116	117
95%	55	55	55	55	55	55	55	55	56	56	56	56

Pass Rate	Number of Homes Complete by Contractor											
	4500	5000	5500	6000	6500	7000	7500	8000	8500	9000	9500	10000
70%	421	425	428	431	433	435	437	439	440	441	442	443
75%	334	337	339	340	342	343	344	345	346	347	348	348
80%	255	257	258	259	260	261	261	262	262	263	263	263
85%	183	184	185	185	186	186	186	187	187	187	187	187
90%	117	117	118	118	118	118	118	119	119	119	119	119
95%	56	56	56	56	56	57	57	57	57	57	57	57

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## Attachment E

### Household Income Types

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

**Table E-1: Household Income Types and Documentation**

FULL DOCUMENTATION (NON-CATEGORICAL)	CATEGORICAL <sup>4</sup>
<b>Alimony or child support</b>	<b>Bureau of Indian Affairs</b>
<ul style="list-style-type: none"> <li>- Check or check stubs</li> <li>- Most recent court documents</li> <li>- Affidavit of income</li> <li>- Notarized document</li> <li>- Bank statement with direct deposit source (gross amount)</li> </ul>	<ul style="list-style-type: none"> <li>- Award letter or Notice of Action letter</li> <li>- Bank statement with direct deposit source (gross amount)</li> <li>- Screen shot/print screen<sup>1</sup> from issuing agency</li> <li>- Copy of uncashed check</li> <li>- Case worker may fax information to Program Representative</li> </ul>
<b>Capital or other gains</b>	<b>LIHEAP (Low Income Home Energy Assistance Program)</b>
<ul style="list-style-type: none"> <li>- Federal income tax filing with W2s and/or 1099s attached</li> </ul>	<ul style="list-style-type: none"> <li>- CSD Form 43</li> <li>- Proof of LIHEAP payment to utility</li> </ul>
<b>Disability or unemployment</b>	<b>Medi-Cal</b>
<ul style="list-style-type: none"> <li>- Check or check stubs</li> <li>- Award letter/Notice of Action letter</li> <li>- Screen shot/print screen<sup>1</sup> from issuing agency with linking document(s)</li> <li>- Federal income tax filing with W2s and/or 1099s attached</li> </ul>	<ul style="list-style-type: none"> <li>- 3rd party Medi-CAL card (LA Care, IEHP, HealthNet, etc.)<sup>5</sup></li> <li>- Adoption Assistance or Foster Care award letter</li> <li>- Award letter or Notice of Action letter</li> <li>- Issuance History Printout Stamped by the County</li> <li>- 1095-B from the Department of Health Care Services</li> <li>- Benefits ID card (issued with 12 months)</li> <li>- Screen shot/print screen<sup>1</sup> from issuing agency</li> <li>- Screen shot/print screen<sup>1</sup> from website</li> </ul>
<b>Foster Care/VA Benefits/Workers Comp.</b>	<b>Medi-Cal/Medi-Caid Assistance</b>
<ul style="list-style-type: none"> <li>- Bank statement with direct deposit source (gross amount)</li> <li>- Check or check stubs</li> <li>- Award letter/Notice of Action letter</li> </ul>	<ul style="list-style-type: none"> <li>- Award letter/Notice of Action letter</li> <li>- Benefits ID card with a valid issue date within past 12 months of enrollment date</li> <li>- Tax Form 1095-B</li> </ul>
<b>Gambling/lottery winning</b>	<b>Medi-Cal for Families</b>
<ul style="list-style-type: none"> <li>- Case-by-case (ESA Program approval required)</li> </ul>	<ul style="list-style-type: none"> <li>- Award letter or Notice of Action letter</li> <li>- Current (&lt;60days) premium statement (not past due)</li> <li>- Screen shot/print screen<sup>1</sup> from issuing agency</li> </ul>
<b>General relief (cash assistance)</b>	
<ul style="list-style-type: none"> <li>- Bank statement with direct deposit source (gross amount)</li> <li>- Award letter/Notice of Action letter</li> <li>- Copy of uncashed check(s)</li> </ul>	
<b>Insurance/legal settlements<sup>2</sup></b>	
<ul style="list-style-type: none"> <li>- Bank statement with direct deposit source (gross amount)</li> <li>- Settlement document</li> <li>- Annuity letter</li> <li>- Check stub</li> </ul>	

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

<b>Interest/Dividends</b>	- Screen shot/print screen <sup>1</sup> from website - Tax Form 1095-B
- Bank statement with direct deposit source (gross amount) - Customer's investment statement(s) - Federal income tax filing with W2s and/or 1099s attached	<b>NSLP (National School Lunch Program)</b>
<b>Monetary gift(s)</b>	- Case-by-case (ESA Program approval required)
- Bank statement with direct deposit source (gross amount) - Affidavit of income	<b>SNAP (Supplemental Nutrition Assistance Program) CALFRESH</b>
<b>Pension/401K(IRA) disbursement<sup>2</sup></b>	- Award letter or Notice of Action letter - Screen shot/print screen <sup>1</sup> from issuing agency
- Bank statement with direct deposit source (gross amount) - Check or check stubs - Award letter/Notice of Action letter - Federal income tax filing with W2s and/or 1099s attached - Form 1099	- Screen shot/print screen <sup>1</sup> from website (CA.gov) showing current participation - Case worker may fax information to Program Representative
<b>Rental income or royalty payments<sup>3</sup></b>	<b>SSI (Supplemental Security Income)</b>
- Rental receipts - Rental agreement specifying rent amount AND affidavit - Federal income tax filing with Schedule E attached	- Award letter or Notice of Action letter - Bank statement with direct deposit source (gross amount) - Form SSA-1099 - Screen shot/print screen <sup>1</sup> from issuing agency - Copy of uncashed check - Case worker may fax information to Program Representative
<b>School grants/scholarships/student aid/foreign exchange<sup>2</sup></b>	<b>TANF (Temporary Assistance for Needy Families) CALWORKS</b>
- Cancelled check(s) - Award letter/Notice of Action letter	- Award letter or Notice of Action letter - Bank statement with direct deposit source (gross amount) - Screen shot/print screen <sup>1</sup> from issuing agency - Copy of uncashed check - Case worker may fax information to Program Representative
<b>Self-employment earnings<sup>3</sup></b>	<b>Tribal Headstart</b>
- Federal income tax filing with Schedule C attached - Affidavit of income	- Award letter or Notice of Action letter
<b>SSA (Social Security)</b>	<b>Tribal TANF</b>
- Bank statement with direct deposit source (gross amount) - Screen shot/print screen <sup>1</sup> from issuing agency showing current participation - Award letter/Notice of Action letter - Federal income tax filing with W2s and/or 1099s attached - Form 1099 - Uncashed check(s)	- Award letter or Notice of Action letter - Bank statement with direct deposit source (gross amount) - Screen shot/print screen <sup>1</sup> from issuing agency

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

<ul style="list-style-type: none"> <li>- Case worker may fax information to the Program Representative</li> </ul>	<table border="1" style="width: 100%;"> <tr> <th style="background-color: #e0e0e0;">WIC (Women, Infants and Children)</th> </tr> <tr> <td> <ul style="list-style-type: none"> <li>- Award letter or Notice of Action letter</li> <li>- Grocery receipt with WIC phone app screen shot/print screen<sup>1</sup></li> <li>- WIC phone app screen shot/print screen<sup>1</sup></li> <li>- WIC shopping list</li> </ul> </td> </tr> </table>	WIC (Women, Infants and Children)	<ul style="list-style-type: none"> <li>- Award letter or Notice of Action letter</li> <li>- Grocery receipt with WIC phone app screen shot/print screen<sup>1</sup></li> <li>- WIC phone app screen shot/print screen<sup>1</sup></li> <li>- WIC shopping list</li> </ul>
WIC (Women, Infants and Children)			
<ul style="list-style-type: none"> <li>- Award letter or Notice of Action letter</li> <li>- Grocery receipt with WIC phone app screen shot/print screen<sup>1</sup></li> <li>- WIC phone app screen shot/print screen<sup>1</sup></li> <li>- WIC shopping list</li> </ul>			
Union strike benefits			
<ul style="list-style-type: none"> <li>- Benefits payment stubs</li> </ul>			
Wages/salaries/commissions			
<ul style="list-style-type: none"> <li>- Federal income tax filing with W2s and/or 1099s attached</li> <li>- Payroll check stub(s) or deposit notice(s)</li> <li>- Affidavit from the employer (for cash wages only and only for one employer)</li> </ul>			

<sup>1</sup> Screen shot/print screen must clearly link customer to household.

<sup>2</sup>Not including loan proceeds.

<sup>3</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.

<sup>4</sup>Where not provided in cash distributions, participation in these public purpose programs is considered for categorical eligibility enrollment purposes only. Categorical eligibility enrollment requirements may differ across the utilities.

<sup>5</sup>Card must state that the customer is participating in Medi-Cal program.

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

## Attachment F

### Self-Install Measures

# California Statewide Energy Savings Assistance Program Policy and Procedures Manual

---

**Table F-1: Self-Install Measures per Utility**

Measure	Utility			
	PG&E	SDG&E	SCE	SoCalGas
Energy/Water Conservation Kit		X <sup>1</sup>		
Faucet Aerator				X
LED Light Bulb			X	
Showerhead				X
Thermostatic Shower Valve (TSV)				X

<sup>1</sup>May include items such as: LED light bulbs, low-flow faucet aerators and showerheads, and toilet leak detection tabs.