CALIFORNIA
ENERGY
COMMISSION

California Code of Regulations

Title 20. Public Utilities and Energy

Division 2. State Energy Resources Conservation and Development Commission

ENERGY COMMISSION'S REGULATIONS

June 2006
CEC-140-2006-001

Arnold Schwarzenegger, *Governor*

CALIFORNIA ENERGY COMMISSION

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Chairman

Commissioners:
Arthur H. Rosenfeld
James D. Boyd
John L. Geesman
Jeffrey D. Byron

B. B. Blevins
Executive Director

Mike Chrisman
Secretary for Resources

CALIFORNIA CODE OF REGULATIONS

Title 20. Public Utilities and Energy

Division 2. State Energy Resources Conservation and Development Commission

[Current as of June 7, 2006]

Note to Readers

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Please bring any errors or omissions, questions or suggestions, to the attention of Chief Counsel's Office at (916) 654-3951.

CALIFORNIA CODE OF REGULATIONS

Title 20. Public Utilities and Energy

Division 2. State Energy Resources Conservation and Development Commission

[Current as of June 7, 2006]

Table of Contents

Page

Chapter 1. General Provisions 1

Article 1. Construction of Regulations 1

§ 1001. Interpretation.
§ 1002. Service on the Commission.
§ 1003. Computation of Time.
§ 1006. Service on the Commission.
§ 1007. Computation of Time.

Chapter 2. Rules of Practice and Procedure 2

Article 1. Commission Meetings 2

§ 1101. Scope.
§ 1102. Meetings-Scheduling.
§ 1103. Notice and Agenda.
§ 1104. Meetings.
§ 1105. Permanent Record.
§ 1200. Scope.
§ 1201. Definitions.
§ 1202. Right of Any Person to Comment.
§ 1203. Powers of the Chairman.
§ 1204. Designation of Committees and Presiding Member; Quorum.
§ 1205. Designation of Hearing Officer; Responsibilities.
§ 1206. Representatives.
§ 1207. Intervenors.
§ 1208. Conferences; Purpose; Notice; Order.
§ 1209. Form of Submissions.
§ 1209.5. Electronic Filing.
§ 1210. Filing by Parties.
§ 1211. Submission of Exhibits; Filing.
§ 1212. Rules of Evidence.
§ 1213. Official Notice.
§ 1214. Record and Transcript.
§ 1215. Interlocutory Orders and Appeals.

§ 1216. Ex Parte Contacts.
§ 1218. Ex Parte Contacts.
§ 1219. Interim Regulations for Adjudicatory Procedure.

Article 3. Rulemaking and Informational Hearings 12

§ 1220. Scope.
§ 1221. Petitions.
§ 1222. Commission Orders.
§ 1223. Notice.
§ 1224. Use of Testimony.
§ 1225. Questioning.

Article 4. Complaints and Investigations 16

§ 1230. Scope.
§ 1231. Complaints and Requests for Investigation; Filing.
§ 1232. Hearing and Notice Procedures.
§ 1233. Answers to Complaints and Requests for Investigation.
§ 1234. Proposed Decision.
§ 1235. Public Participation and Intervention.
§ 1236. Commission Decision.
§ 1237. Post-Certification Complaints.

Chapter 3. Data Collection 20

Article 1. Quarterly Fuel and Energy Reports 20

§ 1301. Title.
§ 1302. Rules of Construction and Definitions.
§ 1303. General Rules for All Reports.
§ 1304. Electric Power Plant Reports.
§ 1305. Control Area Operator Reports.
§ 1306. Electric Retailer Reports and Customer Classification Coding by UDCs.
§ 1307. Gas Retailer Reports and Customer Classification Coding by LDCs.
§ 1308. Gas Utility Reports.
§ 1309. Interstate Pipeline Company Reports.
§ 1310. Natural Gas Processor Reports.
§ 1311. Certification.
§ 1312. Trade Secrets.
§ 1313. Accuracy Report.

Article 2. Forecast and Assessment of Energy Loads and Resources 42

§ 1340. Scope.
§ 1341. Rules of Construction and Definitions.
§ 1342. General Requirements for Survey and Load Metering and Reports.

§ 1343. Energy End User Data: Survey Plans, Surveys, and Reports.
§ 1344. Load Metering Reports.
§ 1345. Demand Forecasts.
§ 1347. Resource Plans.
§ 1348. Pricing and Financial Information.
§ 1349. Reporting Deadline and Extensions.
§ 1350. Exemptions.
§ 1351. Requests for Information.

Article 3. Petroleum Information Reports 55

§ 1361. Title.
§ 1362. Definitions: General.
§ 1363. Definitions: Specific.
§ 1363.1. Definitions: Specific Petroleum and Non-Petroleum Products.
§ 1363.2. Definitions: Specific Definitions for Purposes of Reporting Requirements.
§ 1364. Reporting Periods.
§ 1365. Information Requirements; General.
§ 1365.1. Information Requirements; General Reporting Requirements.
§ 1365.2. Information Requirements; Other Reporting Requirements.
§ 1366. Requirement to File.
§ 1367. Form and Format of Reports.
§ 1368. Refiners and Marketers Projections.
§ 1368.1. Financial Information.
§ 1368.5. Integrated Oil Refiners' Annual Forecasts.
§ 1368.8. Financial Information.
§ 1369. Duty to Preserve Data.
§ 1370. Confidential Information.
§ 1371. Failure to Provide Information.

Appendix A 74
Appendix B 76
Appendix C 80

Article 4. Wind Performance Reporting Systems 84

§ 1381. Title and Purpose.
§ 1382. Definitions.
§ 1383. Reporting Period.
§ 1384. Requirements to File.
§ 1385. Information Requirements: Wind Project Operators.
§ 1386. Information Requirement: Wind Power Purchaser.
§ 1387. Publication of Data.
§ 1388. Failure to Provide Information.
§ 1389. Exemptions.

Article 5. Electricity Generation Source Disclosure 88

§ 1390. Scope.
§ 1391. Definitions.
§ 1392. Generation Disclosure.
§ 1393. Retail Disclosure to Consumers.
§ 1394. Annual Submission to the Energy Commission.

Appendix A-1 103
Appendix A-2 104
Appendix A-3 105
Appendix A-4 106
Appendix A-5 107
Appendix B 108
Appendix C 109

Article 6. Qualified Departing Load CRS Exemptions 112

§ 1395. Scope.
§ 1395.1. Rules of Construction and Definitions.
§ 1395.2. Departing Load CRS Information Form or Form.
§ 1395.3. Process for Assessing Eligibility for CRS Exemptions, and Reporting Requirements.
§ 1395.4. CRS Exemption Queue and Procedures for Updating the Queue.
§ 1395.5. Extension Requests, Other Substantive Changes, and Requests to Evaluate Additional Information.
§ 1395.6. Incorporation of Information and Impacts of CRS and CRS Exemptions into IEPR.

Chapter 4. Energy Conservation 120

Article 1. Energy Building Regulations 120

§ 1401. Scope.
§ 1402. Definitions.
§ 1403. Permit, Certificate, Informational, and Enforcement Requirements for Designers, Installers, Builders, Manufacturers, and Suppliers.
§ 1404. Exceptional Designs.
§ 1405. Enforcement by the Commission.
§ 1406. Locally Adopted Energy Standards.
§ 1407. Interpretations.
§ 1408. Exemption.
§ 1409. Calculation Methods and Alternative Component Packages.
§ 1410. Procedures for Consideration of Applications Under Sections 1404, 1406, 1408, and 1409.

Article 2. Nonresidential Building Standards 121

§ 1451. Energy Insulation Standards for Nonresidential Buildings.

Article 3. Standards for Insulating Material 121

§ 1551. Application and Scope.
§ 1552. Definitions.
§ 1553. Urea Formaldehyde Foam Field Applied.
§ 1554. Approval of Testing Laboratories.
§ 1555. Certification.
§ 1556. Quality Assurance.
§ 1557. Identification.
§ 1558. Inspections.
§ 1559. Performance Tests.
§ 1560. Costs of Inspection and Testing.
§ 1561. Enforcement.
§ 1562. Release of Information.
§ 1563. Liability.
§ 1564. Insulating Existing Buildings.
§ 1565. Interpretation.

Article 4. Appliance Efficiency Regulations 127

§ 1601. Scope.
§ 1602. Definitions.
§ 1602.1. Rules of Construction.
§ 1603. Testing: All Appliances.
§ 1604. Test Methods for Specific Appliances.
§ 1605. Energy Performance, Energy Design, Water Performance, and Water Design Standards: In General.
§ 1605.1. Federal and State Standards for Federally-Regulated Appliances.
§ 1605.2. State Standards for Federally-Regulated Appliances.
§ 1605.3. State Standards for Non-Federally-Regulated Appliances.
§ 1606. Filing by Manufacturers; Listing of Appliances in Database.
§ 1607. Marking of Appliances.
§ 1608. Compliance, Enforcement, and General Administrative Matters.

Article 5. Load Management Standards 285

§ 1621. General Provisions.
§ 1622. Residential Load Management Standard.
§ 1623. Load Management Tariff Standard.
§ 1624. Swimming Pool Filter Pump Load Management Standard.
§ 1625. Non-Residential Load Management Standard.

Article 6. Energy Conservation Assistance Act Regulations 302

§ 1650. Purpose.
§ 1651. Definitions.
§ 1652. Loan Cycles.
§ 1653. Energy Audit and Energy Audit/Technical Audit Loans.
§ 1654. Energy Conservation Measure Loans.
§ 1655. Streetlight Conversion Project Loans.

Article 7. Regulations for the Geothermal Grant and Loan Program for Local Jurisdiction 307

§ 1660. Purpose.
§ 1661. Definitions.
§ 1662. Types of Financial Assistance.
§ 1663. Terms for Loan Payment.
§ 1664. Funding Cycle; Schedule.
§ 1665. Application and Award Procedures.

Appendix A 313

Article 8. California Home Energy Rating System Program 313

§ 1670. Scope.
§ 1671. Definitions.
§ 1672. Requirements for Rating Systems.
§ 1673. Requirements for Providers.
§ 1674. Certification of Providers and Rating Systems.
§ 1675. Review by the Commission.

Chapter 5. Site Certification 321

Article 1. General Provisions Applicable to Notices and Applications 321

§ 1701. Scope of Regulations.
§ 1702. Definitions.
§ 1703. Requirement to File.
§ 1704. Information Requirements for Notices and Applications.
§ 1705. Form of Submissions.
§ 1706. Number of Copies.
§ 1707. Authority and Verification.
§ 1708. Fees.
§ 1709. Filing of Notices and Applications for Certification; Data Adequacy Review and Docketing.
§ 1709.5. Prefiling Review.
§ 1709.7. Informational Hearing, Site Visit, and Schedule.
§ 1709.8. Withdrawal of Notice or Application.
§ 1710. Noticing Procedures; Setting of Hearings, Presentations, Conferences, Meetings, Workshops, and Site Visits.
§ 1711. Right of Any Person to Comment.
§ 1712. Right to Become a Party; Rights and Duties.

§ 1712.5. Staff as an Independent Party.
§ 1713. Summary of Notice or Application; Distribution
§ 1714. Distribution of Copies to Public Agencies; Request for Comments.
§ 1714.3. Agency Comments on a Notice; Purpose and Scope.
§ 1714.5. Agency Comments on an Application; Purpose and Scope.
§ 1714.7. Air Quality Report on the Notice; Preparation; Contents; Testimony.
§ 1714.9. Determination of Compliance; Preparation by Local Air Districts.
§ 1715. Reimbursement of Local Agencies.
§ 1716. Obtaining Information.
§ 1716.5. Motions, Hearings, Decision.
§ 1717. Distribution of Pleadings, Comments, and Other Documents.
§ 1718. Staff Meetings; Purposes.
§ 1718.5. Prehearing Conferences; Hearing Order.
§ 1719. Consolidation or Severance Proceedings.
§ 1720. Reconsideration of Decision or Order.
§ 1720.2. Termination of NOI, AFC, and SPPE Proceedings.
§ 1720.3. Construction Deadline.
§ 1720.4. Effective Date of Decisions.
§ 1720.5. Demand Conformance.
§ 1720.6. Demonstration Projects.

Article 2. Procedures for Considering Notices of Intention to File an Application for Certification 342

§ 1721. Purpose of Notice and Notice of Intention Proceeding.
§ 1722. Public Information Presentations.
§ 1722.5. Air Quality Report on Notice; Preparation; Contents; Testimony.
§ 1722.9. Prehearing Conferences; Hearing Order.
§ 1723. Nonadjudicatory Hearings; Purposes and Procedures.
§ 1723.5. Presentation of Evidence; Burdens of Producing Evidence; Burdens of Proof.
§ 1724. Summary and Hearing Order; Preparation; Contents; Distribution.
§ 1725. Adjudicatory Hearings.
§ 1726. Final Report; Preparation; Distribution.
§ 1726.5. Request for PUC Comments.
§ 1727. Final Report and Proposed Decision Hearings.
§ 1728. Decision.
§ 1729. Nonapprovable Sites or Non-Certifiable Sites.
§ 1730. Approval; Required Finding for Air Quality.
§ 1731. Environmentally Unacceptable Sites.

Article 3. Procedures for Considering Applications for Certification 351

§ 1741. Application Proceeding; Purpose and Objectives.
§ 1742. Review of Environmental Factors; Staff and Agency Assessment.
§ 1742.5. Environmental Review; Staff Responsibilities.
§ 1743. Review of Safety and Reliability Factors; Staff and Agency Assessment.
§ 1744. Review of Compliance with Applicable Laws.
§ 1744.5. Air Quality Requirements; Determination of Compliance.
§ 1745. Location of Hearings and Conferences.
§ 1746. Prehearing Meetings; Purposes.
§ 1747. Final Staff Assessment
§ 1748. Hearings; Purposes; Burden of Proof.
§ 1748.5. Environmental Review; Staff Responsibilities.
§ 1749. Presiding Member's Proposed Decision; Distribution; Comment Period.
§ 1750. Proposed Decision.
§ 1751. Presiding Member's Proposed Decision; Basis.
§ 1752. Presiding Member's Proposed Decision; Contents.
§ 1752.3. Presiding Member's Proposed Decision; Air Quality Findings.
§ 1752.5. Presiding Member's Proposed Decision; CEQA Findings.
§ 1752.7. Presiding Member's Proposed Decision; Findings for a Multiple Facility Site.
§ 1754. Hearings on Presiding Member's Proposed Decision.
§ 1755. Final Decision.
§ 1756. Schedule for Review of Applications.
§ 1757. Multiple-Facility Sites, Review Schedule.
§ 1760. Environmental Impact Report.
§ 1763. Exemption from the Notice of Intention Requirements for Cogeneration Facilities Greater Than 300 Megawatts.
§ 1764. Acceptance of Applications for Cogeneration Facilities Greater Than 300 Megawatts.
§ 1765. Projects Exempted from Notice Requirements; Application Procedures.
§ 1768. Notice of Decision; Filing with Resources Agency.
§ 1769. Post Certification Amendments and Changes.
§ 1770. Compliance Verification.

Article 4. Additional Provisions Applicable to Geothermal Notices and Applications 364

§ 1801. Applicability of Regulations.
§ 1802. Policies of the Commission on the Siting of Geothermal Power Plants.
§ 1803. Alternative Certification Processes for Geothermal Power Plants.
§ 1804. Special Geothermal Definitions.
§ 1805. Information Requirements for Geothermal Notices and Applications.

§ 1806. Schedule for Review of Geothermal Notices.
§ 1807. Schedule for Review of Applications Following Approval of a Geothermal Notice.
§ 1808. Schedule for 12-Month Review of Geothermal Applications.
§ 1809. Determination of Availability of Commercial Resource.
§ 1860. Policy and Purpose.
§ 1861. Counties Eligible to Petition for Delegation of Authority.
§ 1862. Contents of Petition.
§ 1863. Equivalent Certification Program Requirements.
§ 1864. Commission Staff Analysis.
§ 1865. Air Quality Determinations.
§ 1866. Record of Proceedings.
§ 1867. Commission Action on Petition.
§ 1868. Appeals to Commission.
§ 1869. Commission Action on Appeals.
§ 1870. Revocation of Delegation.

Article 5. Small Power Plant Exemptions 372

§ 1934. Statement of Purpose.
§ 1935. Definitions.
§ 1936. Filing Applications for Exemption.
§ 1937. Contents of Application.
§ 1938. Form of Application.
§ 1939. Number and Distribution of Materials.
§ 1940. Notice of Application.
§ 1941. Intervention.
§ 1942. Requests for Information from Applicant.
§ 1943. Presentation of Evidence.
§ 1944. Hearings.
§ 1945. Final Argument and Decision.
§ 1946. Content of Decision.
§ 1947. Modifications of Deadlines.
§ 1948. Modifications of Deadlines.

Article 6. Powerplant and Transmission Line Jurisdictional Investigations 375

§ 2001. Definitions.
§ 2003. Generating Capacity.
§ 2010. Petition For Expedited Clearance; Filing.
§ 2011. Notice of Petition for Expedited Clearance.
§ 2012. Clearance Order.

Appendix A 378
Appendix B 386
Appendix C 404
Appendix D 414
Appendix E 414
Appendix F 414

Article 7. Additional Provisions for Considering Expedited Applications Under Public Resources Code Section 25550 415

§ 2021. Purpose of Expedited Proceeding; Applicability of Regulations.
§ 2022. Information Requirements.
§ 2023. Data Adequacy Review and Acceptance.
§ 2024. Intervention.
§ 2025. Discovery.
§ 2026. Agency Comments.
§ 2027. Staff Reports.
§ 2028. Removal of the Project from the Six-Month Process.
§ 2029. Hearings.
§ 2030. Presiding Member's Proposed Decision; Commission Decision.
§ 2031. Construction Deadline.

Chapter 5.5. Public Interest Energy Research (PIER) Program 423

Article 1. Sole and Single Source Contracts 423

§ 2100. Award of Sole Source Contracts.
§ 2101. Award of Single Source Contracts.
§ 2102. Factors for Consideration.
§ 2103. Procedures and Format.
§ 2104. Public Agency Exemption.

Article 2. Competitive Negotiations 426

§ 2110. Definitions.
§ 2111. Intent and Overview of Competitive Negotiations Solicitation.
§ 2112. Pre-Bid Conference.
§ 2113. Possible Modification/Addenda to CNS.
§ 2114. Notice of Intention to Bid.
§ 2115. Discussion Proposal Procedures.
§ 2116. Discussion Proposals: Content.
§ 2117. Final Proposal.
§ 2118. Evaluation and Selection Process.
§ 2119. Proposed Awards of Contracts.
§ 2120. Debriefing.
§ 2121. Award Protest.
§ 2122. Modification or Withdrawal of Submittals.
§ 2123. Right to Modify CNS, Cancel CNS or Reject Proposals.
§ 2124. Grounds to Reject Proposals.
§ 2125. Confidential Information.
§ 2126. Correction of Errors in CNS.
§ 2127. Contract Terms and Conditions.
§ 2128. Bidder's Proposal Preparation Costs.
§ 2129. Disposition of Proposals.
§ 2130. Immaterial Deviations in Proposal.

§ 2131. Audits.
§ 2132. Joint Bids.
§ 2133. Bidder Responsibility.
§ 2134. Additional Procedures.

Chapter 6. Environmental Protection 438

Article 1. Implementation of the California Environmental Quality Act of 1970 ... 438

§ 2300. Authority.
§ 2301. Purpose.
§ 2302. Definitions.
§ 2303. General Responsibilities.
§ 2304. Activities Not Requiring an Initial Study.
§ 2305. Initial Study.
§ 2306. Negative Declaration.
§ 2307. EIR Preparation and Procedure.
§ 2308. Fees for EIR or Negative Declaration Expenses.
§ 2309. Review of Environmental Documents of Other Lead Agencies.
§ 2310. Certified/Exempt Regulatory Programs. (Reserved)

Chapter 7. Administration 442

Article 1. Conflict of Interest Code 442

§ 2401. General Provisions.
§ 2402. Appendix.

Article 2. Disclosure of Commission Records 447

§ 2501. Policy.
§ 2502. Scope.
§ 2503. Construction and Definitions.
§ 2504. Inspection and Copying.
§ 2505. Designation of Confidential Records.
§ 2506. Petition for Inspection or Copying of Confidential Records.
§ 2507. Disclosure of Confidential Records.
§ 2508. Pending Requests for Confidentiality.
§ 2509. Security of Confidential Records.
§ 2510. Delegation of Authority and Responsibilities.
§ 2511. Information Practices Act.

Article 3. Role of Public Adviser 458

§ 2551. Application of Article.
§ 2552. Definitions.
§ 2553. Overall Duty of the Public Adviser.
§ 2554. The Adviser's Duty to Refrain from Advocating Substantive Positions.
§ 2555. The Adviser's Duty Within the Commission.

§ 2556. The Adviser's Duties in Advising Members of the Public.
§ 2557. Additional Duties.

Article 4. Requests for Qualifications in the Selection of Professional Services Firms 460

§ 2560. Definitions.
§ 2561. Publication of Announcement.
§ 2562. Request for Qualifications.
§ 2563. Selection of Services.
§ 2564. Estimate of Value of Services.
§ 2565. Negotiation.
§ 2566. Contract Agreement.
§ 2567. Contracting in Phases.
§ 2568. Small Business Participants.
§ 2569. Conflict of Interest and Unlawful Activities.

Chapter 8. Tax Credits 463

Article 1. Solar Electric Tax Credit 463

§ 2600. General Provisions.
§ 2601. Definitions.
§ 2602. Information Filings.
§ 2603. General Safety, Reliability, Durability and Market Readiness Provisions for Solar Systems.
§ 2604. Cost Effectiveness.
§ 2605. Requirements for Photovoltaic and Solar Thermal Electric Systems of 25 Kilowatts Peak Capacity and Larger.
§ 2606. Commission Determination of Eligibility for Solar Systems Larger Than 10 Megawatts Peak Capacity.
§ 2607. Provision for Commission Action on Solar Systems and Devices Not Meeting the Requirements of This Article.
§ 2608. Claims of Exemption.

Article 2. Conservation Tax Credits 464

§ 2611. General Provisions.
§ 2612. Definitions and Eligibility Criteria of Energy Conservation Measures.
§ 2613. Energy Conservation Measures for All Premises.
§ 2613.5. Warranty Requirements for Measures Installed in Existing Dwellings.
§ 2614. Energy Conservation Measures Installed in Existing Dwellings.
§ 2615. Additional Energy Conservation Measures for Premises Other Than Dwellings.
§ 2616. Energy Audits and Engineering Feasibility Studies.

§ 2617. Additional Energy Conservation Measures Eligible in New Residential Construction.
§ 2618. Energy Conservation Measures for New Dwellings for Which a Building Permit is Issued on or After July 13, 1982.

Chapter 9. Solar Energy 466

Chapter 10. Approval of Technical Assistance Providers and Certifiers 466

Article 1. General Provisions 466

§ 2800. Purpose of Regulations.
§ 2801. Definitions.

Article 2. Applications for Technical Assistance Providers..... 467

§ 2810. Information Requirements for Applications for Technical Assistance Providers.
§ 2811. Minimum Requirements for Technical Assistance Providers.

Article 3. Applications for General and Industry-Specific Certifiers 468

§ 2820. Information Requirements for Applications for General and Industry-Specific Certifiers.
§ 2821. Minimum Requirements for General Certifiers.
§ 2822. Minimum Requirements for Industry-Specific Certifiers.
§ 2823. Partnering.

Article 4. Procedures for Considering Applications for Technical Assistance Providers, General Certifiers, and Industry-Specific Certifiers 470

§ 2830. Issuance of Request for Applications.
§ 2831. Review of Applications.
§ 2832. Grounds for Rejection of an Application.
§ 2833. Modifying an Application.
§ 2834. Notification of the Results of the Evaluation.
§ 2835. Appeal of Determination.
§ 2836. Document Disposition.

Article 5. Post-Qualification Changes and Submittal Requirements 472

§ 2840. Renewal of Approval.
§ 2841. Rescission of Approval.
§ 2842. Commission Visits to Registry Participants' Sites.

Division 2.
State Energy Resources
Conservation and Development Commission

Chapter 1. General Provisions

Article 1. Construction of Regulations

§ 1001. Interpretation.

The regulations in this chapter supplement the Warren-Alquist State Energy Resources Conservation and Development Act (Division 15 of the Public Resources Code).

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25213, Public Resources Code.

§ 1002. Service on the Commission.

Service of process may be made on the commission by personal service on the chairman, the executive director, or general counsel, or as otherwise provided by law addressed as follows:

Energy Resources Conservation and Development Commission
1516 Ninth Street
Sacramento, CA 95814
Attn: Chief Counsel

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25218(c), Public Resources Code.

§ 1003. Computation of Time.

The time in which any act provided by these regulations is to be done is computed by excluding the first day and including the last, unless the last day is a Sunday or holiday as defined in Sections 10 and 12 of the Code of Civil Procedure and then such day is also excluded.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Sections 10 and 12, Code of Civil Procedure

§ 1006. Service on the Commission.

Note: Authority cited: Sections 25213, 25218(e), and 25218(f), Public Resources Code. Reference: Section 25218(c), Public Resources Code.

§ 1007. Computation of Time.

Note: Authority cited: Sections 25213, 25218(e), and 25218(f), Public Resources Code. Reference: Sections 11120-11131, Government Code; Sections 25209-25703, not consecutive, Public Resources Code.

Chapter 2. Rules of Practice and Procedure

Article 1. Commission Meetings

§ 1101. Scope.

This article only applies to meetings conducted under Public Resources Code Section 25214.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25214, Public Resources Code.

§ 1102. Meetings – Scheduling.

(a) The commission shall meet at least once every month.

(b) The time and place of meetings may be set by resolution of the commission, by written petition of a majority of the members, or by written call of the chairman. The chairman may, for good cause, change the starting time or place, reschedule, or cancel any meeting.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25214, Public Resources Code.

§ 1103. Notice and Agenda.

(a) Time and Distribution. Notices shall be given to all members, ex officio members, the public adviser, to all parties to proceedings on the agenda, and to all persons who request in writing such notice.

(b) Agenda. The agenda shall be prepared by the executive director and shall include any item proposed by any member, the public adviser or the executive director.

(c) Emergencies. In all public emergency cases, every member and ex officio member and the public adviser shall be notified in person, by telephone, or by telegram.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Sections 25214 and 25217(a), Public Resources Code; and Section 11125, Government Code.

§ 1104. Meetings.

(a) Presiding Member. The chairman shall preside over all meetings of the commission at which he is present. In his or her absence, the vice chairman shall preside. If neither the chairman nor the vice chairman is in attendance, the member present who has the greatest seniority on the Commission shall preside. The presiding member may yield the chair.

(b) Robert's Rules of Order. Except as otherwise provided by this article and except when all the members present indicate otherwise, meetings of the commission shall be conducted pursuant to the latest edition of Robert's Rules of Order. Failure to comply with this subsection shall not invalidate any action of the commission.

(c) Order of Agenda. The presiding member may determine the order in which agenda items shall be considered.

(d) Consent Calendar. The agenda may include an item designated "the consent calendar."

(1) The consent calendar shall include only those matters for which there appears to be no controversy. The consent calendar shall contain any such matter specified for inclusion by the person proposing the agenda item. A brief description of each matter on the consent calendar shall be included in the agenda.

(2) At the request of any member, any matter shall be removed from the consent calendar and may be considered at the same meeting as a separate item of business.

(3) After an opportunity for the requests to remove matters from the consent calendar has been given, a vote shall be taken on the consent calendar. If three members vote to approve the consent calendar, each matter on the consent calendar shall be approved and shall have the same force and effect as it would have if approved as a separate agenda item.

(e) Public Comments. Any person may submit comments in writing on any agenda item. Any person submitting such comments shall, if possible, provide the commission with either twelve paper copies of such comments, or one paper copy and electronic copies in the number, media and format specified in Section 1209.5 in advance of the meeting at which it is to be considered.

Any person present and so desiring shall be given an opportunity to make oral comments on any agenda item; provided however, that the presiding members may limit or preclude such comments as necessary for the orderly conduct of business.

Note: Authority cited: Section 25218, Public Resources Code. Reference: Section 25214, Public Resources Code.

§ 1105. Permanent Record.

(a) The commission shall keep minutes of its meetings. Minutes shall be approved by the full commission and, upon approval, shall be signed by the chairman or other person designated by the chairman. Signed minutes shall be the original evidence of actions taken at any meeting, including the text of any resolutions adopted.

(b) Commission public meetings shall be recorded by stenographic reporter or electronic recording or both. The transcripts or recordings shall be kept at least one year and shall be available to the public for review at the commission's main office and such other offices as the commission may designate.

(c) Any person may photograph or record any public meeting of the commission so long as it does not disrupt the orderly conduct of business.

(d) Any person may petition the commission to correct a transcript of his own statements. Such petition shall be made within sixty days after the transcript has been made available to the public at the commission's main office. The commission shall consider any such petition as an item on the consent calendar pursuant to Section 1104(c) of these regulations.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25214, Public Resources Code.

§ 1200. Scope.

Except as otherwise specifically indicated, the provisions of this article shall apply to all proceedings and hearings held before the commission or a committee thereof.

Note: Authority cited: Sections 25218(e) and 25218(f), Public Resources Code. Reference: Section 25214, Public Resources Code.

§ 1201. Definitions.

The following definitions shall apply unless otherwise indicated:

(a) "Staff" means the staff of the State Energy Resources Conservation and Development Commission.

(b) "Respondent" means any person named in a complaint, pursuant to Section 1231 of these regulations, and alleged to be in violation of any regulation, order, decision, or statute adopted, administered, or enforced by the commission, and any person who is the subject of a complaint proceeding pursuant to Sections 1230 and 1231 of these regulations.

(c) "Complainant" means any person who files a complaint, pursuant to section 1231 of these regulations, alleging the violation of any regulation, order, decision, or statute adopted, administered, or enforced by the commission.

(d) "Intervenor" means any person who has been granted leave to intervene pursuant to these regulations.

(e) "Party" means any applicant, respondent, complainant, or intervenor, and the staff of the commission.

(f) "Presiding member" means the chairman of the commission or any member of the commission designated to preside over any proceeding pursuant to Section 1204 of these regulations.

(g) "Comment" means any oral or written statement made by any person, not under oath, in any proceeding before the commission.

(h) "Testimony" means any oral or written statement made by any person, under oath in any proceeding before the commission.

(i) "Witness" means any person who offers testimony in any proceeding before the commission.

(j) "Docket Unit" means the Docket Unit of the Energy Resources Conservation and Development Commission.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25214, Public Resources Code.

§ 1202. Right of Any Person to Comment.

(a) Any person present and so desiring shall be given an opportunity to make oral comments on the subject matter of a proceeding; provided, however, that the presiding member may limit such comments as necessary for the orderly conduct of business. Except as otherwise provided, persons desiring to make oral comments are encouraged to notify the presiding member or the public adviser at least two (2) days prior to the hearing at which such comments are to be made.

(b) Any person desiring to submit written comments to the commission concerning the subject matter of a proceeding shall submit copies of such comments pursuant to Section 1209 of these regulations. Persons are encouraged to submit such comments at least five (5) days prior to the hearing, unless otherwise provided by order. Written comments shall be filed with the Docket Unit of the Energy Resources Conservation and Development Commission; provided, however, that during the actual conduct of a hearing, written comments may be filed with the presiding member.

COMMENT: The right to comment is not the limit of public participation in commission proceedings. For example, Section 1226 of these regulations provides the opportunity for persons to submit sworn testimony on specified issues in rulemaking and informational hearings, while Section 1227 provides a mechanism whereby persons interested in a proceeding may be permitted to ask or answer additional questions either orally or in writing. In addition, in those proceedings requiring greater formality, and in all adjudicatory proceedings, the commission permits intervention in the proceeding.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25214, Public Resources Code.

§ 1203. Powers of the Chairman.

In addition to all other powers conferred by this article, the chairman or presiding member designated pursuant to Section 1204 shall have the power to:

(a) Request and secure such information as is relevant and necessary in carrying out the purposes of the proceeding.

(b) Issue subpoenas and subpoenas duces tecum at the direction of the commission, on his motion or upon application of any party. The application of a party shall be supported by a declaration of good cause.

(c) Regulate the conduct of the proceedings and hearings, including, but not limited to, disposing of procedural requests, admitting or excluding evidence, receiving exhibits, designating the order of appearance of persons making oral comments or testimony, and continuing the hearings.

(d) Set the time and place of hearings.

(e) Cancel a scheduled hearing or meeting. To the extent feasible, notice shall be given of any cancellation and the staff in consultation with the public adviser shall inform known interested participants by the most expeditious means possible.

(f) For good cause shown, and upon proper notice, shorten or lengthen the time required for compliance with any provision of these regulations.

Note: Authority cited: Sections 25213 and 25539, Public Resources Code. Reference: Section 25210, Public Resources Code.

§ 1204. Designation of Committees and Presiding Member; Quorum.

(a) Committees shall be designated in accordance with Public Resources Section 25211. During committee proceedings a presiding member shall exercise the powers and duties conferred on the chairman by this article.

(b) A quorum of a committee is one member.

(c) The commission may at any time withdraw any matter from a committee to allow consideration of the matter by the full commission.

(d) If a presiding member is unavailable during any portion of the proceedings, he may delegate his responsibilities to the second member of the committee.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25211, Public Resources Code.

§ 1205. Designation of Hearing Officer; Responsibilities.

The chairman may designate a hearing officer to assist a committee in the conduct of any proceeding held pursuant to this Division.

The Commission may authorize a hearing officer to preside over proceedings held pursuant to this Division, except for site certification proceedings pursuant to Chapter 5, Articles 1 through 5 of these regulations, Biennial Report proceedings, and rulemaking proceedings. In site certification proceedings pursuant to Chapter 5, Articles 1 through 5, of these regulations, a hearing officer may take evidence in the temporary absence of a Commission member as provided in Public Resources Code section 25211.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Sections 25211 and 25217, Public Resources Code.

§ 1206. Representatives.

Any person may designate any other person, except those prohibited by Section 25205(d), Public Resources Code, to represent him or her for any purpose under this subchapter.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25205(d), Public Resources Code.

§ 1207. Intervenors.

(a) Any person may file with the Docket Unit or the presiding committee member a petition to intervene in any proceeding. The petition shall set forth the grounds for the intervention, the position and interest of the petitioner in the proceeding, the extent to which the petitioner desires to participate in the proceedings, and the name, address, and telephone number of the petitioner.

(b) In a power plant siting case, the petition shall be filed at least 30 days prior to the first hearing held pursuant to sections 1725, 1748, or 1944 of this Chapter, subject to the exception in subsection (c) below. The petitioner shall also serve the petition upon the Applicant.

(c) The presiding member may grant leave to intervene to any petitioner to the extent he deems reasonable and relevant, but may grant a petition to intervene filed after the deadline provided in subdivision (b) only upon a showing of good cause by the petitioner. Any person whose petition is granted by the presiding member shall have all the rights and duties of a party under these regulations.

(d) Any petitioner who has been denied leave to intervene by the presiding member may appeal the decision to the full commission within fifteen (15) days of the denial. Failure to file a timely appeal will result in the presiding member's denial becoming the final action on the matter.

(e) Any petitioner may withdraw from any proceeding by filing a notice to such effect with the Docket Unit or presiding committee member.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25214, Public Resources Code.

§ 1208. Conferences; Purpose; Notice; Order.

The presiding member or hearing officer may hold a conference with the parties, the public adviser, the general counsel, and any other persons interested in the proceeding, at any time he deems necessary, for the purpose of formulating the issues, organizing the questioning of witnesses, determining the number of witnesses, providing for the exchange of exhibits or prepared statements, and such other matters as may expedite the orderly conduct of the proceedings. The public adviser may, upon request, present the views submitted by persons interested in the proceeding who are unable to attend.

(a) The conference shall be publicly noticed and the notice served in person or by mail on all parties at least ten (10) days before the conference.

(b) The presiding member may enter an order which specifies issues or states any other matter to aid in the orderly conduct of the hearing, and may, upon agreement of all the parties, accept stipulations of law or fact.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25214, Public Resources Code.

§ 1209. Form of Submissions.

(a) Except for drawings, photographs, maps, diagrams, charts, graphs, or similar documents and exhibits, all formal paper filings and accompanying materials submitted to the commission pursuant to these regulations shall be typewritten or printed on paper eight and one-half (8 1/2) inches wide and eleven (11) inches long. To the extent possible, all attachments thereto, including drawings, photographs, maps, diagrams, charts, graphs, and similar documents, and all other exhibits, shall be folded to the same size. To the extent possible, no document should be larger than eleven (11) inches wide and seventeen (17) inches long unfolded. Documents should be printed on both sides of the page. Clear, permanently legible copies made by any reproduction process may be submitted. Pages shall be bound securely and shall be consecutively numbered. Formal filings may also be submitted electronically. Electronic copies shall be in the number, media, and format specified in Section 1209.5.

(b) All filings and accompanying materials, including exhibits not attached to other materials, shall show the following on a title page or cover:

(1) the title of the proceedings before the commission;

(2) the docket number, if any, assigned by the commission;

(3) the nature of the material;

(4) the name, address, and telephone number of the person submitting the material.

(c) Unless otherwise specified in these regulations or required by the commission or the executive director, any person submitting written materials in connection with a proceeding before the commission shall provide twelve (12) paper copies thereof, including one original paper copy, unless provision of twelve (12) copies would impose an undue burden on the submitter. If the undue burden is one of inconvenience, a check covering the cost of making additional copies at the current rate per page specified by the commission's Docket Unit shall be submitted with the original copy. If the undue burden is financial, the letter of transmittal, written material, or comment should so state. The Docket Unit shall photocopy and distribute submitted material in the normal course. Alternatively, a person may provide one original paper copy and electronic copies in the number, media and format specified in Section 1209.5.

(d) Unless otherwise specified in these regulations all materials filed with the commission shall be filed with the Docket Unit. The executive director shall assure the proper distribution of such materials and shall assure that all materials submitted to the commission shall be made available at the Docket Unit to the public in accordance with provisions of the California Public Records Act, Chapter 3.5 (commencing with Section 6250) of Division 7, Title 1 of the Government Code, and commission regulations.

(e) Materials shall be deemed filed as of the date upon which such material is served upon the appropriate officer of the commission, or if mailed, as of the date upon which such material is deposited in the mail, first class postage prepaid.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25223, Public Resources Code.

§ 1209.5. Electronic Filing.

(a) Electronic documents may be submitted in any of the following media in the number of copies specified:

(1) Two CD-ROMs (read only);

(2) Two magnetic diskettes;

(3) One internet e-mail;

(4) One posted to an FTP site; or

(5) Any other media and number of copies authorized by the Executive Director.

(b) The format version used must be noted on the media. Charts, graphs, drawings, maps, and photographs should be incorporated within the document, but may be included in an appendix. Maps and photographs may be submitted as paper copies in the number specified by the executive director.

(c) Electronic documents shall be provided in the Portable Document Format (PDF), or its equivalent, as determined by the executive director.

(1) The executive director may waive the format requirement if it is shown to constitute an undue burden on the submitter of a document. A written request for a waiver may be submitted to the executive director at any time prior to the filing of a document. The request shall include a description of each such document and a discussion of the reasons why the format specified in (c) above is an undue burden. The requesting party may not file the electronic document while such a request is pending. If a request is granted, the executive director shall specify the format allowed. The executive director shall act on all such requests within 15 days.

(d) Documents shall be delivered to the Dockets Unit in one of the following ways:

(1) by personal delivery to the Dockets Unit;

(2) by electronic transfer (e-mail) of smaller documents (5MB maximum file size) to: dockets@energy.state.ca.us;

(3) by first class mail, or other equivalent delivery service, with postage prepaid; or

(4) in any other delivery method approved by the Executive Director.

(e) Data the submitter considers confidential must be filed as a separate document with an application for confidential designation pursuant to Section 2505.

Note: Authority cited: Sections 25216.5(a) and 25218(e), Public Resources Code. Reference: Section 25223, Public Resources Code.

§ 1210. Filing by Parties.

(a) Unless otherwise provided by the presiding member, a paper copy of all written material filed by any party in a proceeding shall be served in person or by first class mail, or other equivalent delivery service, with postage prepaid, on every other party to the proceeding, except where a party requests an electronic copy when available. Any party so requesting shall be served with an electronic copy in a manner pursuant to section 1209.5 regarding electronic filings.

(b) The Docket Unit shall promulgate and make available a list which shall include the names and addresses of all parties to a proceeding.

(c) Any filing by a party shall include a proof of service in compliance with subsection (a) of this section.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25210, Public Resources Code.

§ 1211. Submission of Exhibits; Filing.

Any exhibits, including charts, graphs, maps, and other documents relevant to testimony or comments may be submitted to the presiding member at any hearing, or, subject to the discretion of the presiding member, filed with the Docket Unit at any time before the close of the proceeding.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25210, Public Resources Code.

§ 1212. Rules of Evidence.

The following rules of evidence shall apply to any adjudicatory proceeding of the commission and in such other proceedings as the commission may determine by order.

(a) The hearing need not be conducted according to technical rules relating to evidence and witnesses. Any relevant noncumulative evidence shall be admitted if it is the sort of evidence on which responsible persons are accustomed to rely in the conduct of serious affairs.

(b) Oral or written testimony offered by any party shall be under oath.

(c) Subject to the exercise of the lawful discretion of the presiding committee member as set forth in Section 1203(c), each party shall have the right to call and examine witnesses, to introduce exhibits, to cross-examine opposing witnesses on any matters relevant to the issues in the proceeding, and to rebut evidence against such party. Questions of relevance shall be decided by the presiding committee member.

(d) Hearsay evidence may be used for the purpose of supplementing or explaining other evidence but shall not be sufficient in itself to support a finding unless it would be admissible over objections in civil actions.

The presiding member may establish such additional rules as necessary for the orderly conduct of the proceeding.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25210, Public Resources Code.

§ 1213. Official Notice.

During a proceeding the commission may take official notice of any generally accepted matter within the commission's field of competence, and of any fact which may be judicially noticed by the courts of this state. Parties to a proceeding shall be informed of the matters to be noticed, and those matters shall be noted in the record, or attached thereto. Any party shall be given a reasonable opportunity on request to refute the officially noticed matters by evidence or by written or oral presentation of authority.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25210, Public Resources Code.

§ 1214. Record and Transcript.

The presiding member shall cause a formal record of the proceedings to be made. The record shall consist of the official minutes or a transcript of each hearing or conference held during the proceedings, all pleadings, written testimony, and briefs submitted by any party, any order entered pursuant to Section 1208(b), all questions and answers of witnesses submitted pursuant to Section 1225, any exhibits accepted into the record pursuant to Section 1211, any written comments submitted pursuant to Section 1202(b), and the record of all ex parte contacts filed pursuant to Section 1216 of these regulations, together with such other items as the presiding member may direct. The presiding member may cause a transcript of any conference held pursuant to Section 1208 to be made and entered into the record.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25210, Public Resources Code

§ 1215. Interlocutory Orders and Appeals.

(a) During proceedings before a committee, a party may request that a ruling of the committee or presiding member be issued in the form of a written order. Any such request shall be made no later than five calendar days following the ruling.

(b) Any party may petition the full commission to review any order prepared pursuant to subsection (a) of this section. Any such petition shall be filed within ten days of the date of the order being issued; provided, however, that rulings of the presiding member or committee may not be appealed during the course of hearings or conferences except in extraordinary circumstances where prompt decision by the commission is necessary to prevent detriment to the public interest. In such instances, the matter shall be referred forthwith by the presiding member to the commission for determination.

(c) Unless the commission acts upon questions referred by the presiding member to the commission or upon a petition to review an order of the presiding member or committee within thirty (30) days after the referral or filing of the petition, whichever is later, such referrals or petitions shall be deemed to have been denied. The commission may act by formally denying the petition or by vacating or amending the committee order.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25210, Public Resources Code.

§ 1216. Ex Parte Contacts.

Commissioners and assigned hearing officer(s) shall avoid any oral or written communication with a representative of any party to an adjudicatory proceeding pending before the commission including those members of the commission staff who have been involved or are likely to be involved as principals in case management or who have participated or are likely to participate in the preparation or presentation of staff testimony, documentary evidence, or cross-examination concerning any substantive issue involved in the proceeding; provided, however, that communications contained in the formal record at a commission hearing shall not be prohibited.

(a) If such a communication occurs, the commissioners or hearing officer shall include a description of the substance of the discussion in the public file on the proceeding to permit rebuttal of the matter on the record by any party affected.

(b) All of the written communications received by a commissioner or hearing officer which relate to substantive issues raised in an adjudicatory proceeding before the commission shall be included in the public file on the proceeding and shall be subject to rebuttal on the record by any party affected.

(c) An adviser to a commissioner or any other member of a commissioner's own staff shall not be used in any manner that would circumvent the purposes and intent of this section.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25210, Public Resources Code.

§ 1218. Ex Parte Contacts.

Note: Specific reference: Section 25500 et seq., Public Resources Code.

§ 1219. Interim Regulations for Adjudicatory Procedure.

Government Code Sections 11430.10 through 11430.80 (ex parte communications) and 11445.10 through 11445.60 (informal hearings) are hereby incorporated by reference as applicable to commission adjudicatory proceedings commended prior to July 1, 1997.

Note: Authority cited: Section 11400.21, Government Code. Reference: Section 11400.21, Government Code.

Article 3. Rulemaking and Informational Hearings

§ 1220. Scope.

(a) "Rulemaking proceedings" shall include any hearings designed for the adoption, amendment, or repeal of any rule, regulation, or standard of general application, which implements, interprets or makes specific any provision of Division 15 of the Public Resources Code or any other statute enforced or administered by the commission.

(b) "Informational proceedings" shall include any hearings designed to gather and assess information to assist the commission in formulating policies; informing the public of commission actions; or obtaining public comment and opinion.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25210, Public Resources Code.

§ 1221. Petitions.

(a) Any person may petition the commission to request rulemaking hearings. Such petition shall include:

(1) the name, address, and telephone number of the petitioner;

(2) the substance or nature of the regulation, amendment, or repeal requested;

(3) the reasons for the request;

(4) reference to the authority of the commission to take the action requested.

(b) Such petition shall be filed with the executive director who shall within seven (7) days after its filing determine whether the petition contains the information specified in subsection (a).

(1) If the executive director determines that the petition is complete, he or she shall so certify in writing and shall inform the petitioner.

(2) If the executive director determines that the petition is not complete, it shall be returned to the petitioner accompanied by a statement of its defects. The petitioner may correct the petition and resubmit it at any time.

(c) Upon certification by the executive director, the commission shall, within thirty (30) days from the filing of the petition, deny the petition, stating the reason for the denial in writing, or grant the petition, directing the staff to prepare an appropriate order pursuant to section 1222 of these regulations.

(d) Nothing in this section shall operate to limit the opportunity of any member of the public to be heard at commission meetings and hearings, as provided by section 25214 of the Public Resources Code.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Sections 11347 and 11347.1, Government Code.

§ 1222. Commission Orders.

(a) The commission may, upon its own motion or upon granting a petition filed pursuant to section 1221 of these regulations, adopt an order to institute a rulemaking proceeding in accordance with the procedures of Sections 11346.4, 11346.5 11346.7, and 11346.8 of the Government Code.

(b) The commission may, upon its own motion, adopt an order to institute an informational proceeding. The order shall include:

(1) the date of the first hearing;

(2) a statement indicating whether the commission or a committee thereof will hold additional hearings on the matter;

(3) a statement of the authority pursuant to which the hearing is ordered, and a reference to any code sections or other provisions of law pursuant to which the information is to be gathered or disseminated;

(4) a statement of the nature and purpose of the proceedings;

(5) a statement requiring the presence and participation of such persons as the commission may direct, consistent with the nature and purpose of the proceedings.

(c) In addition to the requirements of subsections (a) and (b) of this section, every order instituting hearings pursuant to this section shall contain:

(1) a statement informing members of the public of the function and availability of the public adviser;

(2) a statement indicating the time during which written comments will be received, and the manner by which such comments shall be filed;

(3) a statement that any person may make oral comments on the subject of the proceeding;

(4) a statement setting forth additional procedures deemed necessary by the commission and not inconsistent with these regulations. Such procedures may include one or more provisions contained in section 1212 of these regulations.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Sections 25210 and 25214, Public Resources Code.

§ 1223. Notice.

(a) Notice of a rulemaking proceeding shall be given in accordance with Government Code Section 11346.4.

(b) At least fourteen (14) days prior to the first hearing in an informational proceeding ordered pursuant to Section 1222(b), the executive director shall cause notice of the hearing to be mailed to every person who requested such notice in writing, to every person requested to participate in such proceedings, and to any person who the executive director, in conjunction with the public adviser, determines to be concerned with the subject matter of the proceeding.

(c) In addition to the requirements of subsections (a) and (b) of this section, notice of additional hearings shall be required at least ten (10) days prior to the commencement of such hearings.

(d) Nothing in this section shall preclude the commission from publishing notice in such additional forms or media as the executive director, in conjunction with the public adviser, may prescribe.

(e) A copy of the order adopted pursuant to Section 1222 of these regulations shall accompany the initial notice prepared and mailed pursuant to this section, unless a copy of the order has been previously mailed to those persons who would receive such notice.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25210, Public Resources Code.

§ 1224. Use of Testimony.

(a) The commission, or a committee thereof, may require by order instituting hearings, prehearing conference order, or other proper notice that evidence on specified issues of fact or matters of technical expertise be presented as sworn testimony. Such requirements shall not preclude unsworn oral or written comments from being offered in the proceeding.

(b) The presiding member may require that prepared written testimony or other evidence be submitted in advance of any hearing, for the purpose of facilitating the orderly consideration of issues at the hearing.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25211, Public Resources Code.

§ 1225. Questioning.

(a) Questions from commissioners or staff are in order at any time. At the close of an oral statement, the presiding member may allow other persons to question a witness or person presenting a statement; provided, however, that persons not submitting sworn testimony shall not be compelled to answer such additional questions without their consent.

(b) The presiding member may, at his discretion, limit the time and scope of oral questioning.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25214, Public Resources Code.

Article 4. Complaints and Investigations

§ 1230. Scope.

(a) Complaint proceedings shall include any adjudicatory proceeding in which the commission determines whether to sanction, or take other appropriate action against, a person for an alleged violation of any statute, order, decision, or regulation adopted, administered, or enforced by the commission, including but not limited to a proceeding pursuant to Public Resources Code section 25534.1. Investigation proceedings shall include any adjudicatory proceeding in which the commission determines the applicability of any statute, order, decision, or regulation adopted, administered, or enforced by the commission. A single proceeding may involve both a complaint and an investigation.

(b) Standing committees to exercise the complaint or investigatory functions of the commission may be established pursuant to Section 1204(a). The order establishing a committee shall designate the area of commission jurisdiction over which a committee shall exercise the complaint or investigatory function.

Note: Authority cited: Sections 25213, 25218(e), and 25539, Public Resources Code. Reference: Section 11180, Government Code; and Sections 25210, 25362(a), 25362(b), 25451, 25452, 25500, 25534, 25534.1, 25900, 25967, and 25983, Public Resources Code.

§ 1231. Complaints and Requests for Investigation; Filing.

Any person, including but not limited to the commission staff or the owner or operator of a power plant or transmission line, may file a complaint alleging a violation of a statute, regulation, order, program, or decision adopted, administered, or enforced by the commission. Any complaints alleging noncompliance with a commission decision adopted pursuant to Public Resources Code section 25500 and following must be filed solely in accordance with section 1237. Any person may also file a request for investigation, including a request for a jurisdictional determination regarding a proposed or existing site and related facilities.

(a) A complaint or request for investigation shall be filed with the General Counsel of the commission.

(b) The complaint or request for investigation shall include:

(1) the name, address, and telephone number of the person filing the complaint (complainant) or request for investigation (petitioner);

(2) the name, address, and telephone number of the person allegedly violating the statute, regulation, order, or decision (respondent) or, in the case of a request for a jurisdictional investigation, the name, address, and telephone number of the person owning or operating, or proposing to own or operate, the project which is the subject of the request for investigation (respondent);

(3) a statement of the facts upon which the complaint or request for investigation is based;

(4) a statement indicating the statute, regulation, order, or decision upon which the complaint or request for investigation is based;

(5) the action the complainant or petitioner desires the commission to take;

(6) the authority under which the commission may take the action requested; and

(7) a statement by the complainant or petitioner specifically listing the names and addresses of any other individuals, organizations, and businesses which the complainant or petitioner knows or has reason to believe would be affected by the relief sought.

(8) a declaration under penalty of perjury by the complainant or petitioner attesting to the truth and accuracy of any factual allegations contained in the complaint or request for investigation. If any of the applicants are corporations or business associations, the declaration shall be dated, signed, and attested to by an officer thereof. Where a declaration is filed on

behalf of a joint venture or proposed joint venture, all members of the joint venture or proposed joint venture shall date, sign, and attest to the declaration.

Note: Authority cited: Sections 25213, 25218(e) and 25539, Public Resources Code. Reference: Section 11180, Government Code; and Sections 25210, 25362(a), 25362(b), 25500, 25534, 25900, 25967 and 25983, Public Resources Code.

§ 1232. Hearing and Notice Procedures.

(a) Within 30 days after the receipt by the General Counsel of a complaint or request for investigation, the committee, or if none has been assigned, the chairman, shall:

(1) dismiss the matter upon a determination of insufficiency or lack of merit of the pleadings, specifying whether the dismissal is with or without prejudice; or

(2) serve the complaint or request for investigation upon the respondent and all other persons identified in Section 1231(b)(7) and schedule a hearing upon the complaint or request for investigation. The hearing shall be scheduled to commence within 90 days after the receipt by the General Counsel of the complaint or request for investigation. The hearing may be scheduled before the full commission, the committee, or a hearing officer assigned by the chairman at the request of the committee as provided in Section 1205.

(b) Notice, by certified mail, return receipt requested, of complaint or investigatory proceedings shall be given to all petitioners, respondents and persons identified in Section 1231(b)(7) no fewer than 21 days before the first hearing on the matter. In addition, the committee, or if none has been assigned the chairman, may take additional steps to notify other individuals, organizations, and businesses which the committee or the chairman has reason to believe would be adversely affected by a decision.

(c) The notice shall contain:

(1) the names and addresses of all named complainants, petitioners, and respondents;

(2) a statement concerning the nature of the complaint or request for investigation, with an identification of the statute, regulation, order, or decision at issue;

(3) an explanation of the action the commission may take;

(4) the date, place, and time of any hearing in the matter; and

(5) a statement concerning the availability of the public adviser.

Note: Authority cited: Sections 25213, 25218(e) and 25539, Public Resources Code. Reference: Section 11180, Government Code; and Sections 25210, 25362(a), 25362(b), 25500, 25534, 25900, 25967 and 25983, Public Resources Code.

§ 1233. Answers to Complaints and Requests for Investigation.

(a) The respondent shall file and serve an answer with the complainant or petitioner, the commission, and all persons identified in Section 1231(b)(7) or 1232(b) within 30 days after service of the complaint or request for investigation pursuant to Section 1232(a)(2).

(b) The answer shall include:

(1) an admission or denial of each material allegation;

(2) an explanation of any defenses raised by the respondent; and

(3) a declaration as provided in Section 1231(b)(8).

(c) Where the petitioner seeks clarification of the jurisdictional status of its own project, no answer shall be required.

Note: Authority cited: Sections 25213, 25218(e) and 25539, Public Resources Code. Reference: Section 11180, Government Code; and Sections 25210, 25362(a), 25362(b), 25451, 25452, 25500, 25534, 25900, 25967 and 25983, Public Resources Code.

§ 1234. Proposed Decision.

(a) If the matter is heard before an assigned committee or hearing officer, appointed pursuant to Section 1205, the committee or hearing officer shall make its recommendation to the full commission in the form of a written proposed decision.

(b) To the extent reasonably possible, the proposed decision shall be made available within 14 days following the close of hearings held pursuant to Section 1232.

(c) The proposed decision shall contain an explanation and analysis of the facts and issues involved in the case, and recommendations for disposition by the full commission. The committee or hearing officer shall serve a copy of the proposed decision upon all parties to the hearings on the matter and shall schedule the matter for consideration by the full commission at the earliest reasonable date, but in no event sooner than 10 days after service of the proposed decision.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25210, Public Resources Code.

§ 1235. Public Participation and Intervention.

To the extent deemed relevant by the presiding member, any person may testify or comment during a complaint or investigatory hearing. A person may become a formal party by intervening pursuant to Section 1207.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25214, Public Resources Code.

§ 1236. Commission Decision.

(a) Upon consideration of a proposed decision from a committee or hearing officer, the commission shall:

(1) adopt, modify, or reject the proposed decision; or

(2) remand the matter to the committee or hearing officer for further hearings; or

(3) reopen the evidentiary record and itself conduct further hearings.

(b) When considering a proposed decision from a committee or hearing officer, the commission may limit presentations by all participants to written and oral submissions based upon the existing evidentiary record.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25210, Public Resources Code.

§ 1237. Post-Certification Complaints.

(a) Any person must file any complaint alleging noncompliance with a commission decision adopted pursuant to Public Resources Code section 25500 and following solely in accordance with this section. All such complaints shall be filed with the Docket Unit and submitted to the designated compliance project manager for investigation and shall include the following information:

(1) the name, address, and telephone number of the person filing the complaint (complainant);

(2) the name, address, and telephone number of the person owning or operating, or proposing to own or operate, the project which is the subject of the complaint;

(3) a statement of facts upon which the complaint is based;

(4) a statement indicating the statute, regulation, order, decision, or condition of certification upon which the complaint is based;

(5) the action the complainant desires the commission to take;

(6) the authority under which the commission may take the action requested, if known; and

(7) a declaration under penalty of perjury by the complainant attesting to the truth and accuracy of the statement of facts upon which the complaint is based.

(b) Upon completion of the investigation of the alleged noncompliance, the commission staff shall file a report with the Docket Unit and with the committee assigned pursuant to section 1204 to hear such complaints, or the chairman if none has been assigned, setting forth the staff's conclusions. The report shall be filed no later than 30 days after the receipt by the designated compliance project manager of the complaint and shall be provided to the complainant, project developer, and other interested persons.

(c) If the commission staff is the complainant, it shall file a report with the Docket Unit and with the appropriate committee, detailing the noncompliance and explaining any steps taken to attempt to remedy the noncompliance. The committee shall act on the report in accordance with subsection (e).

(d) Any person may submit written comments on the complaint or staff report within 14 days after issuance of the staff report.

(e) Within 30 days after issuance of the staff report, the committee shall:

(1) dismiss the complaint upon a determination of insufficiency of the complaint or lack of merit;

(2) issue a written decision presenting its findings, conclusions or order(s) after considering the complaint, staff report, and any submitted comments; or

(3) conduct hearings to further investigate the matter and then issue a written decision.

(f) If either the project owner or the complainant is not satisfied with the committee decision, they may appeal to the full commission within 14 days after issuance of the decision. The commission, within 30 days of receipt of the appeal and at a noticed business meeting or hearing, shall issue an order sustaining the committee's determination, modifying it, overturning it, or remanding the matter to the committee for further hearings.

Note: Authority cited: Sections 25213, 25218(e) and 25539, Public Resources Code. Reference: Section 11180, Government Code; and Sections 25210, 25362(b), 25500, 25534, 25534.1, 25900 and 25967, Public Resources Code.

Chapter 3. Data Collection

Article 1. Quarterly Fuel and Energy Reports

§ 1301. Title.

The Reports described in Section 25320 of the Public Resources Code and this Article shall be known as the Quarterly Fuel and Energy Reports.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25125-25126, 25216(a), 25216.5(d), 25300-25301, 25305, 25308-25310.2, 25320-25322, 25324-25325, 25401, 25401.1, 25401.2, 25403, 25403.5, 25602 and 25604 Public Resources Code.

§ 1302. Rules of Construction and Definitions.

(a) Rules of Construction.

(1) Where the context requires, the singular includes the plural and the plural includes the singular.

(2) The use of "and" in a conjunctive position means that all elements in the provision must be complied with, or must exist to make the provision applicable. Where compliance with one or more elements suffices, or where existence of one or more elements make the provision applicable, "or" (rather than "and/or") is used.

(b) Definitions.

In this Article, the following definitions apply unless the context clearly requires otherwise:

"California offshore lands" means all tidal waters under California state jurisdiction pursuant to 43 U.S.C. Section 1311.

"Company" means any person, firm, association, organization, partnership, business trust, corporation, or public entity, or any subsidiary, parent, affiliate, department, or agency thereof.

"Cogenerator" means an electric power plant that produces (1) electricity; and (2) useful thermal energy for industrial, commercial, heating, or cooling purposes.

"Control area" means an electric system or systems, bounded by interconnection metering and telemetry, capable of controlling generation to maintain its interchange schedule with other Control Areas and contributing to frequency regulation of the Western Systems Coordinating Council.

"Core customer" means a natural gas customer that consumes less than 20,800 therms of natural gas per month.

"Customer" means an active revenue meter, or an active billed account, of an electric utility or a gas utility.

"Customer Classification Code" means SIC code before January 1, 2003 and NAICS code beginning January 1, 2003.

"Customer sector" means the following before January 1, 2003:

residential customer sector: private households, including single and multiple family dwellings, plus SIC 88;

commercial building customer sector: SIC codes 07, 4214, 422, 50-87, 89-91, 9211-9229, 93-96, and 972;

other commercial customer sector: SIC codes 40-41, 4210-4213, 4215, 4230-4939, 4949-4969, 4980-4988, 9225-9227, 9250-9259, and 9700-9711;

process industry customer sector: SIC codes 203, 206, 24, 260-263, 28-29, 320- 324;

assembly industry customer sector: SIC codes 20-39 less process industry;

other industry customer sector: SIC codes 10-17;

agriculture customer sector: SIC codes 01-02, 08-09;

water pumping customer sector: SIC codes 4940-4941, 4970-4971;

street lighting customer sector: lighting of streets, highways, other public thoroughfares, other outdoor area lighting, and traffic control lighting; and

unclassified customer sector: SIC code 99.

"Customer sector" means the following beginning January 1, 2003:

residential customer sector: private households, including single and multiple family dwellings, plus NAICS code 81411;

commercial building customer sector: NAICS codes 115, 2331, 326212, 42, 44-45, 48841, 493, 512, 514, 52-55, 561, 61, 62 (excluding 62191), 71, 72, 81 (excluding 81293), and 92 (excluding 92811);

other commercial customer sector: NAICS codes 221, 48, 49, 513, 562, 62191, and 92811;

process industry customer sector: NAICS codes 11331, 3113, 3114, 321, 3221, 324, 3272, and 32731;

assembly industry customer sector: NAICS codes 31-33 (excluding process industry customer sector and 326212), 511, and 54171;

other industry customer sector: NAICS codes 21 and 23 (excluding 22131);

agriculture customer sector: NAICS codes 111, 112, 113, and 114;

water pumping customer sector: NAICS code 22131;

street lighting customer sector: lighting of streets, highways, other public thoroughfares, other outdoor area lighting, and traffic control lighting; and

unclassified customer sector: NAICS code 99.

"Demand" means the rate at which electricity is delivered by generation, transmission, and distribution systems, measured in units of watts or standard multiples thereof, (e.g., 1,000 Watts = 1 kilowatt, 1000 kilowatt = 1 megawatt).

"EIA" means the Energy Information Administration of the United States Department of Energy.

"Electric generator" means a machine that converts mechanical energy into electrical energy; or a device that converts non-mechanical energy to electricity directly, including without limitation photovoltaic solar cells and fuel cells.

"Electricity sales" means the amount of electricity sold by an Electric Retailer to a customer.

"Electric service area" means the geographic area where a UDC distributes, or has distributed during an applicable reporting period, electricity to consumers.

"Electric power plant" means a plant located in California or a California control area that contains one or more prime movers, one or more electric generators, and appropriate auxiliary equipment.

"Electric retailer" means any company that (a) sells electricity to end users or customers located in California, (b) generates and consumes electricity on-site in California (except for electricity consumed for electric power plant operations), or (c) generates electricity at one site and consumes electricity at another site that is in California and that is owned or controlled by the company.

"Electric service provider" or "ESP" means any company that sells electricity to end-use customers and that is not an electric utility.

"Electric utility" means any company engaged in, or authorized to engage in, generating, transmitting, or distributing electric power by any facilities, including, but not limited to, any such company subject to regulation of the Public Utilities Commission.

"End user" means any company that consumes electricity or natural gas for its own use and not for resale.

"Executive Director" means the Executive Director of the Commission, or his or her designee.

"Firm capacity" means non-interruptible electric capacity received or delivered.

"Firm energy" means non-interruptible electricity received or delivered.

"Fuel cost" means the delivered cost of fuel used for fuel use by an electric generator, expressed in dollars.

"Fuel use" means the amount of fuel, expressed in both physical units such as cubic foot, barrel, or ton, and in heat content such as BTUs, used for gross generation, or for any other purpose related to the operation of an electric generator including without limitation providing spinning reserve, start-up, or flame stabilization.

"Gas processor" means any company that extracts, in California, natural gas liquids from natural gas produced from California reservoirs.

"Gas retailer" means any company that (a) sells natural gas to end users or customers located in California, (b) produces and consumes natural gas on-site in California (except for gas consumed for gathering, processing, or compressing purposes), or (c) produces natural gas at one site and consumes natural gas at another site that is in California and that is owned or controlled by the company.

"Gas service area" means the geographic area where an LDC distributes, or has distributed during an applicable reporting period, natural gas to customers.

"Gas utility" means any company that is (a) engaged in, or authorized to engage in, distributing or transporting natural gas or natural gas liquids, and that is (b) either owned or operated by a governmental public entity or regulated by the California Public Utilities Commission.

"Gross generation" means the total amount of electricity produced by an electric generator.

"Hourly demand" means demand integrated over a single clock hour, measured in megawatts.

"Interchange" means electric power or energy that flows from one control area to another control area.

"Interstate pipeline" means any pipeline that crosses a state border and that is under the regulatory authority of the Federal Energy Regulatory Commission or its successors.

"Interstate pipeline company" means a company that owns or operates an interstate pipeline that delivers natural gas to California at the state's border or inside California's borders.

"Local distribution company" or "LDC" means a gas utility, or a business unit of a gas utility, that distributes natural gas to customers.

"Losses" means electricity that is lost, primarily as waste heat, as a natural part of the process of transmitting electricity from electric power plants to customers.

"Major customer sector" means the following:

"residential major customer sector," which means residential customer sector;

"commercial major customer sector," which means commercial building customer sector;

"industrial major customer sector" means the sum of assembly industry customer sector, process industry customer sector, and other industry customer sector; and

"other major customer sector" means the sum of agriculture customer sector, other commercial customer sector, street lighting customer sector, and water pumping customer sector.

"Monthly system peak demand" means the highest system hourly demand in a calendar month.

"Nameplate capacity" means the full-load continuous rating of an electric generator or an electric power plant under specific conditions as designated by the manufacturer.

"Natural gas liquids" means liquid products that are produced at natural gas processing facilities and that are gaseous at reservoir temperatures and pressures but are recoverable by condensation or absorption.

"Natural gas sales" means the amount of natural gas sold by a Gas Retailer to a customer.

"Net generation" means gross generation less plant use by an electric generator for auxiliary equipment.

"Noncore customer" means a natural gas customer that is not a core customer.

"North American Industry Classification System" or "NAICS" means the system of classification for business establishments set forth in the North American Industry Classification System United States Manual of 1997 (Executive Office of the President, Office of Management and Budget, Washington, D.C.)

"NAICS Code" means the applicable 6-digit (unless otherwise specified) code in the NAICS for the entity being classified.

"Outer continental shelf" means all submerged lands lying seaward and outside of the area of lands beneath navigable waters, as defined in Section 2 of the Submerged Land Act (43 U.S.C. Section 1301), and of which the subsoil and seabed appertain to the United States and are subject to its jurisdiction and control.

"Person" means an individual human being.

"Plant use" means the electricity used in the operation of an electric generator, or the electricity used for pumping at pumped storage electric power plants.

"Power plant owner" means the owner of an electric power plant, or, where there is more than one owner, the majority or plurality owner or the managing partner.

"Prime mover" means the engine, turbine, water wheel, or other machine that produces the mechanical energy that drives an electric generator; or a device that converts non-mechanical energy to electricity directly, including without limitation photovoltaic solar cells and fuel cells.

"Sector hourly demand" means the hourly demand of customer sectors measured at customer meters. Sector hourly demand does not include losses.

"Standard Industrial Classification (SIC) system" means the system of classification for business establishments set forth in the Standard Industrial Classification Manual of 1987 (Executive Office of the President, Office of Management and Budget, Washington, D.C.)

"Stocks" means quantities of oil, natural gas, or natural gas liquids representing actual measured inventories corrected to 60 degrees Fahrenheit less basic sediment and water where an actual physical measurement is possible. Stocks include domestic and foreign quantities held at facility and in transit thereto, except those in transit by a pipeline.

"Submitted" means, with regard to data, a report, or an application that must be submitted by a specified date, that the data is received at the Commission by that date and that the data, report, or application is complete, accurate, and in compliance with the applicable requirements of this Article and with the forms and instructions specified under Section 1303(b).

"System hourly demand" means the hourly demand of an electric utility or a control area, measured at electric power plants and at interconnections. System hourly demand includes losses.

"Utility distribution company" or "UDC" means an electric utility, or a business unit of an electric utility, that distributes electricity to customers.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25125-25126, 25216(a), 25216.5(d), 25300, 25301, 25305, 25308-25310.2, 25320-25323, 25324-25325, 25401, 25401.1, 25401.2, 25403, 25403.5, 25602 and 25604, Public Resources Code.

§ 1303. General Rules for All Reports.

(a) Submittal of Reports.

Each electric utility, electric retailer, gas utility, gas retailer, gas processor, interstate pipeline company, UDC, LDC, control area operator, and power plant owner shall submit to the Commission all of the applicable data and reports listed in this Section and in Sections 1304-1310, as required by this Article.

(b) Forms and Instructions.

The data and reports shall be submitted on forms, and in accordance with instructions for the forms, specified by the Executive Director, which may include without limitation a requirement that the data or reports be submitted in electronic format generally or in a specific electronic format. The Executive Director shall consult with interested companies before changing forms and instructions adopted by the Energy Commission in December 1990.

(c) Monthly Reports and Data.

Data or reports referred to as "monthly" shall be submitted for the previous month on the 15th day of each month.

(d) Quarterly Reports and Data.

Data or reports referred to as "quarterly" shall be submitted for the previous calendar quarter on the 15th day of February, May, August, and November. Quarterly data or reports may, as specified in Sections 1304-1310, be required to contain data on a month-by-month basis.

(e) Annual Reports and Data.

Data or reports referred to as "annual" or "annually" shall be submitted for the previous calendar year on the 15th day of February. Annual data or reports may, as specified in Sections 1304-1310, be required to contain data on a month-by-month or quarter-by-quarter basis.

(f) Extension of Deadlines Specified in Sections 1303-1310.

The company responsible (or delegated the responsibility under Section 1303(g)) for submitting data, a report, or an application may apply for and receive from the Executive Director an extension of the deadlines established in Sections 1303-1310. The Executive Director shall act on an application within five business days after it is received at the Commission. The Executive Director's decision may be appealed to the full Commission; the Commission shall act on an appeal within 14 days after the appeal is received; the Commission may summarily deny an appeal without a hearing. An extension, which shall be no more than 30 days, shall be granted if:

(1) The company submits and the Commission receives, no later than 15 days before the data, report, or application is due an application that includes:

(A) the full legal name, address of the principal place of business, telephone number, fax number, e-mail address, and website address of the company submitting the application;

(B) the name, address of the principal place of business, telephone number, fax number, and e-mail address of the person employed by the company submitting the application, who should be contacted with questions about the application;

(C) the name of the report and the Sections of these regulations applicable to the data, report, or application;

(D) the reasons why the company believes the data, report, or application cannot be, or may not be able to be, submitted on time;

(E) the measures the company is taking to complete the data, report, or application on time or as soon thereafter as possible; and

(F) the date the company believes the data, report, or application will be submitted;

(G) a declaration executed under penalty of perjury of the laws of the State of California stating:

(1) the full legal name, address of the principal place of business, telephone number, fax number, and e-mail address of both the person executing the declaration and the company submitting the application, and the title of the person;

(2) that the person executing the declaration is authorized to do so and to submit the application on behalf of the company; and

(3) that the matters contained in the application are, to the best of the person's knowledge and belief and based on diligent investigation, true, accurate, complete, and in compliance with these regulations.

(2) the Executive Director finds that there is good cause for an extension and that the data, report, or application is likely to be submitted by the extended due date.

(g) Delegation.

(1) In general.

The company designated in Sections 1304-1310 as required to submit data or a report may delegate to another company the submittal of the data or report if the delegatee agrees, but in any event the company designated in Sections 1304- 1310 shall be responsible for the timely, accurate, and complete submittal of the data or report and an authorized employee thereof shall execute the declaration required by Section 1303(I)(8).

(2) Electric retailers.

An electric retailer may delegate the submittal of the data and reports required by Section 1306 only to the UDC or UDCs that provide electric distribution service to the electric retailer's customers, and only if:

(A) the electric retailer is an ESP; and

(B) all of the UDC's serving the electric retailer's customers agree to submit the required data as the electric retailer's delegatees.

(3) Gas retailers.

A gas retailer may delegate the submittal of the data or reports required by Section 1307 only to the LDC or LDCs that provide gas distribution service to the gas retailer's customers, and only if:

(A) the gas retailer operates solely under the California Public Utilities Commission's core aggregation program, as defined in Decision 91-02-040, Appendix A; and

(B) all of the LDCs serving the gas retailer's customers agree to submit the required data as the gas retailer's delegatees.

(h) Previously-submitted Data or Reports.

If any of the data required to be included in a report is exactly the same as the data included in a previous report submitted by the same company, the current report need not contain that data if it refers to the previously-submitted data in sufficient specificity to allow the data to be found and retrieved easily.

(i) Submittal of Alternative Data, Reports, or Format.

The company responsible (or delegated the responsibility under Section 1303(g)) for submitting data or a report under Sections 1304-1310 may apply for and receive from the Executive Director authorization to submit, in lieu of the required data or report, another collection of data assembled and prepared by the company for a purpose other than compliance with this Article, or to submit data not in accordance with the forms and instructions specified under Section 1303(b). The Executive Director shall act on an application within 20 days after it is received by the Commission. If the application is granted, then the company may submit updated alternative data for each subsequent report without the need for a subsequent application. The Executive Director's decision may be appealed to the full Commission; the Commission shall act on an appeal within 14 days after the appeal is received; the Commission may summarily deny an appeal without a hearing. The Executive Director may revoke authorization at any time for any reason. An application shall be granted if:

(1) The company submits and the Commission receives, no later than 30 days before the data or report is due, an application that includes:

(A) the full legal name, address of the principal place of business, telephone number, fax number, e-mail address, and website address of the company submitting the application and of the entity to which the alternative collection of data was or will be submitted;

(B) the name, address of the principal place of business, telephone number, fax number, and e-mail address of the person employed by the company submitting the data or report, who should be contacted with questions about the application;

(C) the name of the report and the Sections of these regulations applicable to the data or report;

(D) the name, date, and if applicable publication number of the alternative collection of data;

(E) the reasons why the company believes that the alternative collection of data meets each applicable requirement of this Section and Sections 1304-1310; and

(F) a declaration executed under penalty of perjury of the laws of the State of California stating:

(1) the full legal name, address of the principal place of business, telephone number, fax number, and e-mail address of both the person executing the declaration and the company submitting the application, and the title of the person;

(2) that the person executing the declaration is authorized to do so and to submit the application on behalf of the company; and

(3) that the matters contained in the application are, to the best of the person's knowledge and belief and based on diligent investigation, true, accurate, complete, and in compliance with these regulations.

(2) the Executive Director finds that compliance with these regulations and the needs of the Commission, other entities, and the public will not be harmed by granting of the application.

(j) Parents, Subsidiaries, and Affiliates.

Except to the extent allowed by Section 1303(g), if a company required to submit data or a report is a parent, subsidiary, or affiliate of another company, the former company shall submit the data or report only for its own activities and not for the activities of the parent, subsidiary, or affiliate.

(k) Multiple Reports.

A company may submit under one cover data or reports required by more than one section in Sections 1304-1310, if the data or report required by each section is identified in a table of contents and in the document and the data or report is clearly separated from data or reports required by other sections.

(l) Data Required in All Reports.

Each report required by Sections 1304-1310 shall include, in addition to the data specified in those sections, the following:

(1) the full legal name, address of the principal place of business, telephone number, fax number, e-mail address, and website address of the company submitting the report;

(2) the name, address of the principal place of business, telephone number, fax number, and e-mail address of the person employed by the company submitting the report, who should be contacted with questions about the report;

(3) the full legal name, address of the principal place of business, telephone number, fax number, e-mail address, and website address of the company responsible for submitting the data or report

(4) the date on which the report is being submitted;

(5) the time period or periods that the report covers;

(6) an indication of the status of the company responsible for submitting the report: i.e., power plant owner, electric utility, electric retailer, gas utility, gas retailer, gas processor, or interstate pipeline company;

(7) the sections of this Article applicable to the report; and

(8) a declaration that is executed under penalty of perjury of the laws of the State of California, and that is executed by an authorized employee of the company responsible for submitting the report, stating:

(A) the name, address of the principal place of business, telephone number, fax number, and e-mail address of both the person executing the declaration and the company responsible for submitting the report, and the title of the person;

(B) that the person executing the declaration is authorized to do so and submit the report on behalf of the company responsible for submitting the report; and

(C) that the matters contained in the report are, to the best of the person's knowledge and belief and based on diligent investigation, true, accurate, complete, and in compliance with these regulations.

(m) Accuracy of Customer Classification Coding.

(1) Electricity and natural gas sales data reported pursuant to Sections 1306(a)(1)(A) and 1307(a)(1)(A) shall be accurately classified by Customer Classification code. Data shall be deemed accurately classified if, based on a random sample comparing (I) the Customer Classification code used for classification under Section 1306(a)(1)(A) or 1307(a)(1)(A) used for general customer record keeping to (II) an independently-derived Customer Classification code known to be accurate for each non-residential establishment in the sample, 99% of customer accounts, weighted by energy, are correctly classified at the major customer sector level and 90% of customer accounts, weighted by energy, are correctly classified at the 3-digit Customer Classification code level.

(2) If the Executive Director believes that sales data provided by a retailer is not accurately classified by Customer Classification code, he or she may require the appropriate UDC or LDC to conduct an audit or comparable study to verify the accuracy of the Customer Classification coding of the data submitted to the Commission.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25125-25126, 25216(a), 25216.5(d), 25300-25301, 25305, 25308-25310.2, 25320-25322, 25324-25325, 25401, 25401.1, 25401.2, 25403, 25403.5, 25602 and 25604, Public Resources Code.

§ 1304. Electric Power Plant Reports.

(a) Reports by Power Plant Owners.

Each power plant owner shall submit all of the data and reports required by this subsection for each electric power plant that has a nameplate capacity of one megawatt or more, and that it owns or owned during the reporting period.

For the purposes of this subsection, all of the wind turbines in an electric power plant shall be collectively considered as one single electric generator.

(1) Each Report: Electric Power Plant Identification.

The following data shall be submitted for each electric power plant with every monthly, quarterly, or annual report:

(A) name of the electric power plant;

(B) identification number of the electric power plant assigned by the Commission;

(C) facility code of the electric power plant assigned by the EIA;

(D) address where the electric power plant is physically located: street address, city, county, state and zip code;

(E) if the power plant operator is not the power plant owner, the power plant operator's full legal name and address of principal place of business including the street address, city, state, and zip code;

(F) nameplate capacity of the electric power plant;

(G) if the electric power plant is a cogenerator, the Customer Classification code of the entity to which the electric power plant supplies waste heat;

(H) if the electric power plant supplies electricity directly to an entity on site, the Customer Classification code of the entity;

(I) if the electric power plant was sold during the reporting period;

(1) the settlement date of the power plant sale;

(2) the buyer's and the seller's full legal names and addresses including street address, city, state, and zip code; and

(3) the name, address including street address, city, state, and zip code, and telephone number of the contact persons for the buyer and seller; and

(J) for each electric generator in the electric power plant:

(1) the identification number assigned by the power plant owner;

(2) nameplate capacity of the electric generator and, if the prime mover is a wind turbine, the total number of the turbines reflected in the nameplate capacity;

(3) the date electricity was first generated by the electric generator;

(4) the operating status of the electric generator during the reporting period, such as operating, standby, cold standby, on test, maintenance, out of service, indefinite shutdown, or retired;

(5) if the electric generator was retired during the reporting period, the retirement date;

(6) the type of prime mover that drives the electric generator, such as combustion turbine, steam turbine, internal combustion engine, wind turbine, solar, hydraulic turbine, geothermal binary, or other (specify); and

(7) an indication whether the primer mover is part of a combined-cycle unit.

(2) Generation and Fuel Use Data.

(A) For electric power plants with nameplate capacity of one megawatt or more and less than ten megawatts, the following data shall be submitted annually:

(1) gross generation of each electric generator, in megawatt hours;

(2) net generation of each electric generator, in megawatt hours;

(3) available capacity, in kilowatts, of each electric generator at the time of the annual peak demand of the control area in which the electric power plant is located;

(4) fuel use, by fuel type, of each electric generator;

(5) electricity in megawatt hours, consumed on site by the power plant owner, other than for plant use;

(6) sales for resale, in megawatt hours; and

(7) sales to end users, classified by Customer Classification code, in megawatt hours.

(B) For electric power plants with nameplate capacity of ten megawatts or more and less than fifty megawatts, the following data shall be submitted quarterly:

(1) monthly gross generation of each electric generator, in megawatt hours;

(2) monthly net generation of each electric generator, in megawatt hours;

(3) available capacity, in kilowatts, of each electric generator at the time of the monthly peak demand of the control area in which the electric power plant is located;

(4) monthly fuel use, by fuel type, of each electric generator;

(5) monthly electricity in megawatt hours, consumed on site by the power plant owner, other than for plant use; and

(6) monthly sales for resale, in megawatt hours; and

(7) monthly sales to end users, classified by Customer Classification code, in megawatt hours.

(C) For electric power plants with nameplate capacity of fifty megawatts or more, the following data shall be submitted quarterly:

(1) monthly gross generation of each electric generator, in megawatt hours;

(2) monthly net generation of each electric generator, in megawatt hours;

(3) available capacity, in kilowatts, of each electric generator at the time of the monthly peak demand of the control area in which the electric power plant is located;

(4) monthly fuel use, by fuel type, of each electric generator;

(5) monthly electricity in megawatt hours, consumed on site by the power plant owner, other than for plant use;

(6) monthly sales for resale, in megawatt hours;

(7) monthly sales to end users, classified by Customer Classification code, in megawatt hours; and

(8) monthly fuel cost by fuel type of each electric generator, provided, however, that such data shall be submitted one quarter later than is required by Section 1303(d).

(b) Reports by UDCs.

Each UDC shall report semiannually the following data for each electric power plant located in the UDC's electric service area. Notwithstanding Section 1303(e), the report shall be submitted on January 31 and July 31 each year.

(1) name;

(2) facility code assigned by the EIA;

(3) nameplate capacity in megawatts;

(4) voltage at which the electric power plant is interconnected with the UDC system or transmission grid;

(5) address where the electric power plant is physically located, including the street address, city, state, and zip code;

(6) power plant owner's full legal name and address of principal place of business, including the street address, city, state, and zip code; and

(7) longitude and latitude, expressed to the nearest degree, if available.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25125-25126, 25216(a), 25216.5(d), 25300-25301, 25305, 25308-25310.2, 25320-25322, 25324-25325, 25401, 25401.1, 25401.2, 25403, 25403.5, 25602 and 25604, Public Resources Code.

§ 1305. Control Area Operator Reports.

Each control area operator with California end users inside its control area, including without limitation the California Independent System operator, shall submit the following data:

(a) Monthly Reports on Monthly System Peak Demand: monthly system peak demand in the control area, and the date and hour of the monthly system peak demand;

(b) Quarterly Reports on Interconnections:

(1) the names of all other control areas with which the control area is interconnected;

(2) the names of all interconnections with other control areas; and

(3) the operating voltages of all such interconnections expressed in kilovolts;

(c) Quarterly Reports on Interchanges:

(1) the name of each control area with which the control area operator scheduled interchanges;

(2) electricity, expressed in megawatt hours that was scheduled to be delivered from each control area identified in Section 1305(b)(1) into the control area operator's control area;

(3) electricity, expressed in megawatt hours that was scheduled to be delivered from the control area operator's control area to each control area identified in Section 1305(b)(1);

(4) electricity, expressed in megawatt hours that was delivered from each control area identified in Section 1305(b)(1) into the control area operator's control area; and

(5) electricity, expressed in megawatt hours that was delivered from the control area operator's control area to each control area identified in Section 1305(b)(1).

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25125-25126, 25216(a), 25216.5(d), 25300-25301, 25305, 25308-25310.2, 25320-25322, 25324-25325, 25401, 25401.1, 25401.2, 25403, 25403.5, 25602 and 25604, Public Resources Code.

§ 1306. Electric Retailer Reports and Customer Classification Coding by UDCs.

(a) Quarterly Electric Retailer Reports.

Each electric retailer, or UDC pursuant to Section 1303(g), shall report quarterly the following:

(1) Electricity Sales.

(A) monthly electricity sales expressed in megawatt hours; and

(B) monthly number of customers;

each classified by county, month, and customer group (residential customers, and each group of non-residential customers and end users that have the same Customer Classification code).

(2) Commodity Price Estimates.

For each of the major customer sectors, an unbiased, good faith estimate of the electric retailer's average commodity electricity price paid by customers, expressed in dollars per kilowatt-hour.

(b) Annual UDC Reports to the Commission and to ESPs

Each UDC shall annually report the following:

(1) ESP Information to the Commission. For each ESP that sells electricity to customers in the UDC's electric service area, the UDC shall report to the Commission:

name of the ESP;

business address of the UDC;

sales of electricity, expressed in megawatt hours, to customers in the UDC's service area; and

(2) Customer Classification Codes to Electric Retailers. The UDC shall report quarterly, to each electric retailer that sells electric energy to customers in the UDC's service area, the Customer Classification Code of each customer to which the electric retailer sells electric energy during the previous three months.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25125-25126, 25216(a), 25216.5(d), 25300-25301, 25305, 25308-25310.2, 25320-25322, 25324-25325, 25401, 25401.1, 25401.2, 25403, 25403.5, 25602 and 25604, Public Resources Code.

§ 1307. Gas Retailer Reports and Customer Classification Coding by LDCs.

(a) Quarterly Gas Retailer Reports.

Each gas retailer, or LDC pursuant to Section 1303(g), shall report quarterly the following:

(1) Natural Gas Sales.

(A) monthly natural gas sales expressed in millions of therms; and

(B) monthly number of customers;

each classified by county, month, and customer group (residential customers, and each group of non-residential customers and end users that have the same Customer Classification code).

(2) Commodity Price Estimates.

For each of the major customer sectors, an unbiased, good faith estimate of the gas retailer's average commodity natural gas price paid by customers, expressed in dollars per million BTU.

(b) Annual LDC Reports to the Commission and to Gas Retailers

Each LDC shall annually report the following:

(1) Gas Retailer Information to the Commission. For each gas retailer that sells natural gas to customers in the LDC's gas service area, the LDC shall report to the Commission:

name of the gas retailer;

business address of the gas retailer;

sales of natural gas, expressed in thousand cubic feet or therms, to customers in the LDC's service area; and

(2) Customer Classification Codes to Gas Retailers. The LDC shall report quarterly, to each gas retailer that sells natural gas to customers in the LDC's service area, the Customer Classification Code of each customer to which the gas retailer sells natural gas during the previous three months.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25125-25126, 25216(a), 25216.5(d), 25300-25301, 25305, 25308-25310.2, 25320-25322, 25324-25325, 25401, 25401.1, 25401.2, 25403, 25403.5, 25602 and 25604, Public Resources Code.

§ 1308. Gas Utility Reports.

Each gas utility shall report the following data quarterly:

(a) Natural Gas Receipts.

All natural gas received by the gas utility for each of the previous three months, expressed in thousand cubic feet or therms; and the average heat content of the natural gas received, expressed in Btu per cubic feet; each classified by all of the following:

(1) How received: purchased, transported for others, or withdrawn from storage;

(2) Where and from whom the natural gas was received, according to the following entities and locations:

(A) Pipeline locations at the California Border

(1) El Paso Natural Gas at Topock

(2) El Paso Natural Gas at Blythe

(3) Transwestern Pipeline at Needles

(4) PG&E Gas Transmission - Northwest at Malin

(5) Other California Border Receipt Points (Designate)

(B) Instate locations

(1) Kern River Gas Transmission/Mojave Pipeline at Kern River Station

(2) Kern River Gas Transmission /Mojave Pipeline at Wheeler Ridge

(3) Kern River Gas Transmission/Mojave Pipeline at Hector Road

(4) PG&E at Wheeler Ridge

(5) California Production at Wheeler Ridge

(6) Kern River Gas Transmission at Daggett

(7) Rainbow compression station

(8) Dana Point compression station

(9) Other interconnect points

(C) California Production

(1) California onshore production received into the gas utility system

(2) California offshore lands production received into the gas utility system

(3) California outer continental shelf production received into the gas utility system.

(b) Monthly Natural Gas Sendout.

All natural gas delivered by the gas utility for each of the previous three months, expressed in thousand cubic feet or therms; and the average heat content of the natural gas delivered, expressed in Btu per cubic feet; each classified by all of the following:

(1) Core Customer Deliveries.

(A) Each Major Customer Sector (designate)

(B) Natural gas used to generate electricity when waste heat is used for industrial or commercial processes.

(C) Natural gas used to generate electricity when waste heat is used for industrial or commercial processes other than enhanced oil recovery.

(D) Natural gas used to generate electricity when waste heat is not used for industrial or commercial processes.

(E) Other (designate by Customer Classification code)

(2) Noncore Customer Deliveries

(A) Each Major Customer Sector (designate)

(B) Natural gas used to generate electricity when waste heat is used for industrial or commercial processes.

(C) Natural gas used to generate electricity when waste heat is used for industrial or commercial processes other than enhanced oil recovery.

(D) Natural gas used to generate electricity when waste heat is not used for industrial or commercial processes.

(E) Other (designate by Customer Classification code)

(3) Delivery to other utilities through the following delivery points:

(A) Kern River Station

(B) Wheeler Ridge

(C) Rainbow compression station

(D) Dana Point compression station

(E) Other points (designate)

(4) Delivery to Interstate Pipelines through the following delivery points:

(A) Kern River Station

(B) Wheeler Ridge

(C) Hector Road

(D) Daggett

(E) Other points (Designate)

(5) Delivery to International Pipelines

(A) Otay Mesa into Mexico

(B) Calexico into Mexico

(C) Other points (designate)

(6) For Storage Injection

(A) Gas utility-owned storage

(B) Non-gas utility-owned storage

(7) Losses and Unaccounted for

(c) Annual Natural Gas Deliveries.

All natural gas delivered by the gas utility, expressed in thousand cubic feet or therms; and the average heat content of the natural gas delivered, expressed in Btu per cubic feet; each classified by:

(1) Residential; and

(2) Nonresidential, classified by Customer Classification code, and classified for each Customer Classification code by:

(A) Delivery to core customers, except for core cogeneration customers;

(B) Delivery to core cogeneration customers;

(C) Delivery to noncore customers, except for noncore cogeneration customers; and

(D) Delivery to noncore cogeneration customers.

(d) Annual Natural Gas Delivery Revenues.

All natural gas delivery revenues received by the gas utility, expressed in dollars. Delivery revenue shall include all non-commodity components of the utility's rates, including without limitation costs of receiving, transporting, distributing, injecting to storage, recovering from storage, administration, regulatory, public purpose programs, energy market restructuring transition costs, and balancing accounts. Delivery revenue shall be classified by:

(1) Residential; and

(2) Nonresidential, classified by Customer Classification code, and classified for each Customer Classification code by:

(A) Delivery to core customers, except for core cogeneration customers;

(B) Delivery to core cogeneration customers;

(C) Delivery to noncore customers, except for noncore cogeneration customers; and

(D) Delivery to noncore cogeneration customers.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25125-25126, 25216(a), 25216.5(d), 25300-25301, 25305, 25308-25310.2, 25320-25322, 25324-25325, 25401, 25401.1, 25401.2, 25403, 25403.5, 25602 and 25604, Public Resources Code.

§ 1309. Interstate Pipeline Company Reports.

Each interstate pipeline company shall report the following data annually:

(a) Natural Gas Receipts.

All natural gas receipts from sources inside California's border, expressed in thousand cubic feet or therms; and the average heat content of the natural gas received, expressed in Btu per cubic foot; each classified by:

(1) California production

(2) Kern River Station

(3) Hector Road

(4) Daggett

(5) Wheeler Ridge

(6) Other (designate)

(b) Natural Gas Deliveries to California Customers

Each interstate pipeline company shall report annually the following:

For residential customers, and for each group of non-residential customers that have the same Customer Classification code, each further subdivided by county and for each year:

(A) annual natural gas deliveries expressed in thousand cubic feet or therms; and

(B) annual number of customers.

(c) Natural Gas Deliveries to Interstate Pipelines and Gas Utilities.

All natural gas volumes delivered by the interstate pipeline company to locations in California or at the California border, expressed in thousand cubic feet or therms, and the average heat content of the natural gas delivered, expressed in Btu per cubic foot; each classified by:

(1) Natural gas utilities (designate).

(2) Interstate Pipelines (designate).

(3) Delivery Points.

(A) Topock

(B) Needles

(C) Blythe

(D) Malin

(E) Wheeler Ridge

(F) Hector Road

(G) Daggett

(H) Kern River Station

(I) Other (Designate)

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25125-25126, 25216(a), 25216.5(d), 25300-25301, 25305, 25308-25310.2, 25320-25322, 25324-25325, 25401, 25401.1, 25401.2, 25403, 25403.5, 25602 and 25604, Public Resources Code.

§ 1310. Natural Gas Processor Reports.

Each natural gas processor shall report quarterly:

(a) by month for each of the previous three months,

(b) by plant, and

(c) for each of the following products:

(1) Ethane

(2) Propane

(3) Normal Butane

(4) Isobutane

(5) Pentanes Plus

(d) the following data:

(1) stocks at the beginning of the month;

(2) receipts during the month;

(3) inputs during the month

(4) production during the month;

(5) shipments during the month;

(6) plant fuel use and losses for processing during the month;

(7) stocks at the end of the month.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25125-25126, 25216(a), 25216.5(d), 25300-25301, 25305, 25308-25310.2, 25320-25322, 25324-25325, 25401, 25401.1, 25401.2, 25403, 25403.5, 25602 and 25604, Public Resources Code.

§ 1311. Certification.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25320, Public Resources Code.

§ 1312. Trade Secrets.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25223, Public Resources Code.

§ 1313. Accuracy Report.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25216.5(d), 25300, 25301, 25305, 25308, 25309, 25310, 25320-25323 and 25401, Public Resources Code.

Article 2. Forecast and Assessment of Energy Loads and Resources

§ 1340. Scope.

This Article applies to each medium size electric utility, medium size gas utility, large size electric utility, large size gas utility, owner (or, where there is more than one owner, the majority or plurality owner or the managing partner) of an electric power plant, owner (or, where there is more than one owner, the majority or plurality owner or the managing partner) of an electric transmission system, and owner (or, where there is more than one owner, the majority or plurality owner or the managing partner) of an electric distribution system.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25216(a) and (b), 25216.5(d), 25300, 25301 and 25309, Public Resources Code.

§ 1341. Rules of Construction and Definitions.

The rules of construction and definitions in Section 1302 of Article 1 of this chapter, and the definitions set forth in this Section, apply to this Article.

"Electric Distribution System Owner" means an entity that owns local electricity distribution facilities for the delivery of electrical energy to end users.

"Large Size Electric Utility" means an electric utility that: (a) has experienced a peak electricity demand of 1000 megawatts or more in both of the two calendar years preceding the required data filing date and (b) owned or operated by a public governmental entity or regulated by the California Public Utilities Commission.

"Large Size Gas Utility" means a natural gas utility that has delivered 100 billion cubic feet or more of gas per year in both of the two calendar years preceding the required data filing date.

"Medium Size Electric Utility" means an electric utility: (a) that experienced a peak electricity demand of more than 200 megawatts per year in both of the two calendar years preceding the required data filing date, and that has not experienced a peak electricity demand of 1000 megawatts or more during both of the two calendar years preceding the required data filing date and (b) owned or operated by a public governmental entity or regulated by the California Public Utilities Commission.

"Medium Size Gas Utility" means a natural gas utility that has delivered to end-use customers more than 50 billion cubic feet of natural gas per year in both of the two calendar years preceding the required data filing date, and that has not delivered 100 billion cubic feet of natural gas per year in both of the two calendar years preceding the required data filing date.

“Report" means survey plan, survey data, survey documentation, survey documentation, data analysis, load metering data, or power plant data.

"Transmission System Owner" means an entity that owns transmission lines and associated facilities forming part of the transmission network, including radial lines and associated facilities interconnecting generation.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25216, subdivisions (a) and (b), 25216.5, subdivision (d), 25300, 25301 and 25309, Public Resources Code.

§ 1342. General Requirements for Survey and Load Metering and Reports.

(a) Reports Must Be Submitted. Each owner of an electric utility or gas utility shall conduct the applicable plans and surveys, and shall submit to the Commission the applicable data, as set forth in this Section as well as Sections 1343 through 1348.

(b) Forms and Instructions. The data shall be submitted according to instructions for forms, specified by the Executive Director, consistent with and contained in Sections 1342, 1343 and 1344. The instructions may include without limitation a requirement that the data be submitted in electronic format generally or in a specific electronic format.

(c) Biennial Reports and Data. Data or reports referred to as "reported biennially" shall be submitted every two years beginning on June 15, 2002.

(d) Extensions of deadlines specified in Sections 1343 through 1348. The person responsible (or delegated the responsibility in this Article) for submitting a report may apply for and receive from the Executive Director an extension of the deadlines established in Sections 1343 through 1348. The Executive Director shall act on an application within five business days after it is received at the Commission. The Executive Director's decision may be appealed to the full Commission; the Commission shall act on an appeal within 14 days after the appeal is received; the Commission may summarily deny an appeal without a hearing. An extension shall be granted for no more than 30 days, if:

(1) The company submits and the Executive Director receives, no later than 15 days before the report is due, an application that includes:

(A) the full legal name, address of the principal place of business, telephone number, fax number, e-mail address, and website address of the company submitting the application for an extension;

(B) the name, address of the principal place of business, telephone number, fax number, and e-mail address of the person employed by the company submitting the report, who should be contacted with questions about the application for an extension;

(C) the name of the report and the sections of these regulations applicable to the report;

(D) the reasons why the report cannot be, or may not be able to be, submitted on time, and the date the report will be submitted;

(E) the measures the company is taking to complete the report on time or as soon thereafter as possible; and

(F) a declaration executed under penalty of perjury of the laws of the State of California stating:

(1) the full legal name, address of the principal place of business, telephone number, fax number, and e-mail address of both the person executing the declaration and the company submitting the application;

(2) that the person executing the declaration is authorized to do so and to submit the application on behalf of the company; and

(3) that the matters contained in the application are, to the best of the person's knowledge and belief and based on diligent investigation, true, accurate, complete, and in compliance with these regulations.

(2) The Executive Director finds that good cause exists for an extension and that the report is likely to be submitted by the extended due date.

(e) Date of "Submittal." A report under Sections 1343 through 1348 is "submitted," for purposes of these regulations and of Section 25322 of the Public Resources Code, when it is received at the Energy Information and Analysis Division (or its successor) at the Commission and it is complete, accurate, and in compliance with the applicable requirements and forms and instructions specified in this Article.

(f) Delegation of Reporting Duty. The company designated in subsection (a) as required to submit a report may delegate to another company the submittal of the report if the delegatee agrees, but in any event the company designated in subsection (a) shall be responsible for the timely, accurate, and complete submittal of the report.

(g) Submittal of Previous Report. If the data included in a report is exactly the same as the data contained in a previously submitted report from the same company, the current report need only reference the previously submitted data in sufficient detail to allow its easy retrieval.

(h) Submittal of Alternative Data, Reports, or Format. The company responsible (or delegated the responsibility in this Article) for submitting data or a report may apply for and receive from the Executive Director authorization to submit, in lieu of the required data or report: another collection of data assembled and prepared for a purpose other than compliance with this Article, or submit data not in accordance with the forms and instructions specified in this Article.

(1) The Executive Director shall act on an application for the submission of alternative data within 20 days after it is received by the Commission.

(2) If the application is granted for the submission of alternative data, then the company may submit the alternative data for each report required in this Article without the need for a subsequent application, if the alternative data contains all of the data required by Sections 1343 through 1348 as applicable and is current for the time period or periods specified in those sections.

(3) The Executive Director's decision may be appealed to the full Commission; the Commission shall act on an appeal within 14 days after the appeal is received; the Commission may summarily deny an appeal without a hearing. The Executive Director may revoke authorization to submit alternative data at any time for any reason.

(4) An application for the submission of alternate data shall be granted if:

(A) The company submits and the Executive Director receives, no later than 30 days before the report is due, an application that includes:

(1) the full legal name, address of the principal place of business, telephone number, fax number, e-mail address, and website address of the company submitting the application to provide alternative data;

(2) the name, address of the principal place of business, telephone number, fax number, and e-mail address of a contact person who can answer questions about the application for submission of alternative data;

(3) the name of the report and the sections of these regulations applicable to the report;

(4) the reasons why the alternative collection of data meets each applicable requirement of Sections 1343 through 1348; and

(5) a declaration executed under penalty of perjury of the laws of the State of California stating:

(a) the full legal name, address of the principal place of business, telephone number, fax number, and e-mail address of both the person executing the declaration and the company submitting the application;

(b) that the person executing the declaration is authorized to submit the application on behalf of the company; and

(c) that the matters contained in the application are, to the best of the person's knowledge and belief and based on diligent investigation, true, accurate, complete, and in compliance with these regulations.

(B) The Executive Director finds that good cause exists for granting the application to submit alternative data. That determination shall include a finding that compliance with these regulations and the needs of the Commission, other entities and the public will not be harmed by the granting of the application.

(i) Information Required in All Reports. Each report required by Sections 1343 through 1348, in addition to the data specified in the applicable section, must include the following:

(1) the name, address of the principal place of business, telephone number, fax number, e-mail address, and website address of the company submitting the report;

(2) the name, address of the principal place of business, telephone number, fax number, and e-mail address of a contact person who can answer questions about the report;

(3) the name, address of the principal place of business, telephone number, fax number, e-mail address, and website address of the person responsible for submitting the report;

(4) if the company submitting a report has divisions, departments, subsidiaries, or similar entities covered by the report, the report shall include the name of each entity and reflect the activities of each entity;

(5) the date the report is being submitted;

(6) the time period or periods that the report covers;

(7) the status of the company responsible for submitting the report: i.e., medium size electric utility, medium size gas utility, large size electric utility, large size gas utility, electric power plant, electric transmission system, or electric distribution system (if the company operates more than one type of entity, the report shall state the type of entity the report is being submitted for and list the other entities that the company represents);

(8) a declaration executed under penalty of perjury of the laws of the State of California, and that is executed by an authorized employee of the company responsible for submitting the report, stating:

(A) the full legal name, address of the principal place of business, telephone number, fax number, and e-mail address of both the person executing the declaration and the company responsible for submitting the report;

(B) that the person executing the declaration is authorized to submit the report on behalf of the company; and

(C) that the matters contained in the report are, to the best of the person's knowledge and belief and based on diligent investigation, true, accurate, complete, and in compliance with these regulations.

(j) Techniques Required; Replicable Results. All data submitted under Sections 1343 through 1348 shall be:

(1) gathered, organized, analyzed, and reported using standard, generally-accepted, and documented professional statistical, engineering, data-gathering, and other appropriate techniques;

(2) presented in sufficient detail to allow replication of the results by the Commission staff and by other experts in the field; and

(3) accompanied by the following:

(A) complete identifications of the sources of all data;

(B) complete descriptions of all assumptions used; and

(C) complete identifications and descriptions of all methodologies used.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25216(a), (b), 25216.5(d), 25300, 25301 and 25309, Public Resources Code.

§ 1343. Energy End User Data: Survey Plans, Surveys, and Reports.

Each large size electric utility and large size gas utility shall complete the survey plans, surveys, and reports described in this Section, unless exempt as described under the Compliance Option described under subsection (e).

(a) Survey Plans and Plan Approval.

(1) Submittal of Survey Plans. For each survey a utility is required to perform under this Section, the utility must complete and submit to the Commission a plan for conducting the survey that is consistent with subsections (a) through (d) of this Section. This plan is due one year before survey data is due under subsection (c) and shall describe, at a minimum:

(A) the purpose, scope, and design of the survey project;

(B) the data to be collected, including all data required by subsection (b);

(C) the methods and schedules to be followed;

(D) the format for presenting the results;

(E) the use of contractors to assist in the project;

(F) the estimated cost of the project, nature of funding source, and regulatory authority to complete the study;

(G) what confidential data will be used in the study; how confidentiality will be maintained during the conduct of the survey; any special confidentiality protection needed for types of data not explicitly addressed by Chapter 7, Article 2 of this Division; and

(H) the means for ensuring that the data are representative of the entire end user population located within the utility distribution company service area. The Commission shall presume that the results are representative if the design satisfies all of the following requirements:

(1) The survey is designed to achieve end-use saturation estimates accurate to within plus or minus 5 percent at a 95 percent confidence level;

(2) The survey design includes methods to reduce non-response bias, including repeated contacts of non-respondents;

(3) The survey design includes methods to ensure and verify that results are representative of the end user population; and

(4) Survey methods (such as mail, telephone, or on-site data collection methods) are appropriate to the complexity and amount of data requested.

(2) Commission Approval of Plans. The Commission shall evaluate each survey plan in light of the requirements set forth in this Section, and shall approve any plan that meets the requirements of this Section. During this evaluation, the Commission staff may recommend improvements or amendments to enhance the value, reliability, or relevance of the survey results to energy demand forecasting and analysis.

The Commission shall approve or disapprove a submitted plan, including a revised plan, within 60 days of its submission. If the Commission disapproves of a plan, it shall specify the plan's deficiencies in writing. Within 30 days of receiving survey plan disapproval, the utility shall submit to the Commission a revised plan correcting the specified deficiencies.

(3) The surveys shall be conducted in accordance with the approved survey plan. If changes to the survey plan become necessary, the utility shall notify the Commission in writing before those changes are implemented. If the Commission objects to the changes, it shall notify the utility within ten working days of its receipt of those changes. If the Commission does not respond, the amended plan will be accepted.

(b) Data Collection Requirements. Each utility shall complete surveys of end-users in the residential, commercial, and industrial major customer sectors within its service area every four years, carried out in accordance with the plan approved under subsection (a). Major customer sectors shall be defined pursuant to Section 1302 of this Chapter, except that SIC code 29 and NAICS code 324 may be excluded from the industrial customer sector. The data collected by the surveys shall include, without limitation, all of the following:

(1) For all customers:

(A) presence and characteristics of energy-using equipment;

(B) installed energy efficiency measures;

(C) building management controls, and measures designed to shift load;

(D) presence and type of any metering and telemetry equipment used to meter energy use;

(E) presence, type, and characteristics of any energy-producing equipment or fuel supply;

(F) electric and gas retailer identification or type of provider;

(G) location of the building surveyed, identified by zip code;

(H) patterns of behavior and appliance and equipment operation affecting energy use and load profiles; and

(I) building characteristics, including wall construction, foundation, number of stories, square footage of the building, and characteristics of windows.

(2) For the residential customer sector:

(A) building type (single family, multifamily, or mobile home) and vintage of building, and

(B) demographic characteristics of occupants, including income, primary language spoken in the home, level of educational attainment, number of persons by age group, and race or ethnic group.

(3) For the commercial building customer sector:

(A) type of business identified by industrial classification code, and

(B) occupancy profile, including number of employees and hours of operation.

(4) For the assembly, process and other industrial customer sectors:

(A) type of industry identified by industrial classification code;

(B) number of employees;

(C) annual monetary value of shipments; and

(D) energy-using production processes used by the facility.

(5) Corollary data for all surveys:

(A) all accounting records, customer identifiers, and associated data that are necessary for analysis and development of weights to expand respondent data to the population;

(B) for interval metered accounts, 8760 hours of energy consumption data for each sampled premise. For other accounts, twelve months of energy consumption data for each sampled premise; and

(C) for each survey where the survey plan includes a load metering element, load metering data for each metered, sampled account.

(c) Delivery of Data and Documentation. Each utility shall provide to the Commission all data required by subsection (b), and a Survey Methodology Report, according to the schedule below. The Survey Methodology Report shall describe the procedures that were followed for the survey, including the survey instrument, sample design, sample selection and implementation process, coding procedures, how the survey as implemented differs from the survey plan, and all other information needed for subsequent analyses of the data.

(1) Residential customer sector: on or before July 1, 2003, and on or before July 1 of every fourth year thereafter.

(2) Commercial building customer sector: on or before July 1, 2004, and on or before July 1 of every fourth year thereafter.

(3) Assembly, process and other industrial customer sectors: On or before July 1, 2006, and on or before July 1 of every fourth year thereafter.

(d) Data Analysis Reports

(1) Residential End Use and Saturation Reports. Each utility shall submit, within six months after the residential sector survey data are due under subsection (c), the following reports based on analysis of the survey data:

(A) the Residential End Use Report shall provide estimates of average energy consumption for each major end use by housing type and vintage. The estimates shall be derived from load metering, engineering or conditional demand analysis techniques, which shall be described in the report; and

(B) the Residential Saturation Report shall document the percentage of households using electricity, natural gas, or other type of energy for each appliance or end use, by housing type and vintage;

(2) Commercial Building Floor Space Stock and Saturation Reports. Each utility shall submit, within six months after the commercial building sector survey data are due, the following reports based on an analysis of the survey data:

(A) the Floor Space Stock Report shall provide estimates of current year commercial building floor space stock, measured in square footage, by building type and vintage; and

(B) the Commercial Saturation Report shall document the percentage of commercial floor space using electricity, natural gas, or other type of energy for each end use, by commercial building type and vintage.

(e) Data Collection and Analyses Compliance Option. In lieu of the requirements contained in subsection (a) through (d) of this Section, a utility may participate in projects identified by the Commission as satisfying the corresponding data collection and analyses elements of this Section.

(1) Participation requirements:

(A) may include a funding contribution from each utility in the amount determined by the Commission to be reasonably necessary to fulfill the data collection objectives of this Section; and

(B) will require participating utilities to provide certain data to the Commission, including, but not limited to, accounting records and geographic identifiers required for designing, selecting, and properly weighting the sample, individual energy consumption histories for sampled accounts, and load metering data that the Executive Director identifies as required for a given project pursuant to Public Resources Code Section 25216.5.

(2) The Commission shall notify utilities of project participation opportunities, including the applicable customer sector, schedule and participation requirements for the project consistent with Section1343. This notification shall occur at least eighteen months before compliance is due.

(3) A utility shall be in compliance with the corresponding elements of subsections (a) through (d) of this Section for the customer sector identified by the Commission if it meets the following conditions:

(A) the utility responds in writing to the Commission's notification of a project participation opportunity within 60 days, requesting to use the compliance option. In its response, the utility shall agree to comply with the Commission's participation requirements;

(B) the utility submits to the Commission, according to the schedule described in this Section, the information and data for conducting surveys and performing subsequent analyses identified by the Executive Director as necessary to conduct the survey; and

(C) the utility transfers funding to the Commission in the amount determined by the Commission to be reasonably necessary to fulfill the data collection objectives of this Section.

(4) The Commission shall approve or disapprove the utility's request to use the compliance option within 30 days of its submission.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25216(a) and (b), 25300, 25301, 25308, 25309 and 25310, Public Resources Code.

§ 1344. Load Metering Reports.

Each large- and medium-size electric utility shall conduct applicable load metering to satisfy:

(a) Annual System Load Data by Hour. Beginning June 1, 2002, and every year thereafter, each large- and medium-size electric utility shall submit its annual system load data for every hour of the previous calendar year in accordance with the following:

(1) Hourly system load data and analyses shall be developed and compiled from actual load metering;

(2) Load metering shall be conducted in an accurate and reliable manner;

(3) Hourly system load data shall be delivered to the Commission in electronic form in EEI format.

(b) Peak Load Estimates by Customer Sector. Beginning June 1, 2002, and every year thereafter, each large size electric utility shall submit data regarding its estimates of sectoral loads coincident with the system peak for the previous calendar year in accordance with the following:

(1) The sectoral peak load estimates shall, at a minimum, be submitted for each of the following sectors:

(A) residential customer sector;

(B) commercial building customer sector;

(C) other commercial customer;

(D) process industry customer sector;

(E) assembly industry customer sector;

(F) other industry customer sector;

(G) agriculture customer sector;

(H) water pumping customer sector;

(I) street lighting customer sector; and

(J) unclassified customer sector.

(2) The samples used to determine peak loads for each sector shall be designed to insure that estimates are accurate to within +10 percent of the sector load coincident with system peak, and with 90 percent confidence.

(c) Hourly Load Estimates by Customer Sector. Beginning September 1, 2002, and every year thereafter, each large size electric utility shall submit data containing its hourly load

estimates by customer sector for every hour of the previous calendar year in accordance with the following:

(1) The hourly sector load estimates shall include the contribution of each customer sector specified in subsection (b)(1) for every hour of the year;

(2) The samples used to develop hourly load estimates for each sector shall be designed to insure that estimates are accurate to within +10 percent of the monthly sectoral coincident peak, and with 90 percent confidence; and

(3) The hourly sector load estimates shall be delivered to the Commission in electronic form.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25216(a) and (b), 25300, 25301, 25308, 25309 and 25310 Public Resources Code.

§ 1345. Demand Forecasts.

Each electric or gas utility shall submit its 20-year demand forecast according to forms and instructions adopted by the Commission. The demand forecast shall include at least:

(a) A description and map of the utility service area and, if different, the area for which the utility forecasts demand;

(b) Presentation of the demographic and economic assumptions that under-lie the forecast;

(c) Forecasted demand, accounting for conservation reasonably expected to occur, for each of the 20 years beginning with the year in which the forecast is submitted, with:

(1) Electric utilities forecasting energy and peak demand,

(2) Gas utilities forecasting energy demand,

(3) The residential sector forecast presented by major end-use categories and associated marginal and average unit energy consumptions and saturation rates, and

(4) The nonresidential sectors forecast presented by major end-use categories and associated marginal and average unit energy consumptions and saturation rates, if possible;

(d) Plausibility, sensitivity, and alternative economic scenario analyses;

(e) Estimation of the additional cost-effective conservation potential and the impact of possible methods to achieve this potential, and a description of each conservation activity carried out by the utility and those proposed for future implementation;

(f) The demand forecast related items required by Section 25301, Public Resources Code; and

(g) Additional information and analysis consistent with these regulations as required in the forms and instructions adopted by the Commission.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25216(a), 25216.5(d), 25301, 25302and 25303, Public Resources Code.

§ 1347. Resource Plans.

Each electric utility shall submit its 20-year resource plan for meeting forecasted demand according to forms and instructions adopted by the Commission. The resource plan shall include:

(a) A tabulation of forecasted demand and expected supply resources for each of the 20 years beginning with the year in which the resource plan is submitted;

(b) A description of existing and projected sources of supply, including generating projects and purchases from other utilities or elsewhere, specifying construction and operation costs, fuel sources and costs, capacity factors, water consumption, and environmental impacts and mitigation measures;

(c) Description and maps of existing and projected electric transmission lines, including load capabilities, construction and operation costs, and environmental impacts and mitigation measures;

(d) Description of capacity and energy achievable through improved system operating efficiency;

(e) The resource related items required by Public Resources Code Section 25301; and

(f) Additional information and analyses consistent with these regulations, including alternative resource plans, as required in the forms and instructions adopted by the Commission.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25216(a), 25216.5(d), 25301, 25302 and 25303, Public Resources Code.

§ 1348. Pricing and Financial Information.

Each electric or gas utility shall submit, according to forms and instructions adopted by the Commission, a forecast of energy prices which corresponds to the utility's demand forecast and resource plan. Each electric utility shall also submit a forecast of utility financial variables consistent with the forecast and plan.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25216(a), 25216.5(d), 25301, 25302 and 25303, Public Resources Code.

§ 1349. Reporting Deadline and Extensions.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25216(a), (b), 25216.5(d), 25300, 25301 and 25309, Public Resources Code.

§ 1350. Exemptions.

A small electric or gas utility need not comply with the CFM reporting requirements if it notifies the Commission at least 60 days prior to the deadline. The Commission may by order:

(a) Exempt other utilities from these requirements; and

(b) Establish abbreviated reporting requirements for small utilities and others exempted from complying with the full CFM requirements.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25005.5, 25216 (a) and (b), 25216.5(d), 25300, 25301 and 25309, Public Resources Code; and Sections 11346.13, 11346.53 and 11346.7, Government Code.

§ 1351. Requests for Information.

(a)(1) At any time after the filing of a submittal required by this Article, the executive director may make a written request to the filing utility for such information as is necessary for a complete staff analysis of the filing, including in such request the time and manner of utility response.

(2) If the information is not provided, or if the executive director believes that the information will not be provided within a reasonable time, the general counsel may petition the commission for an order securing the information.

(b) This section shall not limit the authority of any persons to obtain information pursuant to any other provision of law.

Note: Authority cited: Sections 25213 and 25218 (e), Public Resources Code. Reference: Sections 25005.5, 25216, subdivisions (a) and (b), 25216.5, subdivision (d), 25300, 25301 and 25309, Public Resources Code.

Article 3. Petroleum Information Reports

§ 1361. Title.

The reports described in Section 25354 of the Public Resources Code and this article shall be known as the Petroleum Information Reports.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference cited: Sections 25352 and 25354(e), Public Resources Code.

§ 1362. Definitions: General.

For purposes of this article, all terms are to be construed in a manner consistent with their common commercial usage, absent an express indication to the contrary.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25354, Public Resources Code.

§ 1363. Definitions: Specific.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25354, Public Resources Code.

§ 1363.1. Definitions: Specific Petroleum and Non-Petroleum Products.

(a) "Aviation Fuels" mean aviation gasoline and aviation jet fuel.

(b) "Aviation Gasoline" (Finished Aviation Gasoline) means all special grades of gasoline for use in aviation reciprocating or piston engines.

(c) "Aviation Jet Fuel" means a quality kerosene product with an average specific gravity of 40.7 API, and ten percent distillation temperature of 400 degrees Fahrenheit and an end-point of 572 degrees Fahrenheit. Aviation Jet Fuel includes Commercial and Military Jet Fuel.

(1) "Commercial Jet Fuel" includes products known as Jet A, Jet A-1 and Jet B.

(2) "Military Jet Fuel" includes products known as JP-5 and JP-8.

(d) "Bio-Diesel" means a diesel fuel substitute or diesel fuel additive or extender typically made from the oils of soybean, rapeseed, or sunflower or animal tallow that is blended with traditional diesel fuel or used in a neat fuel application. Bio-Diesel can also be made from hydrocarbons derived from agricultural products such as rice hulls. A blend of two percent bio-diesel and 98 percent traditional diesel is referred to as Bio-Diesel B2. A blend of five percent bio-diesel and 95 percent traditional diesel is referred to as Bio-Diesel B5. A blend of 20 percent bio-diesel and 80 percent traditional diesel is referred to as Bio-Diesel B20. Bio-Diesel B100 is 100 percent bio-diesel.

(e) "Crude Oil (Domestic)" means a mixture of hydrocarbons that existed in liquid phase in underground reservoirs and remains liquid at atmospheric pressure after passing through surface separating facilities. Also included is lease condensate moving to a refinery. Drips are also included, but topped crude oil and other unfinished oils are excluded. Natural gas liquids produced at natural gas processing plants and mixed with crude oil are likewise excluded where identifiable. Domestic crude oil is petroleum produced in the 50 states or from the "Outer Continental Shelf" as defined in 43 U.S.C. 1331, which is incorporated herein by reference, and includes synthetic crude such as, but not limited to, those derived from shale oil and tar sands.

(f) "Crude Oil (Foreign)" means a mixture of hydrocarbons that existed in liquid phase in underground reservoirs and remain liquid at atmospheric pressure after passing through surface separating facilities. Drips are also included, but topped crude oil and other unfinished oils are excluded. Natural gas liquids produced at natural gas processing plants and mixed with crude oil are likewise excluded. Foreign crude oil is petroleum produced outside of the United States and includes Athabasca hydrocarbons (oil or tar sands).

(g) "Distillates" mean distillate fuel oil without kerosene and other middle distillates not reported elsewhere.

(h) "Distillate Fuel Oil" means a general classification for one of the petroleum fractions produced in conventional distillation operations. It includes diesel fuels and fuel oils. Distillate

Fuel Oil includes products known as No. 1, No. 2 and No. 4 diesel fuel and products known as No. 1, No. 2 and No. 4 fuel oils.

(1) "No. 1 Distillate" means a light petroleum distillate used as either a diesel fuel (see No. 1 Diesel Fuel) or a fuel oil (see No. 1 Fuel Oil).

(A) "No. 1 Diesel Fuel" means light distillate fuel oil with a distillation temperature of 550 degrees Fahrenheit at the 90-percent point.

(B) "No. 1 Fuel Oil" means a light distillate fuel oil with a distillation temperature of 400 degrees Fahrenheit at a ten percent recovery point and 550 degrees Fahrenheit at a 90 percent point.

(2) "No. 2 Distillate" means petroleum distillate used as either a diesel fuel (see No. 2 Diesel Fuels) or a fuel oil (see No. 2 Fuel Oil).

(A) "No. 2 Diesel Fuel" means fuel with distillation temperatures of 500 degrees Fahrenheit at a ten percent recovery point and 640 degrees Fahrenheit at a 90 percent recovery point.

(B) "EPA Low Sulfur No. 2 Diesel Fuel (EPA Highway Diesel)" means No. 2 diesel fuel with a sulfur level no higher than 0.05 percent by weight (500 ppm).

(C) "EPA Off-Road No. 2 Diesel Fuel (EPA Off Road Diesel)" means No. 2 diesel fuel with a sulfur level greater than 0.0015 percent by weight (15ppm) and less than 0.05 percent by weight (500 ppm).

(D) "CARB Low Sulfur No. 2 Diesel Fuel (CARB Diesel)" means No. 2 diesel fuel with a sulfur level no higher than 0.05 percent by weight (500 ppm) and with an aromatic hydrocarbon content limited to ten percent by volume.

(E) "EPA Ultra Low Sulfur No. 2 Diesel Fuel (EPA Highway ULS Diesel)" means No. 2 diesel fuel with a sulfur level no higher than 0.0015 percent by weight (15 ppm).

(F) "CARB Ultra Low Sulfur No. 2 Diesel Fuel (CARB ULS Diesel)" means No. 2 diesel fuel with a sulfur level no higher than 0.0015 percent by weight (15 ppm) and with an aromatic hydrocarbon content limited to ten percent by volume.

(G) "High Sulfur No. 2 Diesel Fuel" means No. 2 diesel fuel with a sulfur level above 0.05 percent by weight (500ppm).

(H) "No. 2 Fuel Oil (Heating Oil)" means distillate fuel oil with a distillation temperature of 400 degrees Fahrenheit at a ten percent recovery point and 640 degrees Fahrenheit at a 90 percent recovery point.

(3) "No. 4 Fuel Oil" means distillate fuel oil made by blending distillate fuel oil and residual fuel oil stocks. It includes No. 4 diesel fuel.

(i) "Finished Motor Gasoline" means a complex mixture of relatively volatile hydrocarbons with or without small quantities of additives having a boiling point between 122 and 158 degrees Fahrenheit at a ten percent recovery point, and 365 to 374 degrees Fahrenheit

at a 90 percent recovery point. Finished Motor Gasoline includes conventional gasoline, all oxygenated gasoline, and all reformulated gasoline, but excludes aviation gasoline.

(1) "Conventional Gasoline" (not classified as oxygenated or reformulated gasoline) means types of finished gasoline that do not contain any oxygenates. These fuels include:

(A) "Arizona Conventional Gasoline" means finished motor gasoline formulated as identified in Arizona Administrative Code R20-2-701.9, which is incorporated herein by reference, for use in motor vehicles.

(B) "Nevada Conventional Gasoline" means finished motor gasoline formulated as identified in Nevada Administrative Code 590.065, which is incorporated herein by reference, for use in motor vehicles.

(C) "Other Conventional Gasoline" means conventional gasoline other than Arizona or Nevada Conventional Gasoline.

(2) "Oxygenated Gasoline" (not classified as reformulated gasoline outside of California, Arizona or Nevada) means finished motor gasoline that contains an oxygenate. This type of finished gasoline is primarily used during the winter months in regions of the United States that are not in compliance with carbon monoxide standards. These fuels include:

(A) "EPA Winter Oxygenated Gasoline" means a finished gasoline containing a minimum of 1.8 percent oxygen by weight that is formulated as identified in Code of Federal Regulations, tit. 40, § 80.2(rr), which is incorporated herein by reference.

(B) "Arizona Winter Gasoline" means a finished gasoline formulated as identified in Arizona Administrative Code R20-2-701.3, which is incorporated herein by reference, containing ten percent ethanol by volume. The unfinished base gasoline, prior to blending with ethanol, is referred to as Arizona Blendstock for Oxygenate Blending (AZRBOB).

(C) "Nevada Winter Gasoline" means finished gasoline containing ten percent ethanol by volume as identified in Clark County Air Quality Regulations § 53.1 and 53.2, which is incorporated herein by reference. The unfinished base gasoline, prior to blending with ethanol, is referred to as Nevada Blendstock for Oxygenate Blending in Las Vegas (LVBOB).

(3) "Reformulated Gasoline" means finished motor gasoline formulated to reduce emissions of various criteria pollutants from motor vehicles. These fuels include:

(A) "California Reformulated Gasoline (CaRFG)" means finished motor gasoline formulated as identified in California Code of Regulations, tit. 13, §§ 2260-2262.7, which are incorporated herein by reference. This category excludes California Reformulated gasoline Blendstock for Oxygenate Blending (CARBOB).

(B) "EPA Reformulated Gasoline (RFG)" means finished motor gasoline. This category includes oxygenated fuels program reformulated gasoline (OPRG) but excludes Reformulated gasoline Blendstock for Oxygenate Blending (RBOB).

(C) "Arizona Cleaner Burning Gasoline (Arizona CBG)" means finished motor gasoline formulated as identified in Arizona Administrative Code R20-2-701.3, which is incorporated

herein by reference. This category excludes Arizona Reformulated gasoline Blendstock for Oxygenate Blending (AZRBOB).

(D) "Nevada Cleaner Burning Gasoline (NVCBG)" means finished motor gasoline formulated as identified in Clark County Air Quality Regulations § 54, Definitions, which is incorporated herein by reference. This category excludes Nevada's Cleaner Burning Gasoline Blendstock for Oxygenate Blending (CBGBOB).

(j) "Kerosene" means a petroleum distillate with a boiling point between 300 to 500 degrees Fahrenheit, a flash point higher than 100 degrees Fahrenheit a gravity range from 40 to 46 API and a burning point between 150 and 175 degrees Fahrenheit.

(k) "Liquefied Petroleum Gases" mean a group of hydrocarbon-based gases derived from crude oil refining or natural gas fractionation. They include ethane, ethylene, propane, propylene, normal butane, butylene, isobutane, and isobutylene.

(l) "Marine Fuels" are generally used by ocean-going marine vessels such as, but not limited to tugboats, harbor ships and recreational marine boats, to fuel their primary and auxiliary compression ignition engines,. Marine fuel types may be categorized as distillate, intermediate or residual per the following grades and names:

(1) "Marine Fuels - Distillate Type" means Gas Oil or Marine Gas Oil. This definition includes products known as "DMX, "DMA," "DMB" and "DMC."

(2) "Marine Fuels - Intermediate Type" means Marine Diesel Fuel or Intermediate Fuel Oil (IFO). This definition includes products known as IFO 180 and IFO 380.

(3) "Marine Fuels - Residual Type" means Fuel Oil or Residual Fuel Oil. This definition includes products known as CARB diesel and CARB ULS diesel.

(4) "Marine Fuels - Low Sulfur" type means distillates with a sulfur level no higher than 0.05 percent by weight (500ppm).

(m) "Motor Gasoline Blending Components" mean components used for blending or compounding into finished motor gasoline. These components include, but are not limited to, reformulated gasoline blendstock for oxygenate blending (CARBOB and RBOB), oxygenates (alcohols and ethers), and gasoline blending components.

(1) "Reformulated Gasoline Blendstocks for Oxygenate Blending" means a base gasoline designed to be blended with an oxygenate to comply with federal or state air quality regulations. These fuels include:

(A) "California Reformulated Gasoline Blendstocks for Oxygenate Blending (CARBOB)" means unfinished motor gasoline formulated as identified in Cal. Code of Regulations, tit. 13, § 2266.5, which is incorporated herein by reference.

(B) "EPA Reformulated Gasoline Blendstocks for Oxygenate Blending (RBOB)" means unfinished motor gasoline formulated as identified in Code of Federal Regulations, tit. 40, § 80.2(kk), which is incorporated herein by reference.

(C) "Arizona Reformulated Gasoline Blendstocks for Oxygenate Blending (AZRBOB)" means unfinished motor gasoline formulated as identified in Arizona Administrative Code, R20-2-701.4, which is incorporated herein by reference.

(D) "Cleaner Burning Gasoline Blendstock for Oxygenate Blending (CBGBOB)" means unfinished motor gasoline formulated as identified in Clark County Air Quality Regulations § 54, Definitions, which is incorporated herein by reference.

(2) "Oxygenates" mean ethers and alcohols that increase the amount of oxygen in gasoline. Common ethers include ETBE, MTBE and TAME. These oxygenates include:

(A) "Ethyl Tertiary Butyl Ether (ETBE)" means an oxygenate blendstock, formed by the catalytic etherification of isobutylene with ethanol, intended for gasoline blending.

(B) "Methyl Tertiary Butyl Ether (MTBE)" means an oxygenate blendstock, formed by the catalytic etherification of isobutylene with methanol, intended for gasoline blending.

(C) "Tertiary Amyl Methyl Ether (TAME)" means an oxygenate blendstock, formed by the catalytic etherification of isoamylene with methanol, intended for gasoline blending.

(D) "Ethyl Alcohol (Fuel Ethanol)" means an anhydrous denatured aliphatic alcohol intended for gasoline blending.

(3) "Gasoline Blending Component" means a product used to blend with gasoline and includes:

(A) "Alkylate" means a branched paraffin compound formed by the catalytic reaction of isobutane with light olefins, such as ethylene, propylene, butylene, and amylene.

(B) "Hydrocrackate" means a high-octane product made in a catalytic hydrocracking unit.

(C) "Isomerate" means a high-aromatics, high-octane product made in an isomerization unit.

(D) "Iso-octane" means a pure hydrogenated form of di-isobutylene, with an average blending octane of 100, not commingled with other types of alkylates.

(E) "Iso-octene" means a pure dimerized form of isobutylene, with an average blending octane of 106, not commingled with other types of alkylates.

(F) "Natural gasoline" means a mixture of liquid hydrocarbons (mostly pentanes and heavier hydrocarbons) extracted from natural gas. It includes isopentane.

(G) "Reformate" means high-aromatics, high-octane product made in a reformer.

(H) "Toluene" means an aromatic hydrocarbon.

(I) "Other Gasoline Blending Components" mean all other gasoline blending components, including butane, butenes, catalytically cracked gasoline, coker gasoline, hexane, mixed xylene, pentane, pentane mixture, polymer gasoline, raffinate, straight-run gasoline, straight-run naphtha, thermally cracked gasoline and transmix containing gasoline.

(n) "Naphtha Jet Fuel" means fuel in the heavy naphtha boiling range with an average specific gravity of 52.8 API and 20 to 90 percent distillation temperatures of 290 to 470 degrees Fahrenheit.

(o) "Natural Gas Liquids" mean all liquid products separated from natural gas in gas processing or cycling plants. These include natural gas plant liquids and lease condensate:

(1) "Natural Gas Plant Liquids" means hydrocarbons in natural gas that are separated as liquids at downstream gas processing plants or at fractionating and cycling plants. Products obtained include liquefied petroleum gases and pentanes plus.

(2) "Lease Condensate" means a mixture consisting primarily of pentanes and heavier hydrocarbons recovered as a liquid from natural gas in lease separation facilities. Lease condensate excludes natural gas plant liquids, such as butane and propane, that are recovered in downstream natural gas processing plants or facilities.

(p) "Petroleum Coke" means a solid residue that is the final product of the condensation process in cracking. It consists primarily of highly polycyclic aromatic hydrocarbons very poor in hydrogen. Calcination of petroleum coke can yield almost pure carbon or artificial graphite suitable for production of carbon or graphite electrodes, structural graphite, motor brushes, dry cells, etc. This type of product is referred to as calcined coke. Petroleum coke is also designated as Marketable and Catalyst:

(1) "Marketable Petroleum Coke" means petroleum coke that is produced by a coker at a refinery.

(2) "Catalyst Petroleum Coke" means petroleum coke that is produced from a fluidized coker at a refinery.

(q) "Petroleum Products" mean, but are not limited to, finished motor gasoline, distillate, marine fuel, kerosene, biodiesel, aviation gasoline, aviation jet fuel, reformulated blendstocks for oxygenate blending, gasoline blending components, residual fuel oil, petroleum coke, liquefied petroleum gases, liquefied natural gas, synthetic fuel and unfinished oil.

(r) "Residual Fuel Oil" means a general classification for heavier oils, known as No. 5 and No. 6 fuel oils, that remain after the distillate fuel oils and lighter hydrocarbons are distilled away in refinery operations. No. 5 is generally used in steam-powered vessels in government service and onshore power plants. No. 6 fuel oil includes Bunker C fuel oil and is generally used for the production of electric power, space heating, vessel bunkering, and various industrial purposes.

(s) "Synthetic Fuel" means a fuel derived from feedstock such as coal, oil shale, tar sands, biomass, or natural gas, including gas-to-liquid (GTL) fuels.

(t) "Transmix" means the resultant mixture that is created by the commingling of two different petroleum products, at their interface zone, during transport in a petroleum products pipeline.

(u) "ULS Diesel" means ultra low sulfur diesel fuel.

(v) "Unfinished Oils" means all oils requiring further processing at a refinery. Unfinished oils include naphthas and lighter oils, kerosene and light gas oils, heavy gas oils, and residuum.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25354, Public Resources Code.

§ 1363.2. Definitions: Specific Definitions for Purposes of Reporting Requirements.

"Adjusted Dealer Tank Wagon (ADTW)" means the delivered wholesale transaction price for gasoline transported by tanker truck to a retail dealer or franchisee that has been adjusted to reflect the "net cost" to the retail dealer or franchisee such that all rebates or other discounts are subtracted from the original dealer tank wagon (DTW) price to reflect the net cost of the gasoline to the retail dealer or franchisee.

"Airport retail fuel outlet" refers to a facility that stores and dispenses petroleum products, typically jet fuel and aviation gasoline for use in private and/or commercial aircraft. Airport refueling operations that provide refueling services to military aircraft are excluded from this definition.

"API" means the American Petroleum Institute.

"Average Throughput" means the liquid volume transported by a pipeline during a specific period divided by the number of days in that period.

"Barrel" means a unit of liquid measurement that consists of 42 U.S. gallons.

"Bulk Terminal" means a storage and distribution facility not open to the public that is used primarily for wholesale marketing of petroleum products and oxygenates with a minimum storage capacity of 50,000 barrels.

"Bunkering" means the physical transfer of marine fuels from one marine vessel to another marine vessel.

"CARB" means the California Air Resources Board.

"Cardlock Retail Fuel Outlet" means a facility, normally unattended by any operator, that dispenses refined petroleum products to consumers as a sole or predominant activity of their business operation.

"CEC" means the California Energy Resources and Conservation Development Commission or the California Energy Commission.

"Central Coast Region" means a geographic area in California that includes the counties of Monterey, San Benito, San Luis Obispo and Santa Barbara.

"Crude Oil Pipeline System" means a facility that receives its supply from pipeline gathering systems, tanker or barge, and has its terminals located at a refinery or waterside terminal and from which crude oil is shipped directly to one or more refineries in California or transported out of state. A crude oil pipeline system includes all points of origin, terminals, working tank storage capacity, and points of interconnection with crude oil pipeline systems operated by others.

"Dealer Tank Wagon (DTW)" means a delivered wholesale price for gasoline transported by tanker truck to a retail fuel outlet.

"Desert Region" means a geographic area in California that includes the counties of Riverside and San Bernardino.

"Ending Inventory" means the quantity (measured in thousands of barrels) of crude oil, petroleum products or oxygenates that is held as stocks at a refinery, bulk plant, public storage facility or tank farm at the end of a designated reporting period.

"EPA" means the United States Environmental Protection Agency.

"Exchange" means a transaction in which title or interest in petroleum products or crude oil stocks are transferred between firms in return for other petroleum products or crude oil stocks.

"Exporter" means a firm that is the owner of record at the point of loading for crude oil, petroleum products or oxygenates destined for export from California and has exported 20,000 barrels or more of any combination of crude oil, petroleum products or oxygenates during any month of the current or previous year.

"Exports" mean crude oil, petroleum products or oxygenates transported to destinations outside of California by means of marine vessel, rail car, tanker truck, or pipeline.

"Firm" means any person or entity engaged in any activity included in the Cal. Code of Regulations, Title 20, Public Utilities and Energy Division 2, Chapter 3, Article 3, Section 1361 et seq.

"Franchisee" means a retailer or distributor authorized or permitted, under a franchise, to use a trademark in connection with the sale, consignment, or distribution of motor fuel.

"Gross Production" means total crude oil production, including all crude oil consumed in the production process.

"Hypermart Retail Fuel Outlet" means a facility, normally attended by one or more operators, that dispenses refined petroleum products to consumers as a subset of their primary business activity. The predominant business activity consists of the sale to ultimate consumers of non-petroleum goods and services.

"Importer" means a firm that is owner of record at the point of discharge for crude oil, petroleum products or oxygenates imported to California and has imported 20,000 barrels or more of any combination of crude oil, petroleum products or oxygenates during any month of the current or previous year. Importer also includes firms delivering 5,000 gallons or more of non-California fuels to a site in California by tanker trucks.

"Imports" include crude oil, petroleum products, oxygenates and non-California fuels that are transported to California from destinations originating outside of California by means of marine vessel, rail car, tanker truck, or pipeline.

"Independent Retail Fuel Outlet Operator" means a firm, other than a Refiner or Major Petroleum Products Marketer, that owns or leases a retail fuel outlet, that is engaged in the trade or business of purchasing refined petroleum products and reselling these products to consumers without substantially changing the form of these products.

"Lease" means a crude oil or natural gas producing property.

"Lease Storage Facilities" mean storage tanks used to accumulate crude oil from producing properties prior to first sale or shipment.

"Los Angeles Basin Region" means a geographic area of California that includes the counties of Los Angeles, Orange and Ventura.

"Major Crude Oil Producer" means an operator or firm that produces crude oil in California, California tidelands or the Outer Continental Shelf adjacent to California tidelands in an amount greater than 20,000 barrels during any month of the current or preceding calendar year.

"Major Crude Oil Storer" means a firm or public storage facility, excluding refiners, that owns or operates a tank farm that stores or processes more than 50,000 barrels of crude oil at any time during the current or preceding calendar year.

"Major Crude Oil Transporter" means a firm that owns or operates a trunk pipeline and that has transported 20,000 barrels or more during any one month of the current or preceding calendar year. End users and public storage facilities that transport crude oil only between facilities owned or leased by such end users for their own use are not considered major crude oil transporters.

"Major Petroleum Products Marketer" means a firm that sells or sold 20,000 barrels or more of petroleum products during any month of the current or preceding calendar year, excluding service stations or truck stops. An electric utility shall not be considered a major petroleum products marketer unless it has sold or otherwise disposed of, other than through its own consumption, 20,000 barrels or more of petroleum products per month during any four months of the current or preceding calendar year.

"Major Petroleum Products Storer" means a facility that produced or received into storage a minimum of 50,000 barrels of any combination of petroleum products or oxygenates during any month of the current or preceding calendar year.

"Major Petroleum Products Transporter" means a firm that owns or operates a petroleum product pipeline, trucks, tankers, barges or railroad cars, and that transported 20,000 barrels or more of petroleum products during any month of the current or preceding calendar year. End users that transport products only between facilities owned or leased by such end users for their own use shall not be considered major petroleum products transporters. Public storage facilities that transport petroleum product only between their owned and operated storage, terminal, or warehousing operations shall not be considered major petroleum product transporters.

"Marina Retail Fuel Outlet" means a facility, normally attended by one or more operators, that dispenses refined petroleum products to ultimate consumers for use in recreational or commercial marine craft. A marina retail fuel outlet does not include businesses that dispense marine fuels by the bunkering process.

"Marine Exports" mean crude oil, petroleum products or oxygenates that are transported to destinations outside of California by means of a marine vessel.

"Marine Facility Operator" means an operator of a facility of any kind, other than a marine vessel or tank barge that is used for the purposes of importing, exporting, storing, handling, transferring, processing, refining or transporting crude oil or petroleum products. A Marine Facility Operator does not include the person or entity that owns the land where the marine facility is located unless the person or entity is involved in the operation of the marine facility.

"Marine Fuels Distributor" means one of the following: a firm that owns or operates marine vessels that are used wholly or in part to deliver 20,000 barrels or more of marine fuels during any month of the current or previous year to other marine vessels or a firm that delivers 20,000 barrels or more of marine fuels to marine vessels during any month of the current or previous year from storage tanks rather than from marine vessels. The transfer of these marine fuels is referred to as bunkering.

"Marine Imports" mean crude oil, petroleum products or oxygenates transported to California from destinations originating outside of California by means of a marine vessel.

"Marine Vessel" is a waterborne tanker or barge used to convey crude oil, petroleum products or oxygenates.

"Maximum Storage Tank Capacity" means the maximum volume of crude oil, petroleum product or oxygenate that can be safely discharged into an individual storage tank without exceeding the high level design limits.

"Maximum Throughput" means the maximum liquid volume that may be transported through a pipeline for an indefinite period without damaging any pipeline equipment.

"Mountain Region" means a geographic area in California that includes the counties of Alpine, Amador, Calaveras, El Dorado, Inyo, Lassen, Modoc, Mono, Nevada, Placer, Plumas, Sierra, Siskiyou, Trinity and Tuolumne.

"Non-California Fuel" means finished motor gasoline and No. 2 diesel fuel that does not meet CARB standards sold in California at retail locations that dispense transportation fuels.

"Non-California Fuel Transporter" means a firm that owns or operates tanker trucks that are used wholly or in part to deliver 5,000 gallons or more of fuels that do not meet CARB regulations to retail locations in California during any month of the current or previous year.

"North Coast Region" means a geographic area in California that includes the counties of Del Norte, Humboldt, Lake and Mendocino.

"Northern California Region" means a geographic area in California that includes the counties of Santa Cruz, Santa Clara, San Mateo, San Francisco, Merced, Stanislaus, Alameda, San Joaquin, Tuolumne, Calaveras, Mono, Alpine, Amador, Sacramento, Solano, Napa, Marin, Sonoma, Yolo, El Dorado, Placer, Sutter, Colusa, Lake, Mendocino, Glenn, Butte, Nevada, Sierra, Yuba, Plumas, Tehama, Lassen, Shasta, Trinity, Humboldt, Del Norte, Siskiyou,

Mariposa, Madera, Modoc, Contra Costa, San Luis Obispo, Kern, Inyo, Tulare, Kings, Monterey, San Benito and Fresno.

"Number of Sites" means the number of different locations for a specified region of California that receive DTW fuel during a reporting period.

"OPEC" means the Organization of the Petroleum Exporting Countries. The countries belonging to this organization are subdivided into the following geographic regions:

(a) "Middle East OPEC" means the countries of Iran, Iraq, Kuwait, Qatar, Saudi Arabia and the United Arab Emirates.

(b) "Non-Middle East OPEC" means the countries of Algeria, Libya, Nigeria and Venezuela.

"Operator" means any person drilling, maintaining, operating, pumping, or in control of any well as defined by the California Public Utilities Commission or by the California Department of Conservation's Division of Oil and Gas, & Geothermal Resources.

"PIIRA" means the Petroleum Industry Information Reporting Act.

"Pipeline" means a crude oil pipeline system or product pipeline system.

"Pipeline Exports" mean crude oil, petroleum products or oxygenates that are transported to destinations outside of California by means of a pipeline.

"Pipeline Imports" means crude oil, petroleum products or oxygenates that are transported to California from destinations originating outside of California by means of a pipeline.

"Pipeline Gathering System" means a pipeline system that collects crude oil from lease storage facilities and delivers it to a crude oil pipeline system.

"Pipeline Storage Tanks" means a storage facility owned by a pipeline firm and located at the points of origin and at terminals of pipeline segments used to maintain normal pipeline operations.

"PPM" means parts per million.

"Producing Property" means property that produced crude oil during the reporting period in an amount as to require reporting of production to the California Department of Conservation's Division of Oil and Gas, & Geothermal Resources.

"Product Pipeline System" means a system that transports petroleum products from refineries or bulk terminals or marine facilities to other terminals or interconnections with other pipelines; a product pipeline system does not include interconnections within a terminal facility or those lines connecting public storage facilities to one another. A product pipeline system includes all points of origin, terminals, working tank storage capacity and points of interconnection with product pipeline systems operated by others.

"Public Storage Facility" means a public liquid bulk storage, terminal, or warehousing operation for hire in which the owner or operator of the facility has no ownership interest in any of the materials stored on contract with its customers.

"Rail Car" means a railroad car that is used to transport crude oil, petroleum products or oxygenates via a network of railroad tracks.

"Rail Exports" mean crude oil, petroleum products or oxygenates that are transported to destinations outside of California by means of rail.

"Rail Imports" mean crude oil, petroleum products or oxygenates that are transported into California from destinations originating outside of California by means of rail.

"Receipts" mean delivery of crude oil, petroleum products or oxygenates into storage tanks located at the refinery, bulk plant, public storage facility or tank farm for the specified reporting period from tanker truck, marine vessel, rail car or pipeline.

"Refiner" means a firm that produces or alters products or blends to manufacture liquid hydrocarbons from oil and gas field gases, recovers liquefied petroleum gases incident to petroleum refining or produces fuel ethanol and sells those products to resellers, retailers, reseller/retailers or ultimate consumers.

"Refinery" means a facility, regardless of processing capacity, that manufactures transportation fuel products including, but not limited to, finished petroleum products, unfinished products from crude oil, unfinished oils, natural gas liquids, other hydrocarbons, and oxygenates and fuel ethanol.

"Refinery Fuel Use and Losses During the Month" means all fuel consumed at the reporting facility except non-processing losses (spills, fire losses, contamination, etc.).

"Refinery Storage Facility" means storage located on a refinery site or operated in conjunction with a refinery that primarily receives its petroleum product directly from a refiner.

"Retail Fuel Outlet" means an individual business location that dispenses refined petroleum products or alternative fuels to ultimate consumers.

"Retailer" means a firm that carries on the trade or business of purchasing refined petroleum products and reselling them to ultimate consumers without substantially changing their form.

"Sacramento Valley Region" means a geographic area in California that includes the counties of Butte, Colusa, Glenn, Sacramento, Shasta, Sutter, Tehama, Yolo and Yuba.

"San Diego Region" means a geographic area in California that includes the counties of Imperial and San Diego.

"San Francisco Bay Area Region" means a geographic area in California that includes the counties of Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Santa Cruz, Solano and Sonoma.

"San Joaquin Valley Region" means a geographic area in California that includes the counties of Fresno, Kern, Kings, Madera, Mariposa, Merced, San Joaquin, Stanislaus and Tulare.

"Service Station" means a retail fuel outlet, normally attended by one or more operators, that dispenses refined petroleum products to ultimate consumers as the sole or predominant activity of their business operation.

"Southern California Region" means a geographic area in California that includes the counties of Santa Barbara, Ventura, Los Angeles, Orange, Riverside, San Bernardino, San Diego, and Imperial.

"Stocks" mean volumes of crude oil, petroleum products or oxygenates (corrected to 60 degrees Fahrenheit less basic sediment and water) of domestic origin held at refineries, bulk plants, public storage facilities or tank farms. Crude oil and petroleum products in transit by pipeline are excluded. Stocks include foreign stocks held at refineries, bulk plants, public storage facilities or tank farms only after entry through Customs for domestic consumption. Stocks of foreign origin held in bond and/or in transit by pipeline are excluded.

"Support Staff," for purposes of this article, include temporary independent contractors hired by the CEC for the sole purpose of performing PIIRA data entry. Support staff will be subject to all PIIRA confidentiality requirements.

"Tank Farm" means a facility, not available for public storage, used for the storage of crude oils, petroleum products or oxygenates with total combined storage capacity of 50,000 barrels or more which receives crude oil, petroleum products and oxygenates by tanker truck, marine vessel, rail car or pipeline and does not contain lease storage facilities.

"Tank Heel" means the volume of crude oil, petroleum product or oxygenate that remains in a storage tank at the lowest operable level.

"Tanker Truck" means a motorized vehicle with an attached storage vessel that is used to transport crude oil, petroleum products, oxygenates or non-California fuels overland.

"TEOR" means thermally enhanced oil recovery.

"Terminal Operator" means a firm that owns, leases or operates a bulk terminal, tank farm or public storage facility and provided storage services of 50,000 barrels or more of any combination of crude oil, petroleum products or oxygenates during any month of the current or previous year and includes refiners.

"Truck Stop Retail Fuel Outlet" means a facility, normally attended by one or more operators, that is accessible to operators of heavy duty on-road motor vehicles and dispenses refined petroleum products to ultimate consumers as a sole or predominant activity of their business operation.

"Usable Storage Tank Capacity," when used in connection with crude oil or petroleum product pipeline systems, bulk terminals, tank farms and public storage facilities, means the total liquid storage volume less that volume that cannot be used for normal operations (tank heel, basic sediment, and water, corrected to 60 degrees Fahrenheit).

"U.S.C." means United States Code.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25354, Public Resources Code.

§ 1364. Reporting Periods.

(a) For purposes of this article, and unless otherwise indicated, each calendar week for the reporting period shall start on Friday for those entities required by section 1366 to file weekly reports. Weekly reports filed pursuant to the article shall be submitted no later than five (5) calendar days following the close of the weekly reporting period for which the information is submitted. Reports shall be deemed submitted as of the date of the postmark, facsimile or electronic transmittal, provided the report is properly and legibly completed.

(b) For purposes of this article, and unless otherwise indicated, each calendar month, beginning with the first calendar month of the year following the effective date of this article, shall be a reporting period for those entities required by Section 1366 to file monthly reports. Monthly reports filed pursuant to this article shall be submitted not later than the thirtieth (30th) day following the close of the reporting period for which the information is submitted. Reports shall be deemed submitted as of the date of postmark, facsimile or electronic transmittal, provided that the report is properly and legibly completed.

(c) Annual reports required by this article shall be submitted not later than February 15 of each year and shall contain the information required by Section 1366 for the preceding calendar year.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25354, Public Resources Code.

§ 1365. Information Requirements; General.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25354, Public Resources Code.

§ 1365.1. Information Requirements; General Reporting Requirements.

Each firm submitting one or more Petroleum Information Reports pursuant to the provisions of this article shall include the following information at the beginning of each report:

(1) The name of the company;

(2) The company address;

(3) The name and telephone number of one or more persons to whom questions regarding the company's report may be directed;

(4) The name of every subsidiary, division, joint venture, or other company for which the company is reporting; and

(5) The reporting period and reporting date for which the information is being submitted.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25354, Public Resources Code.

§ 1365.2. Information Requirements; Other Reporting Requirements.

The CEC may need to obtain PIIRA information for the performance of its responsibilities that is not reported through weekly, monthly or annual reporting requirements pursuant to Public Resources Code section 25354(f). In such an event, the CEC may solicit for this information through facsimile, electronic mail, telephone, letter, or conversation. Information obtained in this manner will be subject to the provisions of Public Resources Code section 25362 and afforded the same protection as other data provided under PIIRA pursuant to Public Resources Code Section 25364(b).

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25354, 25362 and 25364, Public Resources Code.

§ 1366. Requirement to File.

(a) Each refiner, as defined in Section 1363.2, shall file weekly reports for each California refinery containing all of the information specified in Appendix A, Section I.

(b) Each refiner, importer, exporter and major petroleum products transporter, as defined in Section 1363.2, shall file weekly reports containing all of the information specified in Appendix A, Section II.

(c) Each refiner, terminal operator and major petroleum products storer, as defined in Section 1363.2, shall file weekly reports containing all of the information specified in Appendix A, Section III.

(d) Each refiner, as defined in Section 1363.2, shall file weekly reports containing all of the information specified in Appendix A, Section IV.

(e) Each refiner, as defined in Section 1363.2, shall file monthly reports for each California refinery containing all of the information specified in Appendix B, Section I.

(f) Each refiner, as defined in Section 1363.2, shall file monthly reports for each California refinery containing all of the information specified in Appendix B, Section II.

(g) Each refiner, importer, exporter, non-California fuel transporter, marine fuels distributor and major petroleum products transporter, as defined in Section 1363.2, shall file monthly reports containing all of the information specified in Appendix B, Section III.

(h) Each refiner, terminal operator and major petroleum products storer, as defined in Section 1363.2, shall file monthly reports containing all of the information specified in Appendix B, Section IV.

(i) Each refiner, as defined in Section 1363.2, shall file monthly reports containing all of the information specified in Appendix B, Section V.

(j) Each refiner as defined in Section 1363.2, shall file monthly reports containing all of the information specified in Appendix B, Section VI.

(k) Each major petroleum products marketer, as defined in Section 1363.2, required to file Form EIA782B published by the United States Department of Energy shall file monthly reports containing all of the information specified in Appendix B, Section VI.

(l) Each refiner, as defined in Section 1363.2, shall file annual reports containing all of the information specified in Appendix C, Section I.

(m) Each refiner, terminal operator and major petroleum products storer, as defined in Section 1363.2, shall file annual reports containing all of the information specified in Appendix C, Section II.

(n) Each major crude oil transporter, as defined in Section 1363.2, shall file annual reports containing all of the information specified in Appendix C, Section III, for each crude oil pipeline system.

(o) Each major petroleum products transporter, as defined in Section 1363.2, shall file annual reports containing all of the information specified in Appendix C, Section IV, for each petroleum product pipeline system.

(p) Each major crude oil producer, as defined in Section 1363.2, shall file annual reports containing all of the information specified in Appendix C, Section V.

(q) Each refiner, major petroleum products marketer and independent retail fuel outlet operator, as defined in Section 1363.2, shall file annual reports containing all of the information specified in Appendix C, Section VI.

(r) Each refiner, as defined in Section 1363.2, shall file annual reports containing all of the information specified in Appendix C, Section VII.

(s) Each refiner, terminal operator, major petroleum products storer and marine facility operator, as defined in Section 1363.2, shall file annual reports containing all of the information specified in Appendix C, Section VIII.

(t) Unless otherwise indicated, if a company, by its various activities, satisfies two or more of the definitions in Section 1363.2, it shall file a separate report for each such activity.

(u) Any company required by this article to submit Petroleum Information Reports, which company contains divisions, departments, or subsidiary companies, shall report on behalf of all such divisions, departments, or subsidiaries, provided that such divisions, departments, or subsidiaries would otherwise be required to report pursuant to the provisions of this article.

(v) All reports required by this section shall be on such form and in such format as the Executive Director may require, except as provided below.

(w) Any person required by this article to submit Petroleum Information Reports may in lieu thereof, submit a report made to any other government agency, provided that the requirements of Public Resources Code Section 25354(g) are satisfied, provided that the Executive Director of the CEC approves in writing to the applicant that the alternative submittal of substitute report information is acceptable and provided that such substitute report is expressed in identical units to those required by this article.

(x) Any person or company required by this article to submit Petroleum Information Reports in a specific form designated by the CEC may in lieu thereof, electronically submit the required information in a different format, provided that the Executive Director of the CEC approves in writing to the applicant that the alternative format of submittal is acceptable.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25354(a), (b), (f), Public Resources Code.

§ 1367. Form and Format of Reports.

The Executive Director of the CEC may specify the format for the various reports required by this article. The Executive Director of the CEC may additionally provide forms or other instructions to facilitate the filing or analysis of the information required by this article. The Executive Director of the CEC shall provide thirty days notice prior to specifying or modifying any form or format.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25354, Public Resources Code.

§ 1368. Refiners and Marketers Projections.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25354(c), Public Resources Code.

§ 1368.1. Financial Information.

Each major oil producer, refiner, and major marketer required by the United States Government to file a SEC 10-K form shall annually submit to the CEC the following financial information:

(1) A copy of the firm's most recent annual report, with all, supplements, to be submitted concurrently with the release of such documents to the company's shareholders; and

(2) Report No. SEC 10-K, submitted annually to the Securities and Exchange Commission, to be submitted to the CEC concurrently with submission to the Securities and Exchange Commission.

§ 1368.5. Integrated Oil Refiners' Annual Forecasts.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25354(d), Public Resources Code.

§ 1368.8. Financial Information.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25356(a) and 25358(b), (c), Public Resources Code.

§ 1369. Duty to Preserve Data.

Every company that is required by Section 25354 and this article to submit records to the CEC shall preserve such data and records as are presently within its control and are necessary to compile all information required to be supplied under this article. The company shall be relieved of the duty to preserve the records and data pertaining to any week, month and year for which it has supplied the CEC with the information specified in this article.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25354, Public Resources Code.

§ 1370. Confidential Information.

(a) CEC staff and support staff assigned to collect or analyze data submitted in confidence, pursuant to this article, will hold unaggregated PIIRA data confidential.

(b) Any person required by the provisions of this article to submit Petroleum Information Reports may request that data or information be held in confidence. Such requests shall identify on an item-by-item basis, the specific data or information to be kept confidential. The CEC shall treat the specific data or information for which confidentiality has been requested in the manner described in Public Resources Code Section 25364.

(c) Any person, including the staff of the CEC, may request unaggregated data contained in any Petroleum Information Report, and for which confidentiality has been requested, be publicly disclosed. Whenever the CEC receives a request for disclosure of unaggregated data or information for which confidentiality has been requested, or otherwise proposes to publicly disclose unaggregated data or information for which confidentiality has been requested, the CEC shall notify in writing the person submitting the information of such request or proposal.

(d) Upon receipt of notice that a request or proposal for disclosure has been made, the person claiming confidentiality shall respond in writing within 10 working days with a statement, on an item-by-item basis, describing why it considers the information concerned to be a trade secret or other proprietary information, whether such information is customarily treated as confidential by its companies and the industry, and the potential for and type of competitive hardship that would result from disclosure of the information. The person claiming confidentiality may include in its written response a request that a Committee of the CEC conduct a closed hearing on the request or proposal for disclosure.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25364, Public Resources Code.

§ 1371. Failure to Provide Information.

The CEC may, after notifying any person of the failure to provide information pursuant to Sections 1361-1369, take such action to secure the information as is authorized by any provision of law, including, but not limited to, Public Resources Code Section 25362.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25358(c) and 25362, Public Resources Code.

Appendix A

Information Requirements for Monthly Reports

I. California Refiners' Weekly Reports shall contain all of the information specified below:

A. All of the information specified on the form EIA800 published by the United States Department of Energy.

B. All of the information specified on the CEC form W800. Specifically, net production and stocks of motor gasolines, blending components and distillate fuel oils..

Note: Authority cited: Sections 25213, 25218(e) and 25354, Public Resources Code. Reference: Section 25354, Public Resources Code.

II. California Imports, Exports, and Intrastate Movements Weekly Reports shall contain all of the information specified on the CEC form W700. Specifically, the information detailed below in subsections A through E for crude oil, finished motor gasoline, gasoline blendstocks, oxygenates, distillates, and aviation fuels.

A. Imports into California of crude oil, petroleum products and oxygenates by marine vessel for each weekly reporting period in thousands of barrels by specific product type, discharge date and California discharge port.

B. Exports from California of crude oil, petroleum products and oxygenates by marine vessel for each weekly reporting period in thousands of barrels by specific product type, load date and California load port.

C. Exports from California of crude oil, petroleum products and oxygenates by pipeline for each weekly reporting period in thousands of barrels by each specific product type, product regrades, product code, pipeline name, and delivery terminal name.

D. Imports into California of crude oil, petroleum products and oxygenates by rail for each weekly reporting period in thousands of barrels by specific product type, discharge date and discharge location. Imported volumes from individual rail cars of identical product type and identical point of origin can be aggregated if the product is discharged on the same date.

E. Exports from California of crude oil, petroleum products and oxygenates by rail for each weekly reporting period in thousands of barrels by specific product type, load date and California load location. Exported volumes from individual rail cars of identical product type and identical intended destination can be aggregated if the product is loaded on the same date.

Note: Authority cited: Sections 25213, 25218(e) and 25354, Public Resources Code. Reference: Section 25354(i), Public Resources Code.

III. California Major Petroleum Product Storer and Terminal Weekly Reports shall contain all of the information specified on CEC form W08. Specifically the information detailed below in subsections A through C for crude oil, finished gasoline blended with ethanol, other motor gasolines, gasoline blendstocks, oxygenates, distillates, aviation fuels, liquefied petroleum gases, crude oil, and other petroleum products.

A. Production of finished motor gasoline blended with ethanol by weekly reporting period, in thousands of barrels for each California terminal location, including California refineries that blend such type of motor gasoline for dispensing at truck loading racks within the refinery gate.

B. Production of finished motor gasoline blended with ethanol manufactured for use in Arizona and Nevada, by weekly reporting period, in thousands of barrels for each California terminal location, whereby such type of motor gasoline is dispensed for purpose of export by truck to destinations in either Arizona or Nevada.

C. Receipts and ending inventories of specified petroleum products for each weekly reporting period, in thousands of barrels, for each California terminal location.

Note: Authority cited: Sections 25213, 25218(e) and 25354, Public Resources Code. Reference: Section 25354(i), Public Resources Code.

IV. California Dealer Tank Wagon Price Weekly Reports shall contain all of the information specified on CEC form W900. Specifically, these reports shall contain the information detailed below in subsections A through D for each grade (regular, mid-grade and premium) of finished gasoline.

A. Weighted average dealer tank wagon price that is based on all wholesale transactions for gasoline delivered to final destination during the reporting period for each specified region of California. The delivered prices used in the calculation, referred to as "weighted average dealer tank wagon prices," shall reflect the volume-weighted dealer tank wagon (DTW) prices for each specific region of California for the reporting period.

B. Number of individual delivery sites used in the calculation for the reporting period, rather than the total number of deliveries, for each specified region of California. A refiner shall be exempt from supplying the required information for a specific region of California if that refiner delivers to 10 sites or less during any reporting period.

C. The high and low DTW prices reported for each grade of gasoline for each region specified of California during the reporting period.

D. Volume of finished gasoline, in thousands of gallons, delivered within each of the regions of California defined by Section 1363.2 during the reporting period.

Note: Authority cited: Sections 25213, 25218(e) and 25354, Public Resources Code. Reference: Section 25354(i), Public Resources Code.

Appendix B

Information Requirements for Monthly Reports

I. California Refiners' Monthly Reports shall contain all of the information specified below:

A. All of the information specified on Form EIA810 published by the United States Department of Energy.

B. All of the information specified on CEC Form M810. Specifically, stocks at the beginning and end of the month and receipts, inputs, production and shipments, on-site fuel uses and losses of motor gasolines, blending components and distillate fuel oils during the month.

Note: Authority cited: Sections 25213, 25218(e) and 25354, Public Resources Code. Reference: Section 25354(h) and (i), Public Resources Code.

II. California Refinery Monthly Fuel Use Reports shall contain all of the information specified on CEC form M13. Specifically, this report shall contain the information detailed below in subsections A through F for fuel, electricity, and steam consumed for all purposes at each California refinery.

A. Quantity of fuel, both purchased and produced, that is consumed each month for every California refinery. Fuels shall consist of crude oil, distillate type fuel oil, residual type fuel oil, liquefied petroleum gas, still gas, marketable petroleum coke, and catalyst petroleum coke. These fuels shall be reported in units of barrels.

B. Quantity of purchased natural gas each month for every California refinery. Natural gas shall be reported in units of thousands of cubic feet.

C. Quantity of purchased coal each month for every California refinery. Coal shall be reported in units of short tons.

D. Quantity of electricity purchased each month for every California refinery. Electricity shall be reported in units of thousands of kWh. Electricity generated by the refinery and consumed at the refinery shall not be included in this monthly total.

E. Quantity of purchased steam that is consumed each month for every California refinery. Steam shall be reported in units of thousands of pounds. Steam produced by the refinery and consumed at the refinery shall not be included in this monthly total.

F. Quantity of other types of purchased fuels, not specified in subsections A through E, that are consumed each month for every California refinery. These other fuels shall be reported in units of measurement that are in common usage for each fuel.

Note: Authority cited: Sections 25213, 25218(e) and 25354, Public Resources Code. Reference: Section 25354(b), Public Resources Code.

III. California Imports, Exports, and Intrastate Movements Monthly Reports shall contain all of the information specified on CEC form M700. Specifically, this report shall contain the

information detailed below in subsections A through J for finished motor gasoline, gasoline blendstocks, oxygenates, distillates, non-California fuels, aviation fuels, liquefied petroleum gases, crude oil, and other petroleum products.

A. Imports into California of crude oil, petroleum products and oxygenates by marine vessel for each monthly reporting period, in thousands of barrels, by specific product type, discharge date and California discharge port. The port of origin, country/state of origin and name of the vessel used to import each specific cargo of crude oil, petroleum product or oxygenate shall also be provided.

B. Exports from California of crude oil, petroleum products and oxygenates by marine vessel for each monthly reporting period, in thousands of barrels, by specific product type, load date and California load port. The intended destination port, destination country/state and name of the vessel used to export each specific cargo of crude oil, petroleum product or oxygenate shall also be provided.

C. Intrastate movements within California of crude oil, petroleum products and oxygenates by marine vessel, for each monthly reporting period, in thousands of barrels. For each outbound intrastate marine movement that is shipped, the vessel name, load date, California load port and intended California destination port shall be provided for each specific product type. For each inbound intrastate marine movement that is received, the vessel name, discharge date, California discharge port and California port(s) of origin for the cargo shall be provided for each specific product type.

D. Exports from California of crude oil, petroleum products and oxygenates by pipeline for each monthly reporting period, in thousands of barrels, by each specific product type, product code, pipeline name, and delivery terminal name. Product re-grades should also be provided, if applicable.

E. Distribution of non-California fuels by tanker truck for each monthly reporting period in thousands of gallons by specific product type, delivery date, California delivery city and business name of the delivery location. Distribution of non-California fuels obtained from outside California shall be deemed an import and shall also include the city of origin for the non-California fuel. Distribution of non-California fuels obtained from inside California shall be deemed an intrastate movement and shall also include the California city of origin.

F. Imports into California of crude oil, petroleum products and oxygenates by tanker truck for each monthly reporting period in thousands of gallons by each specific product type, discharge date, discharge location, country of origin and state of origin.

G. Exports from California of crude oil, petroleum products and oxygenates by truck for each monthly reporting period, in thousands of gallons, by each specific product type, load date, load location, country of destination and state of destination. Exported volumes from individual trucks of identical product type and identical intended destination can be aggregated if the product is loaded on the same date.

H. Distribution of marine fuels from one marine vessel to another marine vessel or from storage tanks to marine vessels, (referred to as bunkering) for each monthly reporting period in thousands of barrels. For each bunkering movement, the vessel name, load date, California load port, flag designation of receipt vessel and discharge location shall be provided for each specific type of marine fuel.

I. Imports into California of crude oil, petroleum products and oxygenates by rail for each monthly reporting period, in thousands of barrels, by each specific product type, discharge date, discharge location, country of origin and state of origin. Imported volumes from individual rail cars of identical product type and identical point of origin can be aggregated if the product is discharged on the same date.

J. Exports from California of crude oil, petroleum products and oxygenates by rail for each monthly reporting period, in thousands of barrels, by each specific product type, load date, load location, intended country of destination and intended state of destination. Exported volumes from individual rail cars of identical product type and identical intended destination can be aggregated if the product is loaded on the same date.

Note: Authority cited: Sections 25213, 25218(e) and 25354, Public Resources Code. Reference: Section 25354(a), Public Resources Code.

IV. California Major Petroleum Product Storer and Terminal Monthly Reports shall contain all of the information specified on CEC form M08. Specifically, this report shall contain the information detailed below in subsections A through C, for finished gasoline blended with ethanol, other motor gasoline, gasoline blendstocks, oxygenates, distillates, aviation fuels, marine fuels, liquefied petroleum gases, crude oil, and other petroleum products.

A. Production of finished motor gasoline blended with ethanol, by monthly reporting period, in thousands of barrels, for each California terminal location, including California refineries that blend such type of motor gasoline for dispensing at truck loading racks within the refinery gate.

B. Production of finished motor gasoline blended with ethanol manufactured for use in Arizona and Nevada by monthly reporting period, in thousands of barrels, for each California terminal location. This requirement only applies to motor gasoline that is dispensed for purpose of export by truck to destinations in either Arizona or Nevada.

C. Receipts and ending inventories of specified petroleum products for each monthly reporting period, in thousands of barrels, for each California terminal location.

Note: Authority cited: Sections 25213, 25218(e) and 25354, Public Resources Code. Reference: Section 25354(b)(2) and (e), Public Resources Code.

V. California Dealer Tank Wagon Price Monthly Reports shall contain all of the information specified on CEC form M900. Specifically, this report shall contain the information detailed below in subsections A through D, for each grade (regular, mid-grade and premium) of finished gasoline.

A. Weighted average adjusted dealer tank wagon price that is based on all wholesale transactions for gasoline delivered to final destination during the reporting period for each specified region of California. The delivered prices used in the calculation, referred to as "adjusted dealer tank wagon prices", shall reflect the "net cost" to the retail dealer or franchisee such that all rebates or discounts are subtracted from the original dealer tank wagon (DTW) price. These average adjusted DTW prices shall be volume-weighted calculations for each specified region of California, by each grade of gasoline, during the reporting period.

B. Number of individual delivery sites used in the calculation for the reporting period, rather than the total number of deliveries, for each specified region of California. A refiner shall be exempt from supplying the required information for a specific region of California that the refiner delivers to 10 sites or less during any reporting period.

C. The high and low DTW prices reported for each grade of gasoline, by each specific region of California, during the reporting period.

D. Volume of finished gasoline (in thousands of gallons) delivered within each of the regions of California defined by Section 1363.2 during the reporting period.

Note: Authority cited: Sections 25213, 25218(e) and 25354, Public Resources Code. Reference: Section 25354(h), Public Resources Code.

VI. California Monthly Sales Reports shall contain all of the information specified on CEC form M782B. Specifically, this report shall contain the information detailed below in subsections A through H for specified petroleum products.

A. Volumes and average price of each grade of finished motor gasoline dispensed during the reporting period through retail sales transactions at company operated outlets and retail sales to other end users.

B. Volumes and average price of each grade of finished motor gasoline dispensed during the reporting period through dealer tank wagon sales transactions.

C. Volumes and average price of each grade of finished motor gasoline dispensed during the reporting period through branded, unbranded and bulk wholesale sales transactions.

D. Volumes and average price of each grade of CARBOB dispensed during the reporting period through bulk wholesale sale transactions.

E. Volumes and average price of specified distillates, propane and aviation fuels dispensed during the reporting period, through retail sales transactions at company operated-outlets and retail sales transactions, to residential, commercial-institutional, and industrial end users.

F. Volumes and average price of specified distillates, propane and aviation fuels dispensed during the reporting period through branded, unbranded and bulk wholesale sales transactions.

G. Volumes and average price of propane dispensed during the reporting period through wholesale sale transactions to petrochemical end users.

H. Volumes and average price of specified residual fuels dispensed during the reporting period through retail and wholesale sales transactions.

Note: Authority cited: Sections 25213, 25218(e) and 25354, Public Resources Code. Reference: Section 25354(h), Public Resources Code.

Appendix C

Information Requirements for Annual Reports

I. California Refiners' Annual Reports shall contain the information specified below. Unless otherwise indicated, all quantities of crude oil, oxygenates or petroleum products shall be expressed in thousands of barrels.

A. All of the information on refinery capacity from Form EIA820 published by the United States Department of Energy.

B. All of the information necessary to complete the California Refiner Annual Report (CEC form A04) as specified in this subsection. Information on the method of shipment of motor gasoline, aviation fuels, distillate fuels, residual fuels, and unfinished oils, expressed as the percentage of total shipments of each such product transported by pipeline, tanker, barge, truck, and railroad. The total of all such percentages shall equal one hundred percent for each product.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25354(b)(5), Public Resources Code.

II. California Major Petroleum Product Storer Annual Tank Reports shall contain all of the information specified on CEC form A08. Specifically, these reports shall contain all of the information detailed below in subsections A through B, for each refinery and terminal location.

A. For each storage location the reporting party shall identify each individual tank, along with the tank type, product type in storage at the time of the report, physical maximum capacity, tank heel and the net usable capacity.

B. Product types shall include crude oil, unfinished oils, finished motor gasoline, gasoline blendstocks, oxygenates, distillates, aviation fuels, marine fuels, liquefied petroleum gases and other petroleum products.

Note: Authority cited: Sections 25213, 25218(e) and 25354, Public Resources Code. Reference: Section 25354(b)(2), Public Resources Code.

III California Major Crude Oil Transporters' Annual Reports shall contain all of the information specified on CEC form A03. Specifically, these reports shall contain all of the information detailed below in subsections A through F for each separate crude oil pipeline system:

A. Pipeline storage tank capacity, subcategorized by:

1. Total storage volume; and

2. Usable storage tank capacity.

B. Pipeline utilization information as follows:

1. Maximum throughput (nominal pipeline capacity) in thousands of barrels per stream day;

2. Average throughput in thousands of barrels per calendar day.

C. Method of receipt to each crude oil pipeline system (from pipeline gathering systems, pipeline systems operated by others, tankers or barges.

D. Deliveries from each crude oil pipeline system (to refineries, tankers, barges, pipeline systems operated by others, and out of state receivers.

E. A map(s) in editable electronic form formatted to print no smaller than 11 inches by 17 inches and a description of each crude oil pipeline system, including oil field flow lines, pipeline gathering systems, all pipeline diameters, the location and a description of all points of origin and all terminals and points of interconnections with pipeline systems operated by others, and an indication of whether the pipelines are heated or unheated. The description shall contain such additional information as the reporting firm deems relevant to a thorough understanding of the pipeline system.

F. A submittal of electronic information for each pipeline system in a geographic information system (GIS) format.

Note: Authority cited: Sections 25213, 25218(e) and 25354, Public Resources Code. Reference: Section 25354(b)(1), Public Resources Code.

IV. California Major Petroleum Products Transporters' Annual Reports shall contain all of the information specified in CEC form A06. Specifically, these reports shall contain all of the information detailed below in subsections A through E for each separate petroleum product pipeline system.

A. Pipeline storage tank capacity subcategorized by:

1. Total storage volume; and

2. Usable storage tank capacity.

B. Pipeline utilization information for all petroleum products transported as follows:

1. Maximum throughput (nominal pipeline capacity) in thousands of barrels per stream day,

2. Average throughput in thousands of barrels per calendar day.

C. Location of origin of receipts (from refinery storage facilities or other product pipelines), and a description of shipments from the pipeline system (to California terminals, to other product pipeline systems or to out-of-state purchasers) for motor gasoline, aviation fuels, distillates, and residual fuels.

D. A map(s) in editable electronic form formatted to print no smaller than 11 inches by 17 inches and a description of each petroleum product pipeline system, including the location of all points of origin, all terminals and points of interconnection with other pipelines, and such other information as the reporting firm deems relevant to a thorough understanding of the pipeline system.

E. A submittal of electronic information for each pipeline system in a geographic information system (GIS) format.

Note: Authority cited: Sections 25213, 25218(e) and 25354, Public Resources Code. Reference: Section 25354(b)(1), Public Resources Code.

V. California Major Crude Oil Producers' Annual TEOR Fuel Consumption and TEOR Steam Use Reports shall contain all of the information specified on CEC forms A14 and A14X. Specifically, these reports shall contain the monthly use, as fuel, of crude oil and natural gas (including the quantity of steam) for thermally enhanced oil recovery in the following oil fields:

Arroyo Grande
Belridge North
Belridge South
Casmalia
Cat Canyon
Coalinga
Cymric
Edison
Fruitvale
Guadalupe
Kern Bluff
Kern Front
Kern River
Lost Hills
McKittrick
Midway Sunset
Mt. Poso
Newport, West
Oxnard
Placentia
Poso Creek
San Ardo
Santa Maria Valley
Huntington Beach
Wilmin gton
Yorba Linda
Combined usage for all other fields

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25354(b)(3), Public Resources Code.

VI. California Retail Fuel Outlet Survey Annual Report shall contain all of the information specified on CEC form A15. Specifically, these reports shall contain information on retail fuel outlets owned or leased by each company as detailed below in subsections A through E.

A. Each reporting company shall provide the following general business information for each retail fuel outlet; brand name, facility name (if unbranded), physical address, telephone number and normal hours of operation.

B. Each reporting company shall provide type of ownership designation for each retail fuel outlet, such as: company owned/company operated, company owned/dealer operated, dealer owned/dealer operated for all branded outlets and independently owned and operated for all unbranded outlets.

C. Each reporting company shall provide a general operation description information for each retail fuel outlet, such as: service station, cardlock facility, hypermart, marina, airport or truck stop.

D. Each reporting company shall provide fuel-related information for each retail fuel outlet, such as: number and capacity of fuel storage tanks and total sales by each fuel type and grade for the reporting period.

E. Each reporting company shall provide business amenity information for each retail fuel outlet, such as the presence of a: kiosk, convenience store, restaurant/fast food outlet, supermarket/general store, pharmacy, discount store, automotive repair service bay or car wash.

Note: Authority cited: Section 25354, Public Resources Code. Reference: Section 25354(f), Public Resources Code.

VII. Each Refiner shall submit Flow Diagrams for each of their facilities in California on an annual basis. Flow Diagrams shall be submitted in an editable electronic form formatted to print no smaller than 11 by 17 inches. Flow Diagrams shall provide a diagram of the refinery that illustrates the number, diversity and interconnection of individual process units at each refinery location. Flow diagrams are not intended to be spatially accurate. Minor ancillary equipment associated with each process unit (such as pumps, blowers, meters, etc.) are not required to be depicted. The Flow Diagram submitted for each refinery location shall include an attachment that contains an explanation of all abbreviations and acronyms used in the Flow Diagram. The attachment to the Flow Diagram shall also include all information relevant for a general understanding of the refinery. In addition, each Flow Diagram shall also contain information detailed below in subsections A through E.

A. Individual process unit identification and interconnection to other process units.

B. Maximum throughput capacity during the previous calendar year in thousands of barrels per stream day for each process unit depicted.

C. Actual throughput capacity during the previous calendar year in thousands of barrels per calendar day for each process unit depicted.

D. Interconnections depicted between process units shall include identification of all intermediate and final petroleum products, including inputs of petroleum products external from the refinery.

E. Average flow rates during the previous calendar year in thousands of barrels per calendar day for each interconnection depicted between process units.

Note: Authority cited: Section 25354, Public Resources Code. Reference: Section 25354(f), Public Resources Code.

VIII. Each refiner, terminal operator, major petroleum products storer and marine facility operator, shall submit Site Maps for each of their facilities in California on an annual basis. Site Maps shall be submitted in an editable electronic form formatted to print no smaller than 11 by 17 inches. Each Site Map shall provide a plan view of their facility that illustrates all structures, roadways, process equipment, storage tanks, and associated facility information that is relevant to the site. Site maps are intended to be spatially accurate and shall include a scale for reference. The Site Map submitted for each facility shall include an attachment that contains an explanation of all abbreviations and acronyms used in the Site Map. In addition, each Site Map shall also contain information detailed below in subsections A through D.

A. Identification of all process units at each refinery location and a separate written description of the primary function of each process unit.

B. Identification of all major individual ancillary equipment at each refinery location (such as cogeneration facilities) and a separate written description of the primary function of all ancillary equipment.

C. Identification of all storage tanks at each terminal and tank farm location that correspond with the CEC form A08.

D. Identification of all storage tanks and major marine equipment at each marine facility. Major marine equipment shall include loading arms, on-shore pumps, main petroleum pipelines, and any other equipment or conveyance relevant to a thorough understanding of the marine facility.

Note: Authority cited: Section 25354, Public Resources Code. Reference: Section 25354(b) and (f), Public Resources Code.

Article 4. Wind Performance Reporting Systems

§ 1381. Title and Purpose.

The purpose of this article is to specify performance reporting requirements for operators of specified wind energy projects and for entities which purchase electricity from the projects and to identify requirements for the Commission to publish the information.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216.5(d), 25601(c) and 25605, Public Resources Code.

§ 1382. Definitions.

For the purposes of this article, the following definitions shall apply unless the Commission has clearly indicated otherwise in these regulations:

(a) "Contingency Costs": the costs which may be paid by investors after the initial investment, but which are not paid out of project revenues. Contingency costs may include such costs as turbine repairs or annual insurance fees paid during the reporting year.

(b) "Cumulative Number of Turbines Installed": the cumulative total number of turbines of a given model installed by the end of the reporting period.

(c) "Electricity Produced (kWh)": the total kilowatt hours actually produced by all of the turbines of a particular turbine model contained within the wind project where the electricity is delivered to a wind power purchaser for sale during the reporting period.

(d) "Name of Wind Project": the name used for the project in any prospectus, offering memorandum, or sales literature.

(e) "Number of Turbines Installed During Reporting Period": the number of additional turbines installed during the calendar quarter of the reporting period.

(f) "Project Cost": the total cost of the turbines installed during the reporting period Project cost includes all debt and equity investment in the project (including non-recourse notes) and should be comparable to the project cost shown in the offering memorandum, prospectus or sales literature published by the developer.

(g) "Projected Annual Production Per Turbine (kWh)": the annual average kWh production, by model, predicted by the developer in its prospectus, offering memorandum, or sales literature. This figure may be revised annually prior to the first reporting quarter of each year and shall be based upon average site specific wind distributions and the wind turbine power curves.

(h) "Projected Quarterly Production Per Turbine (kWh)": the quarterly breakdown of the Projected Annual Production Per Turbine.

(i) "Rotor (M^2)": the rotor swept area in square meters for each turbine model.

(j) "Size (kW)": the turbine manufacturer's published kW rating at a specific miles per hour (mph) with wind speed shown in parentheses.

(k) "Turbine Model": the common or manufacturer's name for the turbine if that is a commonly used term for the model of a specific rotor (M^2) and size (kW).

(l) "Wind Power Purchaser": any electricity utility or other entity which purchases electricity from a wind project, as defined in this section.

(m) "Wind project": one or more wind turbine generators installed in California with a combined rated capacity of 100 kW or more, the electricity from which is sold to another party.

(n) "Wind Project Operator": any developer or operator who directly receives payments for electricity from the wind power purchaser.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216.5(d), 25601(c) and 25605, Public Resources Code.

§ 1383. Reporting Period.

For the purposes of this article, and unless otherwise indicated, the reporting period shall be each calendar quarter, beginning with the first quarter following the effective date of this article. Quarterly reports filed pursuant to this article shall be submitted not later than the forty-fifth day following the close of each reporting period. Reports shall be deemed submitted as of the date of postmark, provided that the report is properly and legibly completed.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216.5(d, 25601(c) and 25605, Public Resources Code.

§ 1384. Requirements to File.

The information required by this article shall be submitted to the Commission by wind project operators and wind power purchasers. Reports shall be made on forms prescribed by order of the Commission and according to instructions accompanying the forms. A copy of the wind project prospectus, offering memorandum, and other sales literature shall accompany the initial report. All reports must be verified by a responsible official of the firm filing the report. Requests for confidentiality may be filed pursuant to 20 Cal. Admin. Code Section 2501 et seq.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216.5(d), 25601(c) and 25605, Public Resources Code.

§ 1385. Information Requirements: Wind Project Operators.

Each operator firm submitting information pursuant to the provisions of this article shall include the following:

(1) Name of wind project

(2) Name and address of operator

(3) Name and phone number of contact person at operator's firm

(4) Operator's name as shown on power purchase contract (if different than 2 above)

(5) Name of wind power purchaser

(6) Purchase contract number

(7) Resource area and county

(8) Dates of reporting period

(9) Turbine model

(10) Cumulative number of turbines installed

(11) Number of turbines installed during reporting period

(12) Rotor (M^2)

(13) Size (kW) at stated wind speed

(14) Project cost

(15) Additional project contingency costs for which investors may be responsible

(16) Projected quarterly production per turbine (kWh)

(17) Projected annual production per turbine (kWh)

(18) Electricity produced (kWh)

(19) Turbine manufacturer's name and address

(20) Operator comments, if any.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216.5(d), 25601(c) and 25605, Public Resources Code.

§ 1386. Information Requirement: Wind Power Purchaser.

Each wind power purchaser submitting information pursuant to the provisions of this article shall include the following:

(1) Name of purchaser's firm

(2) Name and phone number of contact person at purchaser's firm

(3) Date of report

(4) Name of wind project operator

(5) Number of contract with wind project operator

(6) kWh's produced during reporting period

(7) Dates of reporting period

(8) The maximum MW's which the operator can deliver to the purchaser as specified in the power sales agreement.

(9) Purchaser comments, if any.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216.5(d), 25601(c) and 25605, Public Resources Code.

§ 1387. Publication of Data.

The Commission staff shall compile and distribute, on a quarterly basis, the information reported by wind project operators and purchasers. Cost data will be published by the Commission in an aggregated form to the extent necessary to assure confidentiality. The final publication of each year shall combine the performance data for that year. The publication shall designate the name of any wind project operator from whom performance data is not received.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216.5(d), 25601(c) and 25605, Public Resources Code.

§ 1388. Failure to Provide Information.

The Commission may, after notifying any person of the failure to provide information pursuant to this article, take such action to secure the information as is authorized by any provision of law, including, but not limited to, Public Resources Code Section 25900.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216.5(d), 25601(c), 25605(e) and 25900, Public Resources Code.

§ 1389. Exemptions.

Operators of wind projects of less than 100 kW rated capacity or operators who do not offer electricity for sale are exempt from this article.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216.5(d), 25601(c) and 25605, Public Resources Code.

Article 5. Electricity Generation Source Disclosure

§ 1390. Scope.

The regulations in this Article implement the disclosure and reporting requirements established in Article 14 (commencing with section 398.1) of Chapter 2.3 of Part 1 of Division 1 of the Public Utilities Code.

Note: Authority cited: Section 25213, Public Resources Code; and Sections 398.3-398.5, Public Utilities Code. Reference: Sections 25216, 25216.5, Public Resources Code; and Sections 398.1-398.5, Public Utilities Code.

§ 1391. Definitions.

(a) "Claim that identifies any of a retail provider's electricity sources as different from net system power" or "claim of specific purchases" means any statement that is made to consumers by a retail provider for the purpose of marketing any electricity product and that contains either:

(1) a reference to use of an eligible renewable to generate, in part or in whole, the electricity product offered for sale by the retail provider, other than disclosure of net system power; or

(2) a statement that a specific attribute of the electricity product related to the generator creates an environmental effect.

(b) "Electricity product" means the electrical energy produced by a generating facility that a retail seller offers to sell to consumers in California under terms and conditions specific to an offer or to a tariff. It does not include the provision of electric services on site, sold through an over-the-fence transaction, as defined in Section 218 of the Public Utilities Code, or sold or transferred to an affiliate, as defined in Section 372(a) of the Public Utilities Code.

(c) "Eligible renewable" means a technology other than a conventional power source, as defined in Section 2805 of the Public Utilities Code, that uses one of the following energy

sources, provided that a power source utilizing more than 25 percent fossil fuel may not be included:

(1) Biomass and waste. For purposes of these regulations, "biomass and waste" means the power source that is comprised of combustible residues or gasses from logging, forest products manufacturing, agricultural and orchard crops, waste products from livestock and poultry operations and food processing, urban wood waste, municipal solid waste, municipal liquid waste treatment operations, landfill, and waste tires converted to electrical energy.

(2) Geothermal. For purposes of these regulations, "geothermal" means the power source that is thermal energy naturally produced within the earth that is converted to electrical energy in boilers and/or turbines.

(3) Small hydroelectric. For purposes of these regulations, "small hydroelectric" means the power source created when water flows from a higher elevation to a lower elevation and that is converted to electrical energy in one or more generators at a single facility, the sum capacity of which does not exceed 30 megawatts.

(4) Solar. For purposes of these regulations, "solar" means the power source that is comprised of radiation from the sun that is directly or indirectly converted to electrical energy.

(5) Wind. For purposes of these regulations, "wind" means the power source created by movement of air that is converted to electrical energy in a wind turbine.

(d) "Energy Commission" means the State Energy Resources Conservation and Development Commission.

(e) "Facility" means one or all generating units at an electric generating station.

(f) "Fuel type attribute" means the fuel or technology type used to generate a quantity of kilowatt hours, specified using the categories identified in subsections (d)(1)(A) and (B) of section 1393, and subsection (b)(3)(C) of section 1392.

(g) "Generating facility output" means the electrical energy and/or fuel type attribute, denominated in kilowatt hours, that is produced by a specific generating facility.

(h) "Generating unit" means a device that converts mechanical, chemical, electromagnetic, or thermal energy into electricity and that:

(1) has an electric output capable of being separately identified and metered;

(2) is located within the Western Systems Coordinating Council interconnected grid; and

(3) is capable of producing electrical energy in excess of a generation station's internal power requirements.

(i) "Generator" means the initial seller of electrical energy produced by a generating unit.

(j) "Independent System Operator" or "ISO" means the entity that is subject to the requirements of Section 345 et seq. of the Public Utilities Code.

(k) "Large hydroelectric" means the power source created when water flows from a higher elevation to a lower elevation and that is converted to electrical energy in one or more generators at a single facility, the sum capacity of which exceeds 30 megawatts.

(l) "Local publicly owned electric utility that does not utilize the Independent System Operator" means any of the following entities that owns generation facilities that are not individually metered by the ISO: (1) a municipality or municipal corporation operating as a public utility district furnishing electric services ; (2) an irrigation district furnishing electric services; or (3) a joint powers authority that includes one or more of the entities identified in (1) or (2) and that owns generation or transmission facilities, or furnishes electric services over its own or its members' electric distribution system.

(m) "Net electricity generated" means electricity generated by any generating facility, less any generation used on-site, sold through an over-the-fence transaction, as defined in Section 218 of the Public Utilities Code, or sold or transferred to an affiliate as defined in Section 372(a) of the Public Utilities Code.

(n) "Out-of-State power" means power generated entirely outside the state which is sold for wholesale or retail purposes in California.

(o) "Pool" means an entity into which multiple generators deliver generating facility output and out of which multiple retail providers purchase generating facility output, such that buyer and seller may not have knowledge of each other's identities. The amount of electrical energy delivered into and purchased from the pool must be equal, and the amount of fuel type attribute delivered into the pool must be equal to or greater than the amount of fuel type attribute purchased from the pool.

(p) "Product-specific written promotional materials that are distributed to consumers" means any paper, electronic, or other media that contain words pertaining to a specific electricity product being advertised or offered and that are distributed to consumers or made available over the Internet. It does not include advertisements and notices in general circulation media.

(q) "Report electronically" means to provide files in either a database or spreadsheet format that can be read by the most recent version of either Microsoft™ Excel or Microsoft™ Access.

(r) "Retail supplier" or "retail provider" means an entity that offers an electricity product for sale to retail consumers in California.

(s) "Scheduling Coordinator" means any entity certified by the Independent System Operator for the purposes of undertaking the functions specified in Section 2.2.6 of the Independent System Operator Tariff. (Restated and Amended Tariff of the California Independent System Operator Corporation, August 15, 1997.)

(t) "Specific purchase" means a transaction in which generating facility output is traceable to specific generating facilities and which provides commercial verification that the generating facility output claimed has been sold once and only once to retail consumers.

(u) "System Operator" means the Independent System Operator as defined in subsection (h) of this section, or a local publicly owned electric utility that does not utilize the Independent System Operator, as defined in subsection (j) of this section.

Note: Authority cited: Section 25213, Public Resources Code; and Sections 398.3-398.5, Public Utilities Code. Reference: Sections 25216 and 25216.5, Public Resources Code; and Sections 398.1-398.5, Public Utilities Code.

§ 1392. Generation Disclosure.

(a) Method and Timing of Submissions

(1) All submissions to the System Operator required by subsection (a)(2) of this section must be provided to the System Operator by the generator, either directly or through a Scheduling Coordinator.

(2) Each generator that provides meter data to a System Operator, either directly or through a Scheduling Coordinator, shall report the information specified in subsection (b) of this section to the System Operator within forty-five days of the end of each calendar quarter beginning with the quarter ending December 31, 1998.

(b) Content and Format of Submissions to the System Operator

(1) General Information:

(A) Name and telephone number of person to contact about the submission;

(B) Generator name, address, and an identification number provided by the System Operator, or in the event that the System Operator does not provide an identification number to the generator, by the Energy Commission;

(C) For each generating facility that generates electrical energy consumed in California, the generating facility name, location, either by street address or by longitude and latitude, and an identification number provided by the U.S. Energy Information Agency, or, in the event that the U.S. Energy Information Agency does not provide an identification number to the generating facility, by the Energy Commission.

(2) Generation Information: Generators shall report electronically the electricity generated in kilowatt hours by hour by each generating facility, in each month of the preceding quarter.

(3) Fuel Information:

(A) For generating facilities using only one type of fuel, generators shall report electronically the type of fuel consumed in the preceding quarter.

(B) For generating facilities using more than one fuel type, generators shall report electronically the fuel consumed in each month of the preceding quarter as a percentage of the total fuel used for electricity generation.

(C) Fuel shall be reported in the following categories:

1. Eligible renewable, which shall be reported in the following subcategories:

a. Biomass and waste

b. Geothermal

c. Small hydroelectric

d. Solar

e. Wind

2. Coal

3. Natural gas

4. Large hydroelectric

5. Nuclear

6. Other

(c) System Operator Responsibilities

(1) Subject to the limitations described in subsection (c)(2) of this section, all data provided to the System Operator pursuant to subsection (b) of this section will be reported electronically to the Energy Commission either by providing a computer disk containing the information, or by providing electronic access to the information. This access shall be provided to the Energy Commission within 60 days of the end of each calendar quarter.

(2) Limitations on Energy Commission Access:

(A) The System Operator is not required to provide the Energy Commission with any information submitted under subsection (b)(3) of this section that specifies the amount of fuel consumed at a generating facility.

(B) The System Operator is not required to provide the Energy Commission with any information submitted under subsection (b)(3) of this section for out-of-state power.

(d) The following requirements apply to generation and fuel information that is reported for any generation that is sold in an electricity product for which a claim of specific purchases is made.

(1) The generation and fuel information must be reported from individually metered generating facilities.

(2) If generation or fuel information for electrical energy that is sold in an electricity product for which a claim of specific purchases is made is not reported pursuant to subsection (a) of this section, the generator shall report electronically the information specified in subsection (d)(2)(A)-(C) of this section to the Energy Commission by March 1 of each year

beginning in 1999 for each generating facility that generated such electrical energy in California. If the information is provided to the Energy Commission in another filing, the generator may submit a statement identifying the filing and section of the filing in which the information is contained in lieu of a separate filing pursuant to this subsection.

(A) General Information:

1. Name and telephone number of person to contact about the submission;

2. Generator name, address, and an identification number provided by the System Operator, or in the event that the System Operator does not provide an identification number to the generator, by the Energy Commission;

3. For each generating facility, the generating facility name, location, either by street address or by longitude and latitude, and an identification number provided by the U.S. Energy Information Agency, or, in the event that the U.S. Energy Information Agency does not provide an identification number to the generating facility, by the Energy Commission.

(B) Net electricity generated by the generating facility in kilowatt hours in the previous calendar year; and

(C) Type of fuel consumed by the generating facility as a percentage of electricity generation in the previous calendar year, using the categories specified in subsection (b)(3)(C) of this section.

(3) When a retail provider's claim of specific purchases mandates that a generator comply with the reporting requirements of subsection (d)(2) of this section, the retail provider shall inform the generator that he or she must comply with these reporting requirements.

Note: Authority cited: Section 25213, Public Resources Code; and Sections 398.3 and 398.5, Public Utilities Code. Reference: Sections 25216 and 25216.5, Public Resources Code; and Sections 398.3 and 398.5, Public Utilities Code.

§ 1393. Retail Disclosure to Consumers.

(a) For purposes of this section, the following definitions apply:

(1) "Annual disclosure" means the annual disclosure required under Public Utilities Code section 398.4(l).

(2) "General disclosures" means the disclosures required under Public Utilities Code section 398.4(b) and (c).

(3) "Marketing disclosure" means the disclosure required under Public Utilities Code section 398.4(b).

(4) "Net system power" means the fuel mix adopted by the Energy Commission pursuant to Public Utilities Code section 398.5(f).

(5) "Power content label" means the information disclosed to consumers pursuant to the format requirements of this section.

(6) "Quarterly disclosure" means the disclosure required under Public Utilities Code section 398.4(c).

(7) "Eligible renewable" means eligible renewable as defined in section 1391 of this article.

(b) Pursuant to Section 398.4 of the Public Utilities Code, each retail provider shall disclose to consumers the fuel mix of each electricity product offered, using the schedule and format specified in this section. For each electricity product, the retail provider shall do the following:

(1) A retail provider that makes a claim of specific purchases shall:

(A) Disclose the projected fuel mix for the electricity product in the current calendar year in its general disclosures as described in subsection (e) of this section; and

(B) Separately disclose the fuel mix for net system power in its general disclosures, as described in subsection (e) of this section; and

(C) Disclose the fuel mix for the electricity product that was sold during the previous calendar year in its annual disclosure, as described in subsection (e) of this section.

(2) A retail provider that does not make any claims of specific purchases shall:

(A) Disclose the fuel mix for the electricity product to be sold in the current calendar year in its general disclosures as the fuel mix for net system power, as described in subsection (e) of this section; and

(B) Separately disclose the fuel mix for net system power in its general disclosures, as described in subsection (e) of this section; and

(C) Not make an annual disclosure.

(c) Each retail provider shall disclose the information required in this section to consumers according to the following schedule:

(1) Marketing disclosures shall be provided in all product-specific written promotional materials that are distributed to consumers, as defined in subsection (p) of section 1391 of these regulations.

(2) Quarterly disclosures shall be provided by United States mail to consumers of the electricity product and the Energy Commission by the end of the first complete billing cycle for each quarter, beginning with the January 1999 quarter, using the power content label. For purposes of this section, quarters shall begin in January, April, July, and October of each year. Retail providers may provide quarterly disclosures to consumers via the Internet provided that the consumer has consented to receiving Internet notice in lieu of service by United States mail.

(3) Annual disclosures shall be provided by United States mail to consumers of the electricity product and to the Energy Commission on or before April 15 of each year beginning in 1999. Retail providers may provide annual disclosures to consumers via the Internet, provided

that the consumer has consented to receiving Internet notice in lieu of service by United States mail.

(d) Each retail provider shall disclose the following information in all power content labels about the fuel mix of the electricity product and of net system power:

(1) The power content labels containing general disclosures shall meet the following requirements:

(A) Fuel mix information shall be provided using the following fuel type categories and in the following order, rounded to the nearest percent:

1. Eligible renewable

2. Coal

3. Large hydroelectric

4. Natural gas

5. Nuclear

6. Other

(B) The retail provider shall include the following subcategories within the eligible renewable category, provided however, that the retail provider is not required to display the fuel mix percentages for these subcategories in general disclosures for a product for which a claim of specific purchases was made:

1. Biomass and waste

2. Geothermal

3. Small hydroelectric

4. Solar

5. Wind

(C) Calculation

1. For each electricity product for which no claim of specific purchases has been made, the fuel mix displayed shall be identical to that displayed for net system power. For each electricity product for which a claim of specific purchases has been made, the percentage of each fuel type category or subcategory that is specified shall be calculated by adding the contribution from each specific purchase in the electricity product to the contribution from all other purchases, if any, for that fuel type category or subcategory, as shown by the following formula: $w_1(x) + w_2(y)$.

a. "w_1" is the percentage of electricity in this electricity product the retail provider expects to provide through specific purchases;

b. "x" is the percentage contribution for a given fuel category or subcategory to total specific purchases for that electricity product;

c. "w_2" is the percentage of electricity in the electricity product the retail provider expects to provide through sources other than specific purchases; and

d. "y" is the percentage contribution for the fuel category or subcategory to the net system power fuel mix.

2. For purposes of this calculation, the contribution from all other sources shall be calculated using only the most-recently adopted fuel mix of net system power.

(2) If a retail provider makes a claim of specific purchases, the annual disclosure shall consist of the fuel mix of the electricity product sold to consumers during the previous calendar year. In addition, if the percentage of any fuel type category or subcategory contained in any general disclosure made during the previous calendar year for that electricity product varies by more than plus or minus five percentage points from the percentage provided in the annual disclosure, the fuel mix information displayed in the general disclosure that varies the most from this annual disclosure shall be displayed.

(A) For purposes of subsection (d)(2) of this section, the general disclosure that varies the most from this annual disclosure is the general disclosure for which the sum of the squares of the differences between the percentage points identified for each fuel category or subcategory in the general disclosure and in this annual disclosure, as represented by the calculation $\sum(x_i-y_i)^2$, is greatest, where "x_i" is the percentage contribution for fuel category or subcategory "i" listed in a general disclosure and "y_i" is the percentage contribution for fuel category or subcategory "i" for the annual disclosure, for "i" equals all fuel categories and subcategories.

(B) If the fuel mix information for the electricity product contained in a general disclosure is required to be displayed pursuant to subsection (d)(2), the retail provider shall also provide an explanation of why there is a difference between the information contained in the general disclosure and the information contained in the annual disclosure.

(e) Each retail provider shall provide general and annual disclosures for each electricity product offered using a power content label. The power content label shall use the following format:

(1) All information contained in the power content label shall appear in one place without other intervening material.

(2) Location of the power content label.

(A) If the retail provider offers materials that consist of more than one page, the power content label or a note telling the consumer where the power content label can be found, shall appear on the cover page or the first facing page. If a note is used to tell the consumer where the power content label can be found, the note shall appear in a type size no smaller than 10 point.

(B) Notwithstanding the provisions of subsection (e)(2)(A) of this section, if the promotional materials pertain to more than one electricity product and contain multiple pages, the power content label for each product may appear on the page discussing that electricity product.

(3) The power content label shall be set off in a box by use of hairlines which shall be all black or one color type such that the lines are conspicuous.

(4) All information within the power content label shall utilize:

(A) A single sans serif font;

(B) At least one point space between two lines of text;

(C) Kerning such that letters never touch one another;

(D) A type size no smaller than 10 point, except that the footnotes and subheadings may be in a type size no smaller than 8 point; and

(E) Black type or type that is a color easily distinguishable from the background color.

(5) At the bottom of the box containing the power content label, the following note shall appear: "For specific information about this electricity product, contact [Company Name]. For general information about the Power Content Label, contact the California Energy Commission at 1-800-555-7794 or www.energy.ca.gov/consumer", where "Company Name" is the name of the retail provider. This note shall appear in a type size no smaller than 8 point, and shall be set off from the upper portion of the box by a hairline.

(6) The power content label containing general disclosures shall appear in the following format:

(A) The information shall be presented under the identifying heading of "Power Content Label" which shall be in bold, uppercase letters, set in a type size larger than all other type size in the power content label.

(B) Fuel mix information for the electricity product or products being sold and for net system power shall be displayed in a table format, and shall be organized as follows:

1. The first row of the table shall contain column headings. Headings shall appear in reverse type against a solid background.

2. A solid bar shall be displayed immediately below the last row of the table.

3. The first row of the first column shall display a heading of "Energy Resources", bolded and in all capital letters. Subsequent rows shall display fuel type categories and subcategories, as specified in subsection (d)(1) of this section. The category names shall be displayed in bold, and subcategory names for the eligible renewable category shall be unbolded, indented, and shall display a hyphen immediately before the name of the subcategory. The final row of this column shall read "total" in all upper case letters and in bold.

4. The second column shall display the fuel mix information for the electricity product being sold. The first row of the second column shall display a heading of the product name, bolded and in all capital letters. Immediately next to the product name in the first row of the second column shall be a footnote marker, directing the reader to the footnote specified in subsection (e)(6)(C)(1). Immediately below the product name shall be the subheading "(projected)". The subsequent rows of the column shall display the fuel mix information for the electricity product being sold. The fuel mix information shall be rounded to the nearest percent, expressed using a percent sign, and may, but need not, include the percentages for the eligible renewable subcategories. The final row for this column shall read "100%." The percentages for the categories shall be aligned and displayed in bold, and the percentages for the eligible renewable subcategories, if any, shall be aligned to the right of the percentages for the categories. If the retail provider is not making a claim of specific purchases for this electricity product, the fuel mix information displayed for the electricity product shall be identical to that displayed for net system power.

5. Power content labels containing marketing disclosures may contain other columns to the right of the second column to display fuel mix information for other products being sold by the retail provider. Each of these columns shall be in the same format specified in subsection (e)(6)(B)(4) of this section. If fuel mix information for other products is provided, each product name shall be immediately followed by a footnote marker, directing the reader to the footnote specified in subsection (e)(6)(C)(1).

6. The column farthest to the right shall contain information about the fuel mix of net system power. The first row of the column shall contain the heading "[Year] CA Power Mix", bolded and in all capital letters, where [Year] refers to the year for which the most recently-adopted fuel mix of net system power is available. Immediately next to the heading "[Year] CA Power Mix" shall be a footnote marker, directing the reader to the footnote specified in subsection (e)(6)(C)(2). Immediately below the heading shall be the subheading "(for comparison)". The subsequent rows of the column shall display the fuel mix information for net system power most recently adopted by the Energy Commission, including the percentages for the eligible renewable subcategories. The fuel mix information contained in this column shall be in unbolded type, and the percentages for the fuel type categories shall be aligned, and the percentages for the eligible renewable subcategories shall be aligned to the right of the percentages for the categories. The final row for this column shall read "100%."

(C) Footnotes shall appear at the bottom of the power content label as follows:

1. The first footnote shall read, "[percentage A] % of [Product Name] is specifically purchased from individual providers.", where "Percentage A" is the percentage of electricity in this electricity product the retail provider expects to provide through specific purchases, and "Product Name" is the name of the electricity product. If fuel mix information for more than one product is provided in the power content label, the footnote shall list for each electricity product the percentages of the product that the retail provider expects to provide through specific purchases.

2. The second footnote shall read, "Percentages are estimated annually by the California Energy Commission based on the electricity sold to California consumers during the previous year."

(D) An example of a power content label that meets the requirements for general disclosures made by a retail provider that makes a claim of specific purchases is shown in

Appendix A-1 to these regulations. An example of a power content label that meets the requirements for general disclosures made by a retail provider that does not make a claim of specific purchases is shown in Appendix A-2 to these regulations. An example of a power content label that meets the requirements for general disclosures for more than one product is shown in Appendix A-3 to these regulations.

(7) Each retail provider shall provide a power content label containing an annual disclosure for each electricity product for which it made a claim of specific purchases during the previous calendar year, using the following format:

(A) The information shall be presented under the identifying heading of "Power Content Label" which shall be bolded and in all capital letters, set in a type size larger than all other type size in the power content label. Immediately beneath this heading shall be a subheading "Annual Report of Actual Electricity Purchases for [Product Name] in [Year]", where "Product Name" is the name of electricity product whose fuel mix is being disclosed, and "Year" is the previous calendar year. This subheading shall be set in a type size larger than the type size used to display the fuel mix information, but smaller than the type size used for the heading, and the product name shall be in bold.

(B) The fuel mix of the electricity product sold to consumers in the previous calendar year shall be displayed in a table format, and shall be organized as follows:

1. The first row of the table shall contain column headings. Headings shall appear in reverse type against a solid background.

2. A solid bar shall be displayed immediately below the last row of the table.

3. The first row of the first column shall display a heading of "Energy Resources", bolded and in all capital letters. Subsequent rows shall display fuel type categories and subcategories, as specified in subsection (d)(1) of this section. The category names shall be displayed in bold, and subcategory names for the eligible renewable category shall be unbolded, indented, and shall display a hyphen immediately before the name of the subcategory. The final row of this column shall read "total" in all upper case letters and in bold.

4. The second column shall display the fuel mix information for the electricity product sold during the previous calendar year. The first row of the column shall contain the heading "Actual Power Mix", bolded and in all capital letters. The subsequent rows of the column shall display the fuel mix information for the electricity product sold during the previous calendar year, using the categories and subcategories specified in subsection (d)(1) of this section. The fuel mix information for the categories contained in this column shall be in bolded type, with the percentages aligned. The fuel mix information for the eligible renewable subcategories shall be in unbolded type and the percentages shall be aligned to the right of the percentages for the categories. The final row for this column shall read "100%", in bolded type.

(C) Comparison of General Disclosures to Annual Disclosure

1. If the percentage of any fuel type category or subcategory contained in any general disclosure made during the previous calendar year for that electricity product varies by more than plus or minus five percentage points from the percentage provided in the annual disclosure, a third column shall be displayed on the power content label.

a. If a third column is required, it shall contain the fuel mix information displayed in the general disclosure that varies the most from this annual disclosure. The first row of the third column shall contain the heading "Projected Power Mix", bolded and in all capital letters. Immediately next to the heading "Actual Power Mix" shall be a footnote marker, directing the reader to the footnote specified in subsection (e)(7)(C)1.c. The subsequent rows shall display the fuel mix information for the electricity product displayed in the general disclosure that varies the most from this annual disclosure. This information shall be displayed in the format specified in subsection (e)(6)(B)4. of this section.

b. The general disclosure that varies the most from this annual disclosure is defined in subsection (d)(2)(A) of this section.

c. Immediately below the last row in the power content label, the retail provider shall provide a footnote containing an explanation of why there is a difference between the information contained in the general disclosure and the information contained in the annual disclosure.

2. If no percentage of any fuel type category or subcategory contained in any general disclosure made during the previous calendar year varies by more than plus or minus five percentage points from the percentage in the electricity product sold, the following statement shall be displayed immediately below the last row in the power content label: "For each category, the percentage [Company Name] projected for [year] was within plus or minus five percentage points of the actual percentage.", where "Company Name" is the name of the retail provider, and "year" means the previous calendar year. The company name shall be bolded.

(D) An example of a power content label that meets the requirements for an annual disclosure not requiring inclusion of any previous year's general disclosures is shown in Appendix A-4 to these regulations. An example of a power content label that meets the requirements for an annual disclosure requiring inclusion of a previous year's general disclosure is shown in Appendix A-5 to these regulations.

Note: Authority cited: Section 25213, Public Resources Code; and Section 398.4, Public Utilities Code. Reference: Sections 25216 and 25216.5, Public Resources Code; and Section 398.4, Public Utilities Code.

§ 1394. Annual Submission to the Energy Commission.

(a) Retail Provider Report.

(1) On or before March 1 of each year, each retail provider who made a claim of specific purchases during the previous calendar year shall provide a filing to the Energy Commission, providing the information identified in subsections (a)(2)(A)-(D) below for each electricity product for which such a claim was made.

(A) Retail providers must provide this information on spreadsheet forms provided by the Energy Commission, and each page must include the Retail Energy Supplier Registration Identification Number provided by the California Public Utilities Commission or, if one is not provided, a unique identification number assigned by the Energy Commission.

(B) The retail provider must provide one paper copy, with an original signature, and, if feasible, must also provide the information electronically.

(C) The report must include an attestation, signed by an authorized agent of the retail provider under penalty of perjury, that the generating facility output claimed by the retail provider as a specific purchase during the previous calendar year was sold once and only once to retail customers of that retail provider, and that the information provided in the report is true and correct.

(D) All fuel type attribute information shall be provided using the fuel type categories identified in subsections (d)(1)(A) and (B) of section 1393.

(E) Retail providers may provide the information specified in subsections (a)(2)(A)-(D) of this section by providing a reference to the date and title of a filing made to the Energy Commission containing the information specified in that subsection.

(2) Informational Requirements.

(A) Purchases

1. For each source of generating facility output being claimed as a specific purchase, the retail provider must include the following information: facility name or pool name, fuel type, facility or pool number (a facility number will be provided by the U.S. Energy Information Agency (EIA), or, if one is not provided, by the Energy Commission, and pool number will be provided by the Energy Commission), certificate number of any certificates issued pursuant to Appendix B of these regulations (if any), gross kilowatt hours purchased, kilowatt hours resold or consumed on-site, and the resultant calculation of net specific purchases. The retail provider shall also identify kilowatt hours of generic purchases, kilowatt hours of generic purchases resold or consumed on-site, and the resultant calculation of net generic purchases. This information shall be provided on the current version of Schedule 1 prepared by the Energy Commission.

2. Retail providers who are claiming specific purchases obtained from a pool must reference a filing made no later than March 1 of the current calendar year to the Energy Commission by the pool that includes the following information:

a. For each generator that provided generating facility output into the pool, the facility name, fuel type, facility number provided by U.S. Energy Information Agency (EIA) or, if one is not provided, a unique identification number assigned by the Energy Commission, certificate number of any certificates issued pursuant to Appendix B of these regulations (if any), and total number of kilowatt hours provided into the pool. This information shall be provided on the current version of Schedule 3 prepared by the Energy Commission.

b. For each purchase of generating facility output from the pool, the amount of kilowatt hours purchased by each purchaser by fuel type. If the purchaser is also a retail provider, include the Retail Energy Supplier Registration Identification number provided by the California Public Utilities Commission or, if one is not provided, a unique identification number assigned by the Energy Commission. This information shall be provided on the current version of Schedule 4 prepared by the Energy Commission.

(B) Retail Sales: The retail provider filing shall include each product name, the kilowatt hours sold for each product from specific purchases by fuel type, the kilowatt hours sold for

each product from sources other than specific purchases, and total retail sales. This information shall be provided on the current version of Schedule 2A prepared by the Energy Commission.

(C) Comparison of Purchases and Sales: The retail provider filing shall include total net purchases, consistent with subdivision (a)(2)(A) above, minus total retail sales for all products, consistent with subdivision (a)(2)(B) above, and an explanation of any discrepancies between total net purchases and total retail sales. This information shall be provided on the current version of Schedule 2B prepared by the Energy Commission.

(D) Power Content Label: The retail provider shall provide to the Energy Commission a copy of each promotional disclosure provided to customers pursuant to subsection (c)(1) of subsection 1393 that varies from any quarterly disclosure provided in that calendar year. In addition, the retail provider shall also provide a copy of any quarterly label provided to customers pursuant to subsection (c)(2) of section 1393 that was not provided to the Energy Commission at the time it was provided to customers.

(b) Agreed-upon Procedures

(1) By June 1 of each year, any retail provider who made a claim of specific purchases during the previous calendar year shall provide a report prepared by an auditor who has conducted the procedures identified in Appendix C of these regulations. The report shall contain a summary of the results of the procedures and a proof of service of the annual power content label and the quarterly labels for the previous calendar year upon all customers.

(2) A retail provider that is a public agency providing electric services is not required to comply with the provisions of subdivision (b)(1) if that public agency offers only one electricity product to its customers and if the board of directors of the public agency approves at a public meeting the submission to the Energy Commission of an attestation of the veracity of the annual report.

(c) The Energy Commission may on its own motion, or as a result of a request from a member of the public or other agency, investigate electricity transactions claimed as specific purchases to determine whether the transactions are traceable to specific generating facilities and whether they provide commercial verification that the electricity source claimed has been sold once and only once to retail consumers. In conducting its investigation, the Energy Commission may require the production of the service lists used to comply with the requirements of subsection (b) of this section, as well as commercial documents, such as contracts, invoices, the verification procedures performed pursuant to subsection (b) of this section, and attestations.

Note: Authority cited: Section 25213, Public Resources Code; and Section 398.5, Public Utilities Code. Reference: Sections 25216 and 25216.5, Public Resources Code; and Section 398.5, Public Utilities Code.

Appendix A-1

Sample power content label showing a product for which the retail supplier is claiming some specific purchases. In this example, the product is 50% from specific purchases and 50% from non-specific purchases (for which net system power is claimed), and the most recent net system power calculation is for 1999.

POWER CONTENT LABEL

ENERGY RESOURCES	PRODUCT NAME* (PROJECTED)	1999 CA POWER MIX** (FOR COMPARISON)
Eligible Renewable	**56%**	12%
-Biomass & Waste	-	2%
-Geothermal	-	5%
-Small hydroelectric	-	3%
-Solar	-	<1%
-Wind	-	2%
Coal	**10%**	20%
Large Hydroelectric	**10%**	20%
Natural Gas	**16%**	31%
Nuclear	**8%**	16%
Other	**<1%**	<1%
TOTAL	**100%**	100%

* 50% of **Product Name** is specifically purchased from individual suppliers.
**Percentages are estimated annually by the California Energy Commission based on the electricity sold to California consumers during the previous year.

For specific information about this electricity product, contact **Company Name**. For general information about the Power Content Label, contact the California Energy Commission at 1-800-555-7794 or www.energy.ca.gov/consumer

Appendix A-2

Sample power content label showing a product for which the retail supplier is not claiming specific purchases. In this example, the most recent net system power calculation is for 1999

POWER CONTENT LABEL

ENERGY RESOURCES	PRODUCT NAME* (PROJECTED)	1999 CA POWER MIX** (FOR COMPARISON)
Eligible Renewable	**12%**	12%
-Biomass & Waste	2%	2%
-Geothermal	5%	5%
-Small hydroelectric	3%	3%
-Solar	<1%	<1%
-Wind	2%	2%
Coal	**20%**	20%
Large Hydroelectric	**20%**	20%
Natural Gas	**31%**	31%
Nuclear	**16%**	16%
Other	**<1%**	<1%
TOTAL	**100%**	100%

* 0% of **Product Name** is specifically purchased from individual suppliers.
**Percentages are estimated annually by the California Energy Commission based on the electricity sold to California consumers during the previous year.

For specific information about this electricity product, contact **Company Name**. For general information about the Power Content Label, contact the California Energy Commission at 1-800-555-7794 or www.energy.ca.gov/consumer.

Appendix A-3

Sample power content label showing multiple electricity products. In this example, the most recent net system power calculation is for 1999.

POWER CONTENT LABEL

ENERGY RESOURCES	PRODUCT NAME 1* (PROJECTED)	PRODUCT NAME 2* (PROJECTED)	1999 CA POWER MIX** (FOR COMPARISON)
Eligible Renewable	**56%**	**12%**	12%
-Biomass & Waste	-	2%	2%
-Geothermal	-	5%	5%
-Small hydroelectric	-	3%	3%
-Solar	-	<1%	<1%
-Wind	-	2%	2%
Coal	**10%**	**20%**	20%
Large Hydroelectric	**10%**	**20%**	20%
Natural Gas	**16%**	**31%**	31%
Nuclear	**8%**	**16%**	16%
Other	**<1%**	**<1%**	<1%
TOTAL	**100%**	**100%**	100%

* 50% of **Product Name 1** and 0% of **Product Name 2** is specifically purchased from individual suppliers.

**Percentages are estimated annually by the California Energy Commission based on the electricity sold to California consumers during the previous year.

For specific information about this electricity product, contact **Company Name**. For general information about the Power Content Label, contact the California Energy Commission at 1-800-555-7794 or www.energy.ca.gov/consumer.

Appendix A-4

Sample annual report to customers for the case where actual purchases do not differ by more than five percentage points in any fuel category or subcategory.

POWER CONTENT LABEL

Annual report of actual electricity purchases for **Product Name** in 1999

ENERGY RESOURCES	ACTUAL POWER MIX
Eligible Renewable	**53%**
-Biomass & Waste	3%
-Geothermal	20%
-Small hydroelectric	3%
-Solar	7%
-Wind	20%
Coal	**8%**
Large Hydroelectric	**12%**
Natural Gas	**20%**
Nuclear	**7%**
Other	**0%**
TOTAL	**100%**

For each category, the percentage **Company Name** projected for 1999 was within ±5 percentage points of the actual percentage.

For specific information about this electricity product, contact **Company Name**. For general information about the Power Content Label, contact the California Energy Commission at 1-800-555-7794 or www.energy.ca.gov/consumer.

Appendix A-5

Sample annual report to customers for the case where actual purchases differ from projected fuel mix by more than five percentage points in one or more fuel categories or subcategories.

POWER CONTENT LABEL

Annual report of actual electricity purchases
for **Product Name** in 1999

ENERGY RESOURCES	ACTUAL POWER MIX	PROJECTED POWER MIX*
Eligible Renewable	**49%**	**56%**
-Biomass & Waste	3%	-
-Geothermal	15%	-
-Small hydroelectric	3%	-
-Solar	7%	-
-Wind	11%	-
Coal	**10%**	**8%**
Large Hydroelectric	**14%**	**12%**
Natural Gas	**19%**	**17%**
Nuclear	**8%**	**7%**
Other	**0%**	**0%**
TOTAL	**100%**	**100%**

* [explanation for why projected power mix varied from actual purchases]

For specific information about this electricity product, contact **Company Name**. For general information about the Power Content Label, contact the California Energy Commission at 1-800-555-7794 or www.energy.ca.gov/consumer.

Appendix B

Energy Commission Certificate Program

(a) This subsection describes the Energy Commission certificate program, in which a retail provider may use certificates created by Energy Commission software to demonstrate that it has purchased the right to claim a specified quantity of generating facility output from a specific facility.

(b) The Energy Commission certificate program shall consist of the following elements:

(1) The Energy Commission will make its certificates software available to generators within the Western Systems Coordinating Council that do not sell their generating facility output to an investor-owned utility under the terms of a contract entered into prior to September 24, 1996 under the Public Utilities Regulatory Policies Act of 1978. This software creates facility-specific certificates that contain the following information: the serial number of each certificate issued, the kilowatt hours associated with each certificate, the name of the generator, the generating facility identification number provided by the U.S. Energy Information Agency or, if one is not provided, a unique identification number assigned by the Energy Commission, the quarter in which the electrical energy identified on the certificate was generated, the fuel type used to generate the kilowatt hours, and a signature block for the generator.

(2) Each generator that wishes to obtain a copy of the certificates software shall provide to the Energy Commission the following information: the generating facility name, the generating facility identification number provided by the U.S. Energy Information Agency or, if one is not provided, a unique identification number assigned by the Energy Commission, the address of the generating facility, the name and telephone number of a designated contact for the generator, and the fuel or technology type and capacity of the generating facility. After receiving this information, the Energy Commission will provide the generator with a copy of its certificates software and a series of certificate numbers to be used for each generating facility identified by the generator.

(3) Each retail provider that owns a certificate created by the Energy Commission's certificates software may use that certificate to support a claim of specific purchases in its annual retail provider report pursuant to the terms of this program. The retail provider shall include the serial number(s) of the certificates for generation being claimed.

(4) In the annual report prepared pursuant to Public Utilities Code §398.5(e), the Energy Commission will find that certificates created by the Energy Commission's certificates software verify that the retail provider who provided the certificates has purchased the right to claim the generating facility output from the specific facility identified on the certificates, provided the generator has done all of the following:

(A) Ensure that the total amount of generation in each quarter is equal to or greater than the amount of kilowatt hours identified in the certificates issued in that quarter.

(B) Provide the following information to the Energy Commission no less frequently than the fifteenth day after the end of each quarter: total generation during the previous quarter of

each facility, the serial numbers of all certificates created by the generator during the previous quarter for each facility, and the amount of kilowatt hours identified in each such certificate.

(C) Provide, upon Energy Commission request, independent third-party readings of the facility meter. Generators must keep copies of meter reads for two years after the generation occurs.

Appendix C

Agreed-Upon Procedures

(a) This Appendix describes the agreed-upon procedures that retail providers claiming specific purchases shall use to comply with the requirements of subsection (b)(1) of section 1394 of these regulations. These procedures shall be performed for each electricity product for which a claim of specific purchases was made during the previous calendar year, unless the exemption identified in subsection (b)(2) of section 1394 is applicable. The procedures in subsections (c)(1), and (c)(2) of this Appendix are applicable to all transactions relating to the fuel mix of the product, and the procedures in subsection (c)(3) are applicable to the power content labels disclosing the fuel mix of the product. The procedures described in subsection (c)(4) are also applicable to transactions in which the purchase of generating facility output is traced from a specific generating facility to a retail customer through a pool.

(b) The retail provider must engage an independent accountant or certified internal auditor to perform the procedures identified in subsection (c) below, in accordance with the American Institute of Certified Public Accountants (AICPA) Statements on Standards for Attestation Engagements, Section 600 or under Statements on Auditing Standards, Section 622. The accountant shall provide a report to the Energy Commission no later than June 1 of each year summarizing the results of the procedures.

(1) The accountant must be a Certified Public Accountant in good standing with the American Institute of Certified Public Accountants or a Certified Internal Auditor in good standing with the Institute of Certified Internal Auditors.

(2) The accountant or auditor may use sampling techniques following the guidance set forth in the AICPA AU Section 350, *Audit Sampling*, provided that the sample size is determined using a confidence level of 90 percent, a tolerable deviation of 10 percent, and an expected deviation rate of 3 percent, and the total population size is determined. The program participant will need to determine the population size (estimates are acceptable). The sample size shall be determined by using a statistical sampling program, and sample selection shall be made on a random basis using a random number generator. In any event, no more than 50 percent (50%) of the selected transactions may relate to any one month unless more than 50 percent (50%) of the population relates to the same month. All parameters and deviations used and the sample size must be described in the report. If the accountant chooses not to use sampling techniques, testing of 100 percent (100%) of the population must be performed.

(c) Agreed-Upon Procedures

(1) Purchases: The auditor shall review the information used to prepare Schedules 1 and 2B, and perform the procedures identified below, noting any exceptions.

(A) The auditor shall agree the specific purchases and resales/self-consumption by facility or pool name, unique identification number, certificate numbers of any certificates issued pursuant to Appendix B of these regulations, if any, and kilowatt hours and fuel type from the information used to prepare Schedule 1 to Schedule 1. The auditor shall agree the generic purchases and resales/self-consumption from the information used to prepare Schedule 1 to Schedule 1. The auditor shall also test the mathematical accuracy of Schedule 1.

(B) The auditor shall select a sample of purchases from the information used to prepare Schedule 1 using the sampling guidelines discussed in subsection (b)(2) of this Appendix, and for each purchase in the sample perform the following procedures:

1. Agree the facility or pool name, unique identification number, certificate number of any certificates issued pursuant to Appendix B of these regulations, if any, kilowatt hours and the fuel type from the invoice (or from the Energy Commission) to the information used to prepare Schedule 1.

2. For facilities owned by the retail provider, agree the kilowatt hours with meter readings made by an independent third party, or confirm that the retail provider has another internal auditing procedure that assures facility production agrees to production claims.

3. Agree the date of generation from the invoice to the reporting period of the information used to prepare Schedule 1.

(C) The auditor shall agree the net kilowatt hours purchased shown on Schedule 1 to net purchases shown on Schedule 2B. Note as an exception if any explanation of the difference in net purchases and sales was improperly excluded.

(2) Sales: The auditor shall review the information used to prepare Schedule 2A, and perform the procedures identified below, noting any exceptions.

(A) Agree sales by fuel type and by product from the information used to prepare Schedule 2A to Schedule 2A. The auditor shall also check the mathematical accuracy of Schedule 2A.

(B) Select a sample of sales from the information used to prepare Schedule 2A, using the sampling guidelines discussed in subsection (b)(2), and agree the sales to customers by fuel type and product to the billing statement.

(3) Labels

(A) The auditor shall obtain copies of all quarterly and promotional labels for the previous year, and compare the percentages by fuel type in these disclosures to the percentages by fuel type calculated per subsection (d)(1)(C)(1) of section 1393 using the data supplied in Schedule 2A, noting any exceptions.

(B) The auditor shall obtain a copy of the annual power content label provided to customers for each product pursuant to subsection (e)(7) of section 1393. The auditor shall calculate the fuel and technology mix of the total annual retail sales for the product using the information provided in Schedule 2A and the equation found in subsection (d)(1)(C) of section 1393. The auditor shall then compare these percentages to those identified for the actual power mix on the annual label. The auditor shall note any exceptions greater than 1%.

(C) The auditor shall determine if the absolute value of the percentage point difference for any fuel type identified on the annual label and any projected disclosure is greater than five percentage points, and, if so, whether the annual label displays a "Projected Power Mix" column that identifies the projected disclosure that varies the most from the actual fuel mix and a footnote explaining the reason for the discrepancy between the projected and actual fuel mix. The projected disclosure that varies the most from the actual fuel mix is determined pursuant to subsections (d)(2)(A) and (B) of section 1393.

(4) Pools

(A) Purchases: The auditor shall obtain the information used to prepare Schedule 3, and perform the procedures identified below, noting any exceptions.

1. The auditor shall agree the purchases by facility name, unique identification number, certificate number of any certificates issued pursuant to Appendix B of these regulations, if any, and kilowatt hours and fuel type from the information used to prepare Schedule 3 to Schedule 3. The auditor shall also test the mathematical accuracy of Schedule 3.

2. The auditor shall select a sample of purchases from the information used to prepare Schedule 3 using the sampling guidelines discussed in subsection (b)(2), and for each purchase perform the following procedures:

a. Agree the facility name, unique identification number, certificate number of any certificates issued pursuant to Appendix B of these regulations, if any, and kilowatt hours and fuel type from the invoice to the information used to prepare Schedule 3.

b. For facilities owned by the retail provider, agree the kilowatt hours with meter readings made by an independent third party, or confirm that the retail provider has another internal auditing procedure that assures facility production agrees to production claims.

c. Agree the date of generation from the invoice to the reporting period of the information used to prepare Schedule 3.

(B) Sales: The auditor shall obtain the information used to prepare Schedule 4, and perform the procedures identified below, noting any exceptions.

1. The auditor shall agree the sales by purchaser and by fuel type and kilowatt hours from the information used to prepare Schedule 4 to Schedule 4. The auditor shall also test the mathematical accuracy of Schedule 4.

2. The auditor shall select a sample of sales from the information used to prepare Schedule 4 using the sampling guidelines discussed in subsection (b)(2), and for each sales compare kilowatt hours of fuel type to a copy of the billing statement and any other records.

Article 6. Qualified Departing Load CRS Exemptions

§ 1395. Scope.

The regulations in this Article implement the California Energy Commission (Commission) role in providing assessments and forecast of energy related matters within the state. The regulations set forth the mechanism and process for reporting of information by Departing Load customers requesting Cost Responsibility Surcharge (CRS) exemptions. The regulations set forth the mechanism and process for the Commission to assess and track eligibility of Departing Load customers for CRS Exemptions. The information obtained under these regulations will be incorporated into the Integrated Energy Policy Report (IEPR) in order to assess and forecast the impacts of CRS and CRS exemptions on the deployment of distributed generation.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216, 25216.5, 25301 and 25320, Public Resources Code.

§ 1395.1. Rules of Construction and Definitions.

The rules of construction and definitions in Section 1302 of Article 1 of this Chapter, and the definitions set forth in this Section, apply to this Article.

(a) "Backup Generation" means electricity generated by a Customer on a temporary basis in order to replace the generation lost from that Customer's normal supply source, usually the Electric Utility where the customer resides.

(b) "Best Available Control Technology" or "BACT" means the maximum degree of emissions reduction achievable after taking into account energy, economic, and environmental impacts, as set forth in Health and Safety Code Section 40405. The local air district where the generation is located usually makes the BACT determination.

(c) "Bonds" means the California Department of Water Resources (CDWR) Power Supply Revenue Bonds, Series 2002A-2002E, issued by the State of California on October 23, 2002, and November 7, 2002. The Bonds were issued for the purpose of repaying the State's General Fund for procuring electricity on behalf of Pacific Gas and Electric Company, Southern California Edison Company, and San Diego Gas and Electric Company from January 17, 2001 to December 31, 2002.

(d) "CARB" means the California Air Resources Board.

(e) "CPUC" means the California Public Utilities Commission.

(f) "Cogeneration" means the sequential use of energy for the production of electrical and useful thermal energy, as set forth in Public Utilities Code section 218.5.

(g) "Cost Responsibility Surcharge" or "CRS" means energy cost obligations consistent with CPUC Decision 03-04-030 and subsequent CPUC decisions. CRS-related costs are recoverable from eligible customers on a cents-per-kilowatt-hour basis and include the following components:

(1) Costs associated with Southern California Edison Company's Historical Procurement Charge;

(2) Costs associated with repayment of bonds for the procurement of power by the CDWR for purchases made between January 17, 2001 and December 31, 2002;

(3) Costs associated with the power contracts entered into by the CDWR on behalf of Pacific Gas and Electric Company, Southern California Edison Company, and San Diego Gas and Electric Company for procurement beginning January 1, 2003; and

(4) Cost associated with the Tail Competition Transition Charge, as defined in Public Utilities Code section 367(a).

(h) "CRS Exemption" means the avoidance of the payment of one or more of the CRS components, as defined in subsection (g) of this section, if a customer is eligible.

(i) "CRS Exemption Queue" or "Queue" means the list of CRS Exemption requests either placed or pending placement in order of receipt, for approval of a CRS Exemption within the appropriate Megawatt Cap.

(j) "Commission" means the California Energy Resources Conservation and Development Commission.

(k) "Customer" means an electric utility customer that has any portion of load qualifying as Departing Load, and is seeking a CRS Exemption or placement in the Queue to receive a future CRS Exemption.

(l) "Customer Generation" means any type of generation that (1) is dedicated wholly or in part to serve a specific customer's load; and (2) relies on non-utility or dedicated utility distribution wires rather than the utility grid, to serve the customer, the customer's affiliates and/or tenant's, and not more than two other persons or corporations. Those two persons or corporations must be located on site or adjacent to the real property on which the generator is located.

(m) "Departing Load" means those portions of the utility customer's electric load for which the customer: discontinues or reduces its purchase of bundled or direct access service from the utility; purchases or consumes electricity supplied and delivered by Customer Generation to replace the utility or direct access (DA) purchases; and remains physically located at the same location or elsewhere within the utility's service territory as of April 3, 2003. Reduction in load qualifies as Departing Load only to the extent that such load is subsequently served with electricity from a source other than a utility. This definition of departing load does not include the following:

(1) Changes in usage occurring in the normal course of business resulting from changes in business cycles, termination of operations, departure from the utility service territory, weather, reduced production, modifications to production equipment or operations, changes in

production or manufacturing processes, fuel switching, enhancement or increased efficiency of equipment or performance of existing Customer Generation equipment, replacement of existing Customer Generation equipment with new power generation equipment of similar size, installation of demand-side management equipment or facilities, energy conservation efforts, or other similar factors.

(2) New customer load or incremental load of an existing customer where the load is being met through a direct transaction with Customer Generation and the transaction does not otherwise require the use of transmission or distribution facilities owned by the utility.

(3) Load temporarily taking service from a Back-up Generation unit during emergency conditions called by the utility, the California Independent System Operator, or any successor system operator.

(4) Municipally-owned utilities or irrigation districts.

(5) Changes in the distribution of load among accounts at a customer site with multiple accounts, load resulting from the reconfiguration of distribution on the customer side of the site, provided that the customer changes do not result in a discontinuance or reduction of service from the Electric Utility at that location.

(6) Load that physically disconnects from the grid. This definition is intended to be consistent with CPUC utility tariffs and related subsequent CPUC decisions.

(n) "Departing Load CRS Information Form" or "Form" means the document containing pertinent information from the Customer necessary for the Commission to determine whether or not a Customer is eligible for a CRS Exemption.

(o) "Development Plan" or "Plan" means a detailed schedule for anticipated construction and interconnection activities. The Plan shall include a list of all permits and approvals that the Customer will need to obtain before interconnection will occur, and the anticipated time it will take for the Customer to obtain each of the permits and approvals.

(p) "Electric Utility" means an investor owned utility. In this case, Electric Utility refers to Pacific Gas and Electric Company, Southern California Edison Company, or San Diego Gas and Electric Company, depending on the service territory where the Customer Generation is located.

(q) "IEPR" means the Commission's Integrated Energy Policy Report.

(r) "Full CRS Exemption" means that a Customer is exempt from paying surcharges associated with the CRS defined in subsection (g) of this section.

(s) "Megawatt Cap" means the total amount of Departing Load, expressed in megawatts, eligible for a CRS Exemption, consistent with the Cap levels determined by the CPUC.

(t) "Net Energy Metering" shall have the same definition as set forth in Public Utilities Code section 2827(b)(3).

(u) "Partial CRS Exemption" means that a Customer is exempt from paying certain components of the CRS as defined in subsection (g) of this section, but do not qualify for a Full

CRS Exemption. The extent that a Customer may be eligible for an exemption is based on the criteria set forth in Section 1395.3(d) of this Article.

(v) "Ultra Clean and Low-Emissions Distributed Generation" shall have the same definition as set forth in Public Utilities Code Section 353.2.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216, 25216.5, 25301 and 25320, Public Resources Code.

§ 1395.2. Departing Load CRS Information Form or Form.

(a)(1) The Commission shall prepare, and make available to Customers, in conjunction with each Electric Utility a Departing Load CRS Information Form (Form). The Form shall provide information necessary to assess eligibility for a CRS exemption.

(2) The Form shall include, but not be limited to, the following information:

(A) Customer name;

(B) Contact information, such as phone number and email address;

(C) Address (including street number, street name, city, and zip code);

(D) Capacity of Customer Generation unit;

(E) Estimated annual Departing Load

(F) Type of technology;

(G) Anticipated interconnection date; and

(H) Proposed Project Development Plan and any anticipated activities that may delay the project beyond 12 months from submission of the Customer's application.

(b) Each Electric Utility may develop forms that substantially meet the criteria set forth in section (a)(2) of this section, and make such forms available to customers within its service territory for purposes of providing the information necessary to include a Customer in the CRS Exemption Queue. The Commission shall approve any Electric Utility forms and modifications to such forms at least 30 days prior to any formal use of the forms by the Electric Utility.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216, 25216.5, 25301 and 25320, Public Resources Code.

§ 1395.3. Process for Assessing Eligibility for CRS Exemptions, and Reporting Requirements.

(a) The Customer shall submit a Form to the Electric Utility and the Commission.

(b) The Electric Utility shall:

(1) Conduct an initial review and determine whether the Form is complete.

(A) If the Form is incomplete, the Electric Utility shall notify the Customer within 10 calendar days after receipt of the Form that additional information is needed to process the request for a CRS Exemption. The notification shall indicate which portion(s) of the Form require supplemental information.

(B) If the Form is complete, then the Electric Utility shall within 10 calendar days after receipt of the Form:

1. Provisionally categorize each project;

2. Identify the conditions that must be met to receive final project categorization; and

3. Transmit the completed Form with provisional project categorization to the Commission, with a copy to the Customer serving as official notification.

(2) Automatically grant Full CRS Exemptions, if the Customer is:

(A) Eligible for participation in the CPUC's Self Generation Incentive Program up to 1 megawatt;

(B) Eligible for participation in the Commission's Renewable Energy Program up to 1 megawatt; or

(C) A Net Energy Metering Customer.

(3) Send the Commission and the Customer confirmation in writing of the Full CRS Exemption granted within 10 calendar days from issuance of the automatic exemption. The Commission shall incorporate the CRS Exemption into the queuing process for purposes of tracking the appropriate megawatt cap.

(c) Upon receipt of a completed Form with provisional project categorization from the Electric Utility, the Commission shall:

(1) Review the completed Form and assess whether the Customer is eligible for a CRS Exemption and if there is space available under the appropriate Megawatt Cap.

(2) Make the initial assessment of eligibility based on the information provided. This initial assessment shall be designated to the appropriate Commission Committee assigned to matters concerning distributed generation or departing load.

(3) Not include in the Queue any CRS Exemption request that is considered Backup Generation or diesel-fired Customer Generation, as these forms of generation do not qualify for a CRS Exemption.

(4) Not include in the queue a CRS Exemption request if the Customer does not meet the criteria outlined in section (d) of this section. If the Commission does not include a CRS Exemption request in the Queue it shall provide written notification to the Customer and the Electric Utility within 10 calendar days of rejecting the request.

(5) Place all qualifying Customers within the Queue. Customers that qualify for an exemption are those placed in the Queue within the appropriate Megawatt Cap as determined by the CPUC.

(d) The Commission shall place all Customers in the Queue based on technology categorization, and date of Form submittal. The Commission shall assess whether a Partial CRS Exemption for each Customer submitting a Form should be in included in the Queue based on either the nameplate rating or estimated annual Departing Load. The amount of Departing Load and categorization will be utilized in maintaining an accurate account of available Megawatts in the Queue. The categorization of technology type is as follows:

(1) Ultra Clean and Low-Emissions Distributed Generation Over One Megawatt.

(2) Other Customer Generation not qualifying under (d)(1) of this section, subject to meeting air district BACT standards and the following megawatt caps:

(A) 600 megawatts by the end of 2004, of which 10 megawatts are reserved for University of California or the California State University System;

(B) 500 additional megawatts by July of 2008, of which 80 megawatts are reserved for University of California or the California State University System; and

(C) 400 additional megawatts thereafter, of which 75 megawatts are reserved for University of California or the California State University.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216, 25216.5, 25301 and 25320, Public Resources Code.

§ 1395.4. CRS Exemption Queue and Procedures for Updating the Queue.

(a) A CRS Exemption Queue (Queue) shall be established by the Commission and be based on a first-come, first-served basis, utilizing the criteria outlined in Section 1395.3 and the information provided in the Form. Forms shall be date-stamped upon receipt by the Commission.

(b) The Commission shall maintain the Queue in electronic format with aggregated totals posted on the Commission website. The Commission website will list general information about each request including the size of the exemption, technology type and general location. The identification and specific location of a Customer applying for a CRS Exemption shall be deemed confidential.

(c) The Commission shall track all Forms and assess Customer eligibility for a CRS Exemption. Once eligibility is established, the Commission shall place the Customer request in the CRS Exemption Queue, subject to the applicable Megawatt Cap.

(1) If the Customer request falls within the Megawatt Cap:

(A) The Commission will notify the Electric Utility and the Customer within 10 calendar days of placing the Customer in the Queue.

(B) The Commission will notify the Customer of rank within the Queue and whether the Customer will receive a Partial CRS Exemption.

(C) The Customer will have 12 months from the date of placement in the Queue to interconnect with the grid. If the Customer does not believe it will be able to connect within the 12-month timeframe, then it must submit a Development Plan (Plan) to the Commission in order to demonstrate that the Customer is actively progressing in the permitting and/or construction of the project. The Commission may request additional information after the initial 12-month period to ensure continuing active progress by the Customer in conformance with the Development Plan.

(2) If the Customer request does not fall within the Megawatt Cap, the Commission will:

(A) Notify the Electric Utility and Customer that the request does not fall within the Megawatt Cap; and

(B) Place the Customer request in the Queue ranked in order of receipt.

(d) The Commission will update the Queue weekly in order to ensure timely and efficient Customer access to CRS Exemption information. In doing so the Commission shall:

(1) Remove CRS Exemption requests if a Customer does not commence operation within 12 months from the date a CRS Exemption request is placed in the Queue, if the Customer does not demonstrate sufficient compliance with a Plan submitted to the Commission at the time the exemption is listed in the Queue, or if the Customer otherwise ceases to meet the requirements for a CRS Exemption.

(2) Incorporate any changes to the Megawatt Cap as deemed appropriate.

(e) The Electric Utility shall notify the Commission when an eligible Customer commences operation of its generating facilities.

(f) The Commission shall develop a monitoring process in order to ensure that information provided in the Queue will help accurately assess the amount and type of Customer Generation being deployed in the Electric Utility service territories. The Commission will develop monitoring procedures to ensure Customer Generation continues to meet the requirements for exemption once listed in the Queue, and to ensure that the utilities are complying with provisions of these regulations in a timely manner.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216, 25216.5, 25301 and 25320, Public Resources Code.

§ 1395.5. Extension Requests, Other Substantive Changes, and Requests to Evaluate Additional Information.

(a) Substantive changes require prior notice to the appropriate Commission Committee and will be considered if requested in writing. Each request must describe the need for the change or extension of time, and must document the following:

(1) Circumstances beyond the control of the Customer that prevent the system from commencing operation as described in the Form.

(2) The Customer had no knowledge or reason to know that the commencement of operation would not occur until after the requested date stated in the Form.

(3) There are no other known obstacles in the way of completing the project within the requested extension period.

(b) Any request for extension of time must be based on good cause and demonstrate circumstances beyond the control of the Customer, unless the Customer provided a Plan to the Commission at the time the Departing Load was listed in the Queue.

(c) Customers that disagree with the Commission's assessment of categorization may request a re-evaluation of the information provided in the Form, or submit additional information to supplement or clarify information provided in the Form for purposes of requesting a re-categorization of the Customer's placement in the Queue.

(d) Any request for extension of time or re-evaluation of categorization must be filed at least 30 days prior to the expiration of the Customer's place in the Queue, or 30 days from notification of the Customer's categorization within the Queue.

(e) The Commission shall notify the Customer of its final assessment in writing within 30 days from the receipt of the request for an extension of time or re-categorization. The Customer will not be removed from the Queue until a final assessment by the Commission has been made pursuant to this section.

Note: Authority cited: Sections 25213 and 25128(e), Public Resources Code. Reference: Sections 25216, 25216.5, 25301 and 25320, Public Resources Code.

§ 1395.6. Incorporation of Information and Impacts of CRS and CRS Exemptions into IEPR.

(a) The Commission shall utilize information received by Customers, the Electric Utilities, and the Queue to assess impacts of CRS on deployment of Customer Generation, grid reliability, air quality, and the environment.

(b) The assessments and forecasts made pursuant to subsection (a) of this section shall be incorporated into the Commission's IEPR along with any recommendations as to the benefits or detriments of CRS and CRS Exemptions to statewide energy resource planning, including progress or implementation of the Distributed Generation Strategic Plan adopted by the Commission in June 2002.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216, 25216.5, 25301 and 25320, Public Resources Code.

Chapter 4. Energy Conservation

Article 1. Energy Building Regulations

§ 1401. Scope.

Note: Authority cited: Sections 25402 and 25402.1, Public Resources Code. Reference: Sections 25402 and 25402.1, Public Resources Code

§ 1402. Definitions.

Note: Authority cited: Sections 25402 and 25402.1, Public Resources Code. Reference: Sections 25402 and 25402.1, Public Resources Code.

§ 1403. Permit, Certificate, Informational, and Enforcement Requirements for Designers, Installers, Builders, Manufacturers, and Suppliers.

Note: Authority cited: Section 25402, Public Resources Code. Reference: Section 25402, Public Resources Code.

§ 1404. Exceptional Designs.

See Section 1409 for approval of calculation methods and Alternative Component Packages.

Note: Authority cited: Sections 25402 and 25402.1, Public Resources Code. Reference: Sections 25402 and 25402.1, Public Resources Code.

§ 1405. Enforcement by the Commission.

Note: Authority cited: Section 25402.1, Public Resources Code. Reference: Section 25402.1, Public Resources Code.

§ 1406. Locally Adopted Energy Standards.

Note: Authority cited: Section 25402.1, Public Resources Code. Reference: Section 25402.1 Public Resources Code.

§ 1407. Interpretations.

Note: Authority cited: Section 25402.1, Public Resources Code. Reference: Section 25402.1, Public Resources Code.

§ 1408. Exemption.

Note: Authority cited: Section 25402.1, Public Resources Code. Reference: Section 25402.1, Public Resources Code.

§ 1409. Calculation Methods and Alternative Component Packages.

Note: See Section 1404 for approval of exceptional designs.

Note: Authority cited: Section 25402.1, Public Resources Code. Reference: Section 25402.1, Public Resources Code.

§ 1410. Procedures for Consideration of Applications Under Sections 1404, 1406, 1408, and 1409.

Note: Authority cited: Section 25402.1, Public Resources Code. Reference: Section 25402.1, Public Resources Code.

Article 2. Nonresidential Building Standards

§ 1451. Energy Insulation Standards for Nonresidential Buildings.

Note: Authority cited: Sections 25213, 25218(e), Public Resources Code. Reference: Section 25402(a), Public Resources Code; Sections 19878-19878.8, Health and Safety Code.

Article 3. Standards For Insulating Material

§ 1551. Application and Scope.

The provisions of this article shall apply only to urea formaldehyde foam (field applied) and the insulation levels required when insulation is installed in existing buildings.

Note: Authority cited: Sections 25910, 25911, Public Resources Code. Reference: Sections 25910, 25911, Public Resources Code.

§ 1552. Definitions.

For purposes of this article, the following definitions shall apply:

(a) "ANSI" means the American National Standards Institute.

(b) "ASTM" means the American Society for Testing and Materials.

(c) "Insulating material" or "insulation" means any material listed in Section 1551(b) of this article and placed within or contiguous to a wall, ceiling, roof, or floor of a room or building, or contiguous to the surface of any appliance or its intake or outtake mechanism, for the purpose of reducing heat transfer or reducing adverse temperature fluctuations of the building room or appliance.

(d) "Manufacturer" means any person who either:

(1) produces insulating material in the final composition either for use in the form sold or to be further dimensionally modified; or

(2) in the case of polyurethane, polyisocyanurate and urea formaldehyde foam formed at the installation site, produces the primary components of the material.

"Manufacturer" shall not include any building contractor or any other person whose sole activity is to install insulation at the installation site.

(e) "Urea formaldehyde foam" means a cellular plastic insulation material generated in a continuous stream by mixing the components which are a urea formaldehyde resin, air and a foaming agent.

Note: Authority cited: Sections 25910, 25911, Public Resources Code. Reference: Sections 25910, 25911, Public Resources Code.

§ 1553. Urea Formaldehyde Foam Field Applied.

(a) Limitation on Sale. Urea formaldehyde foam is unsafe for use as insulation. Sale within the State of California of urea formaldehyde foam insulation is prohibited.

(b) Exemption. Notwithstanding any other provision of this article, a manufacturer of the primary components of urea formaldehyde foam insulation may apply for certification as provided in Section 1555 of this article. Such certification statement shall indicate compliance with the following standards:

(1) Composition. The material shall consist of cellular plastic generated in a continuous stream by mixing the components which are a urea formaldehyde resin, air, and a foaming agent. The material shall be suitable for filling closed cavities through small holes and suitable also for filling open cavities by trowelling during foaming prior to enclosure.

(2) Thermal Performance. The effective thermal performance, incorporating a derating value, shall be determined according to the method described in 42 Fed. Reg. pages 55143-55148.

(3) Resistance to Combustion. Surface burning characteristics shall be determined according to the ANSI/ASTM E84-79, and shall not exceed the following values:

Flame spread.....25

Smoke developed..... 450

Test specimens shall be aged for 45 days at 70° ± 5° and 35 to 40 percent relative humidity before testing.

(4) Free Formaldehyde Content of Dry Foam. The free formaldehyde content of the dry foam shall be less than 0.01 percent formaldehyde by weight when tested as specified in paragraph (f)(8), published in 45 Fed. Reg. page 63801, except that the specimens to be tested shall also be aged for 56 days at 24 ± 5°C (75 ± 10°F) and 50 ± 10 percent relative humidity in an uncovered beaker.

(5) Corrosiveness. The material shall be tested and meet the criteria for corrosiveness as specified in 45 Fed. Reg. pages 63786-63810.

(6) Density. The material shall be tested and meet the criteria for density as specified in 45 Fed. Reg. pages 63786-63810.

(7) Shrinkage. The material shall be tested and meet the criteria for shrinkage as specified in 45 Fed. Reg. pages 63786-63810, except that the material shall not shrink more than 2.0 percent in any direction.

(8) Volume Resistivity. The material shall be tested and meet the criteria for volume resistivity as specified in 45 Fed. Reg. 63786-63810.

(9) Identification. Resin and foaming agent containers shall be marked with conditions of proper storage and the derated R-value and shrinkage of the prepared foam as certified by the manufacturer.

(10) Safety Information. Installers of urea formaldehyde foam insulation shall present the following safety notice to the purchasers of the foam prior to the signing of the contract for installation. The notice shall be printed in a minimum of 8-point type size. One copy of the notice signed by the purchaser shall be immediately given to the purchaser, one copy shall be retained by the installer, and one copy shall be mailed by the installer to the Executive Director of the Energy Commission within 48 hours after installation of the insulation is completed.

Manufacturers shall make all sales of urea foam insulation components expressly subject to the application restrictions listed in the notice described in the following figure ("Urea Formaldehyde Foam Insulation Safety Notice”).

UREA FORMALDEHYE FORM INSULATION SAFETY NOTICE

The Federal Panel on Formaldehyde has concluded that formaldehyde should be presumed to pose a carcinogenic (cancer) risk for humans. Formaldehyde gas may also cause eye, nose, and throat irritation, coughing, shortness of breath, skin irritation, nausea, headaches, and dizziness. People with respiratory problems or allergies may suffer more serious reactions, especially people allergic to formaldehyde. Women who are pregnant or planning to become pregnant should not be exposed to this product.

The symptoms may appear immediately, or not until months after installation.

This product may release formaldehyde gas into your home or building over a long period of time. In some instances the formaldehyde gas cannot be controlled by ventilation or other means. Application of this product is restricted to exterior sidewalls in both residential and commercial/industrial buildings. A four mil thickness plastic polyethylene vapor barrier, or equivalent plastic sheeting vapor barrier, shall be installed between the urea formaldehyde foam insulation and the interior space of the home or building in all applications.

If you have health concerns, call your doctor. Also, call the installer or manufacturer of the material.

(PLEASE PRINT OR WRITE LEGIBLY)

PURCHASER NAME OR NAMES _____

PURCHASER ADDRESS _____ CITY _____ ZIP _____

PURCHASERS PHONE NUMBER Home ( ) _____ Work ( ) _____

LOCATION OF INSTALLATION IF DIFFERENT FROM ABOVE

LOCATION ADDRESS _____ CITY _____ZIP _____

The Purchaser acknowledges he or she has read and understands this notice.

Signed X _____ Date _____

Signed X _____ Date _____

THE FOLLOWING INFORMATION IS TO BE COMPLETED BY THE INSTALLING CONTRACTOR

CONTRACTOR'S NAME _____

CONTRACTOR'S ADDRESS _____ CITY _____ ZIP _____

CONTRACTOR'S STATE LICENSE NUMBER _____

NAME OF MANUFACTURER _____

MANUFACTURER'S ADDRESS _____ CITY _____ ZIP _____

MANUFACTURER'S PHONE NUMBER ( ) _____

TEMPERATURE OF OUTSIDE AIR AT START OF INSTALLATION_____°F

	BATCH NUMBER	EXPIRATION DATE	TEMPERATURE (START OF INSTALLATION)
RESIN	_____	_____	_____°F
FOAMING AGENT	_____	_____	_____°F

STEPS THE INSTALLING CONTRACTOR MUST FOLLOW

1. The installing contractor is responsible for mailing this completed notice to the following address within 48 hours after completion of installation.

Mail one copy to:

EXECUTIVE DIRECTOR, MS #39
CALIFORNIA ENERGY COMMISSION
1516 NINTH STREET
SACRAMENTO, CA 95814

2. Give one copy to the Purchaser.
3. The installing contractor shall keep one copy of this completed notice for a period of not less than three years.

(c) Severability of Provisions. If any provision of Section 1553(a) or 1553(b), or the application thereof to any person or circumstances, is held invalid, the remaining provisions, or the application of such provisions to other persons or circumstances, shall not be affected thereby.

Note: Authority cited: Section 25911, Public Resources Code. Reference: Section 25911, Public Resources Code.

§ 1554. Approval of Testing Laboratories.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Sections 25915(a) and 25921, Public Resources Code.

§ 1555. Certification.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Sections 25921 and 25921.1, Public Resources Code.

§ 1556. Quality Assurance.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25921.1, Public Resources Code.

§ 1557. Identification.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25921, Public Resources Code.

§ 1558. Inspections.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25926, Public Resources Code.

§ 1559. Performance Tests.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25926, Public Resources Code.

§ 1560. Costs of Inspection and Testing.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25926, Public Resources Code.

§ 1561. Enforcement.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25931, Public Resources Code.

§ 1562. Release of Information.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Sections 25223 and 25921.1, Public Resources Code.

§ 1563. Liability.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Sections 25926 and 25931, Public Resources Code.

§ 1564. Insulating Existing Buildings.

(a) On or after March 25, 1982, if insulating material is installed in an existing building, in any of the applications specified in California Administrative Code, Title 24, Section 2-5305, the installing contractor shall certify that the amount of insulation installed meets or exceeds the requirements of Section 2-5305 for that application. Such certification shall be made on completion of the installation by posting in a conspicuous location a certificate signed under penalty of perjury. The certificate shall state the manufacturer's name and material identification, the thermal resistance (R-value) of the newly installed insulation, the estimated R-value of the original insulation, the total R-value, and (in application of loose fill insulation) the minimum contractor installed weight per square foot. This installed weight per square foot shall conform with the manufacturer's installed design density per square foot at the manufacturer's labeled R-value.

(b) Water Heater Insulation Kits. No water heater insulation kit shall be sold, on or after March 25, 1982, unless it has a thermal resistance of at least R-6 and is so identified.

Each water heater insulation kit sold shall include instructions which are equivalent to the Department of Energy standard practice for the installation of insulation on gas-fired, oil-fired, and electric resistance water heaters, 44 Fed. Reg. pages 64703-64705.

Note: Authority cited: Section 25910, Public Resources Code. Reference: Section 25910, Public Resources Code.

§ 1565. Interpretation.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Sections 25920 and 25922, Public Resources Code.

Article 4. Appliance Efficiency Regulations

§ 1601. Scope.

This Article applies to the following types of new appliances, if they are sold or offered for sale in California, except those sold wholesale in California for final retail sale outside the state and those designed and sold exclusively for use in recreational vehicles, or other mobile equipment. Each provision applies only to units manufactured on or after the effective date of the provision.

Note: For the applicability of these regulations to appliances installed in new building construction, see Sections 110 and 111 of Part 6 of Title 24 of the California Code of Regulations.

(a) Refrigerators, refrigerator-freezers, and freezers that can be operated by alternating current electricity, including but not limited to refrigerated bottled or canned beverage vending machines, automatic commercial ice-makers, refrigerators with or without doors, freezers with or without doors, walk-in refrigerators, walk-in freezers, and water dispensers, but excluding the following types:

(1) consumer products with total refrigerated volume exceeding 39 ft^3;

(2) commercial refrigerators, commercial refrigerator-freezers, and commercial freezers with total refrigerated volume exceeding 85 ft^3; except that walk-in refrigerators and walk-in freezers are not excluded.

(3) blast chillers; and

(4) automatic commercial ice makers with a harvest rate less than 50 lbs./24 hours and automatic commercial ice makers with a harvest rate greater than 2500 lbs./24 hours.

(b) Room air conditioners, room air-conditioning heat pumps, packaged terminal air conditioners, and packaged terminal heat pumps.

(c) Central air conditioners, which are electrically-powered unitary air conditioners and electrically-powered unitary heat pumps, except those designed to operate without a fan; and gas-fired air conditioners and gas-fired heat pumps.

(d) Spot air conditioners, evaporative coolers, ceiling fans, whole house fans, and residential exhaust fans.

(e) Vented gas space heaters and vented oil space heaters, vented and unvented infrared gas heaters, and gas-fired combination space-heating and water-heating appliances.

Note: See Health and Safety Code Section 19881 for restrictions on the sale of unvented gas space heaters and unvented oil space heaters.

(f) Water heaters, including but not limited to hot water supply boilers.

(g) Gas pool heaters, oil pool heaters, electric resistance pool heaters, heat pump pool heaters, residential pool pumps, and portable electric spas.

(h) Plumbing fittings, which are showerheads, lavatory faucets, kitchen faucets, metering faucets, replacement aerators, wash fountains, tub spout diverters, and commercial pre-rinse spray valves.

(i) Plumbing fixtures, which are water closets and urinals.

(j) Fluorescent lamp ballasts that are designed to (1) operate at nominal input voltages of 120 or 277 volts, (2) operate with an input current frequency of 60 Hertz, and (3) be used with T5, T8, or T12 lamps.

(k) Lamps, which are federally-regulated general service fluorescent lamps, federally-regulated incandescent reflector lamps, and state-regulated general service incandescent lamps.

(l) Emergency lighting, which is illuminated exit signs.

(m) Traffic signal modules and traffic signal lamps.

(n) Luminaires, which are torchieres, metal halide luminaires, and under-cabinet luminaires.

(o) Dishwashers that are federally-regulated consumer products.

(p) Clothes washers that are federally-regulated consumer products; and commercial clothes washers.

(q) Clothes dryers that are federally-regulated consumer products.

(r) Cooking products that are federally-regulated consumer products; and food service equipment.

(s) Electric motors, excluding definite purpose motors, special purpose motors, and motors exempted by the U.S. Department of Energy under 42 U.S.C. Section 6313(b).

(t) Low voltage dry-type distribution transformers that are designed to operate at a frequency of 60 Hertz, and that have a rated power output of not less than 15 kVa.

(u) Power supplies, which are single voltage external AC to DC and AC to AC power supplies included with other retail products, and single voltage external AC to DC or AC to AC power supplies sold separately; and consumer audio and video equipment, which are televisions, compact audio products, digital versatile disc players, digital versatile disc recorders, and digital television adapters.

Note: Authority cited: Sections 25213, 25218(e), 25402(a)-(c), 25553(b) and 25960, Public Resources Code. Reference: Sections 25216.5(d), 25402(a)-(c), 25553(b) and 25960, Public Resources Code.

§ 1602. Definitions.

(a) General.

In this Article the following definitions apply. If a term is not defined here, the applicable definition in NAECA, EPAct, or the test methods listed in Section 1604 shall apply where it is reasonable to do so.

"AC" means alternating current.

"Accessible place" means a place on an appliance that can be easily seen without the need for tools to remove any covering.

"AHAM" means the Association of Home Appliance Manufacturers.

"ANSI" means the American National Standards Institute.

"Approved industry certification program" means an appliance certification program that the Executive Director has determined, pursuant to Section 1603(b):

(1) is operated by an appliance manufacturer trade association or other entity approved by the Executive Director;

(2) is accredited by ANSI or ISO, or has received from a nationally-recognized entity an approval that provides substantially similar guarantees of substantive and procedural reliability and accuracy; and

(3) provides:

(A) an internet-accessible listing of appropriate energy performance information that is updated at least every 6 months;

(B) testing of appliances according to applicable test methods and accurate reporting of test results;

(C) listings that:

1. include no appliance not meeting an applicable federal standard,

2. clearly and distinctly indicate which appliances meet the applicable federal standard but do not meet an applicable California standard, which shall be identified, and

3. where there is no federal standard, clearly and distinctly indicate which appliances do not meet an applicable California standard which shall be identified; and

(D) verification of manufacturer-submitted data;

(E) an appropriate procedure for program participants to challenge listed information; and

(F) compatibility with the database described in Section 1606(c).

"ARI" means the Air-Conditioning and Refrigeration Institute.

"ASHRAE" means the American Society of Heating, Refrigerating and Air-Conditioning Engineers.

"ASME" means the American Society of Mechanical Engineers, International.

"Ballast" means a device used with an electric discharge lamp to obtain necessary circuit conditions (voltage, current and waveform) for starting and operating.

"Ballast efficacy factor" means the ratio of the relative light output to the power input of a fluorescent lamp ballast, as determined using the applicable test method in Section 1604(j).

"Basic model" of a federally-regulated consumer product means "basic model" as defined in 10 CFR Section 430.2 (2005). "Basic model" of any other appliance means all units of a given type of appliance (or class thereof) that are manufactured by one manufacturer, that have the same primary energy source, and that do not have any differing electrical, hydraulic, physical, or functional characteristics that affect energy consumption.

"Btu" means British thermal unit.

"°C" means degrees Celsius.

"cfm" means cubic feet per minute.

"CFR" means Code of Federal Regulations.

"Commission" means the California Energy Commission.

"Consumer product" means any article of a type which, to any significant extent, is distributed in commerce for personal use or consumption by individuals.

"CSA" means CSA International, which is also known as Canadian Standards Association International.

"Database" means the database established pursuant to Section 1606(c).

"Date of sale" means the day when the appliance is physically delivered to the buyer.

"DC" means direct current.

"Design standard" means a prescriptive standard, such as a ban on constant burning pilots or a requirement that a clothes washer have a particular feature.

"Directory" means a directory, a supplement thereto, or a part of a directory or supplement.

"Electric resistance heating" means the production of heat by passing electric current through a resistive element.

"Energy efficiency standard" means a performance standard expressed in numerical form, such as energy factor, EER, or thermal efficiency.

"EPAct" means the Energy Policy Act of 1992, 42 U.S.C. Section 6311 et seq.

"Executive Director" means the Executive Director of the Commission or his or her designee.

“°F" means degrees Fahrenheit.

"Federally-regulated appliance" means an appliance that is federally-regulated commercial and industrial equipment or a federally-regulated consumer product.

"Federally-regulated commercial and industrial equipment" means commercial and industrial equipment for which there exists a test method and an energy conservation standard prescribed by or under EPAct.

"Federally-regulated consumer product" means a consumer product for which there exists a test method and an energy conservation standard prescribed by or under NAECA.

"FSTC" means Pacific Gas and Electric Company's Food Service Technology Center.

"Gallon (g)" means U.S. liquid gallon.

"GAMA" means the Gas Appliance Manufacturers Association.

"Gas" means natural gas or liquefied petroleum gas.

"gpm" means gallons per minute.

"HI" means the Hydraulic Institute.

"HI-G" means the Hydronics Institute - Division of GAMA.

"IAPMO" means the International Association of Plumbing and Mechanical Officials.

"Identifiers", when referenced in relation to Table V data submittal requirements, means those fields shown in Table V for each specific appliance type that, when taken in combination for a specific model of a specific appliance type, represent the criteria for designating a model. At a minimum, each specific appliance type's model "identifiers" will include (a) manufacturer, (b) brand, and (c) model number. Individual appliance types may include additional fields as identifiers. All identifiers are represented in Table V by an asterisk ("*"). For purposes of compliance with Section 1606(e)(1), the identifiers represent fields that cannot be modified.

"ISO" means the International Organization for Standardization.

"kW" means kilowatt.

"kWh" means kilowatt-hour.

"LPG" means liquefied petroleum gas.

"Luminaire" means a complete lighting unit consisting of a lamp or lamps together with the parts designed to distribute the light, to position and protect the lamps and to connect the lamps to the power supply.

"Manufacturer" means any person engaged in the original production or assembly of an appliance. For plumbing fittings, federally-regulated general service fluorescent lamps, federally-regulated incandescent reflector lamps, and state-regulated general service incandescent lamps, "manufacturer" also means a private brand packager or reassembler.

"Model" means any collection of appliance units to which the manufacturer has assigned the same model number.

"Model number" means a combination of letters, digits, or characters representing the manufacturer, brand, design, or performance of an appliance.

"NAECA" means the National Appliance Energy Conservation Act, 42 U.S.C. Section 6291 et seq.

"NEMA" means the National Electrical Manufacturers Association.

"Non-federally-regulated appliance" means an appliance that is neither federally-regulated commercial and industrial equipment nor a federally-regulated consumer product.

"NSF International" means the National Sanitation Foundation, International.

"Other mobile equipment" means transportation machinery including but not limited to cars, trucks, trains, airplanes, boats, and buses, but excluding mobile homes and manufactured homes.

"Ozone-depleting substance" means any substance that has been found by the United States Environmental Protection Agency to act as a catalyst in the breaking down of ozone, O_3, into molecular oxygen, O_2.

"Performance standard" means a standard that specifies a minimum level of energy or water efficiency or a maximum level of energy or water consumption of an appliance.

"Private brand packager" means any person or entity that buys products from a manufacturer, packages them using its own brand name, and distributes them for sale using its own brand name.

"Reassembler" means any person or entity that buys products from a manufacturer, modifies them, and distributes them for sale using its own brand name.

"Recreational vehicle" means a van or utility vehicle used for recreational purposes.

"Statement," as used in Section 1606, means a single and complete line of data for a specific model and end-use, containing all the data required in Table V for that appliance type.

"UL" means Underwriters Laboratories, Inc.

"U.S.C." means the United States Code.

(b) Refrigerators, Refrigerator-Freezers, and Freezers.

"Automatic commercial ice-maker" means a factory-made assembly that is shipped in one or more packages that consists of a condensing unit and ice-making section operating as an integrated unit, that makes and harvests ice, and that may store or dispense ice.

"Automatic defrost system" means a defrost system in which the defrosting action for refrigerated surfaces is initiated and terminated automatically.

"Blast chiller" means a refrigerator designed to cool food products from 140° F to 40° F within four hours.

"Bottle-type water dispenser" means a water dispenser that uses a bottle or reservoir as the source of potable water.

"Buffet table" means a commercial refrigerator, such as a salad bar, that is designed with mechanical refrigeration and that is intended to receive refrigerated food, to maintain food product temperatures, and for customer service.

"Chest freezer" means a freezer to which access is gained through a top-opening door.

"Commercial freezer" means a freezer that is not a federally-regulated consumer product.

"Commercial refrigerator" means a refrigerator that is not a federally-regulated consumer product.

"Commercial refrigerator-freezer" means a refrigerator-freezer that is not a federally-regulated consumer product and that has one or more sources of refrigeration requiring an energy input.

"Compact freezer" means a freezer that has total volume less than 7.75 ft^3 rated volume, as determined using 10 CFR, Part 430, Appendix B1 of Subpart B (2005), and that is 36 inches or less in height.

"Compact refrigerator" means a refrigerator that has total volume less than 7.75 ft^3 rated volume, as determined using 10 CFR, Part 430, Appendix A1 of Subpart B (2005), and that is 36 inches or less in height.

"Compact refrigerator-freezer" means a refrigerator-freezer that has total volume less than 7.75 ft^3 rated volume, as determined using 10 CFR, Part 430, Appendix A1 of Subpart B (2005), and that is 36 inches or less in height.

"Cube ice" means ice manufactured in small cubes or regular pieces.

"Drawer unit" means a residential refrigerator, residential freezer, or residential refrigerator-freezer, one or more of whose externally-accessed compartments are drawers.

"Flake ice" means ice produced by freezing a thin layer of water on a refrigerated cylinder and removing by a scraper.

"Freezer" means a cabinet that is designed as a unit for the freezing and storage of food, beverages, or ice at temperatures of 0° F or below and that has a source of refrigeration requiring an energy input.

"Freezer compartment" means a compartment designed for the freezing and storage of food, beverages, or ice at temperatures below 8° F.

"Freezer volume" means net freezer compartment volume as defined in ANSI/AHAM HRF1-1979.

"Ice cream cabinet" means a reach-in cabinet commercial freezer that has top, or top and side, doors that are hinged or sliding and that is designed for the storage or dispensing of ice cream or similar foods.

"Integrated average product temperature" means the integrated average of all test package temperatures as determined using the applicable test method in Section 1604(a).

"Internal freezer refrigerator" means a refrigerator that includes a compartment contained within the refrigerator cabinet that is designed for the short-term storage of food at temperatures below 32° F.

"Kitchen unit" means a compact refrigerator, with or without an internal freezer, integrated with other appliances or facilities, including but not limited to microwave ovens, sinks, and electric cooktops.

"LPW" means "average lamp efficacy (LPW)" as defined in Section 1602(k).

"Manual defrost system" means a defrost system in which the defrosting action for refrigerated surfaces is initiated or terminated manually.

"Milk, beverage, and ice cream cabinet" means a reach-in cabinet commercial refrigerator-freezer that has top, or both top and side, doors that are hinged or sliding and that is designed for the storage or dispensing of milk or other beverages, and ice cream or similar foods.

"Milk or beverage cabinet" means a reach-in cabinet commercial refrigerator that has top, or both top and side, doors that are hinged or sliding and that is designed for the storage or dispensing of milk or other beverages.

"Non-commercial freezer" means (1) a freezer that is a federally-regulated consumer product or (2) a freezer exceeding 30 ft^3 but not exceeding 39 ft^3 that is a consumer product.

"Non-commercial refrigerator" means a refrigerator that is a federally-regulated consumer product or a wine chiller that is a consumer product.

"Non-commercial refrigerator-freezer" means a refrigerator-freezer that is a federally-regulated consumer product.

"Partial automatic defrost system" means a defrost system in which the defrosting action for refrigerated surfaces in the refrigerator compartment is initiated and terminated automatically and the defrosting action for refrigerated surfaces in the freezer is initiated manually.

"Pass-through cabinet" means a commercial refrigerator or commercial freezer with hinged or sliding doors on both front and rear of the refrigerator or freezer.

"Point of use water dispenser" means a water dispenser that uses a pressurized water utility connection as the source of potable water.

"Preparation table" means a commercial refrigerator with a countertop refrigerated compartment with or without cabinets below, and with self-contained refrigeration equipment.

"Reach-in cabinet" means a commercial refrigerator, commercial refrigerator-freezer, or commercial freezer with hinged or sliding doors or lids, but excluding roll-in or roll-through cabinets and pass-through cabinets.

"Refrigerated bottled or canned beverage vending machine" means a commercial refrigerator that cools bottled or canned beverages and dispenses them upon payment.

"Refrigerated multi-package beverage vending machine" means a refrigerated beverage vending machine that is able to display and dispense at least 20 discrete types of beverages.

"Refrigerator" means a cabinet that is designed for the refrigerated storage of food, including but not limited to solid food and wine, beer, and other beverages, at temperatures above 32° F, and that has a source of refrigeration requiring an energy input. It may include a compartment for the freezing and storage of food at temperatures below 32° F, but it does not provide a separate low temperature compartment designed for the freezing and storage of food at temperatures below 8° F.

"Refrigerator compartment" means a compartment designed for the refrigerated storage of food, including but not limited to solid food and wine, beer, and other beverages, at temperatures above 32° F.

"Refrigerator volume" means fresh food compartment volume as defined in ANSI/AHAM HRF1-1979.

"Refrigerator-freezer" means a cabinet that

(1) consists of two or more compartments with at least one of the compartments designed for the refrigerated storage of food, including but not limited to solid food and wine, beer, and other beverages, at temperatures above 32° F;

(2) has at least one of the compartments designed for the freezing and storage of food or ice at temperatures below 8° F that may be adjusted by the user to a temperature of 0° F or below; and

(3) has a source of refrigeration requiring an energy input.

"Remote," in reference to any refrigerator, freezer, refrigerator-freezer, reach-in cabinet, pass-through cabinet, roll-in or roll-through cabinet, walk-in refrigerator, or walk-in freezer means an appliance that:

(1) receives refrigerant fluid from a condensing unit located externally to its cabinet assembly; and

(2) is capable of being purchased and installed with different types of compressor or condenser, so that its efficiency depends on the type of compressor or condenser applied by the purchaser, installer, or user.

"Roll-in or roll-through cabinet" means a commercial refrigerator or commercial freezer that allows wheeled racks of product to be rolled into or through the refrigerator or freezer.

"Self-contained freezer" means a freezer that has the condensing unit mounted in or on the freezer cabinet.

"Self-contained refrigerator" means a refrigerator that has the condensing unit mounted in or on the refrigerator cabinet.

"Self-contained refrigerator-freezer" means a refrigerator-freezer that has the condensing unit mounted in or on the refrigerator-freezer cabinet.

"Standard vendible capacity" means the maximum quantity of standard product that can be dispensed from one full loading of a refrigerated bottled or canned beverage vending machine without further reload operations when used as recommended by the manufacturer.

"Total volume" means the sum of refrigerator volume and freezer volume.

"Undercounter cabinet" means a reach-in cabinet commercial refrigerator or reach-in cabinet commercial freezer that has no worktop surface and that is intended for installation under a separate counter.

"Upright freezer" means a freezer to which access is gained through a side-opening door.

"Walk-in freezer" means a space refrigerated to temperatures below 32° F that can be walked into.

"Walk-in refrigerator" means a space refrigerated to temperatures at or above 32° F that can be walked into.

"Water dispenser" means a factory-made assembly that mechanically cools and heats potable water and that dispenses the cooled or heated water by integral or remote means.

"Wine chiller" means a refrigerator designed for the cooling and storage of wine.

"Worktop table" means a counter-height commercial refrigerator or freezer with a worktop surface.

(c) Air Conditioners.

"Air conditioner" means an appliance that supplies cooled air to a space for the purpose of cooling objects within the space.

"Air-cooled air conditioner" means an air conditioner using an air-cooled condenser.

"Air-source heat pump" means an appliance that consists of one or more factory-made assemblies, that includes an indoor conditioning coil, a compressor, and a refrigerant-to-air heat exchanger, and that provides heating and cooling functions.

"Casement-only room air conditioner" means a room air conditioner with an encased assembly designed for mounting in a casement window with a width of 14.8 inches or less and a height of 11.2 inches or less.

"Casement-slider room air conditioner" means a room air conditioner with an encased assembly designed for mounting in a sliding or casement window with a width of 15.5 inches or less.

"Casement window" means a window that opens on hinges at the side.

"Central air conditioner" means an air conditioner that is capable of cooling only by refrigeration and is not a room air conditioner or a packaged terminal air conditioner.

"Central air-conditioning heat pump" means a central air conditioner that is capable of cooling and heating by refrigeration.

"Coefficient of performance (COP)" of a heat pump means the ratio of the rate of useful heat output delivered by the complete heat pump unit (exclusive of supplementary heating) to the corresponding rate of energy input, in consistent units and as determined using the applicable test method in Section 1604(b) or 1604(c).

"Compressor motor nominal horsepower" means the horsepower of a compressor motor as listed on the compressor motor's nameplate.

"Compressor power" means the rate of electrical consumption of a compressor, in watts.

"Computer-room air conditioner" means a central air conditioner specifically designed for use in data processing areas, maintaining an ambient temperature of approximately 72° F and a relative humidity of approximately 52 percent.

"Cooling capacity" means a measure of the ability of an air conditioner to remove heat from an enclosed space, as determined using the applicable test method in Section 1604(b) or 1604(c).

"db" means dry bulb.

"Energy efficiency ratio (EER)" means the cooling capacity of an air conditioner in Btu per hour divided by the total electrical input in watts, as determined using the applicable test method in Section 1604(b) or 1604(c).

"Evaporatively-cooled air conditioner" means an air conditioner whose refrigerating system has an evaporatively-cooled condenser.

"Gas-fired air-conditioner" means an air conditioner which utilizes gas as the primary fuel.

"Gas-fired heat pump" means a heat pump which utilizes gas as the primary fuel.

"Ground source closed-loop heat pump" means an appliance that (1) consists of one or more factory-made assemblies; (2) includes an indoor conditioning coil with air moving means, a compressor, and a refrigerant-to-ground heat exchanger; and (3) provides heating, cooling, or heating and cooling functions.

"Ground water-source heat pump" means an appliance that (1) consists of one or more factory-made assemblies; (2) includes an indoor conditioning coil with air moving means, a compressor, and a refrigerant-to-water heat exchanger; and (3) provides heating, cooling, or heating and cooling functions.

"Heat pump" means an appliance, other than a packaged terminal heat pump, that consists of one or more assemblies; that uses an indoor conditioning coil, a compressor, and a refrigerant-to-outdoor air heat exchanger to provide air heating; and that may also provide air cooling, dehumidifying, humidifying, circulating, or air cleaning.

"Heating seasonal performance factor (HSPF)" means the total heating output of a central air-conditioning heat pump during its normal usage period for heating, divided by the total electrical energy input in watt-hours during the same period, as determined using the applicable test method in Section 1604(c).

"Indoor fan electrical input" means the electrical input required for the operation of an indoor fan, in watts.

"Indoor fan motor nominal horsepower" means the horsepower of an indoor fan motor as listed on the fan motor's nameplate.

"Indoor fan motor type" means the internal construction design of a motor.

"Integrated part load value (IPLV)" means part load efficiency, as determined using the applicable test method in Section 1604(c).

"Outdoor fan electrical input" means the electrical input required for the operation of an outdoor fan, in watts.

"Outdoor fan motor nominal horsepower" means the horsepower of an outdoor fan motor as listed on the fan motor's nameplate.

"Packaged terminal air conditioner" means a wall sleeve and a separate unencased combination of heating and cooling assemblies that (1) is intended for mounting through the wall and (2) includes a prime source of refrigeration, separable outdoor louvers, forced ventilation, and heating availability by hot water, steam, or electric resistance heat.

“Packaged terminal heat pump" means a packaged terminal air conditioner that uses reverse cycle refrigeration as its prime heat source and that has a supplementary heat source of hot water, steam, or electric resistance heat.

"Premium motor" means a premium motor as defined in *NEMA Premium™: Product Scope and Nominal Efficiency Levels (2001).*

"Room air conditioner" means a factory-encased air conditioner that is designed (1) as a unit for mounting in a window, through a wall, or as a console, and (2) for delivery without ducts of conditioned air to an enclosed space.

"Room air-conditioning heat pump" means a room air conditioner that is capable of heating by refrigeration.

"Seasonal energy efficiency ratio (SEER)" means the total cooling output of an air-cooled central air conditioner during its normal annual usage period for cooling, divided by the total electrical energy input in watt-hours during the same period, as determined using the applicable test method in Section 1604(c).

"Single package central air conditioner" means a central air conditioner in which all the major assemblies are enclosed in one cabinet.

"Single package heat pump" means a heat pump in which all the major assemblies are enclosed in one cabinet.

"Space constrained product" means a central air conditioner or heat pump:

(1) that has rated cooling capacities no greater than 30,000 BTU/hr;

(2) that has an outdoor or indoor unit having at least two overall exterior dimensions or an overall displacement that:

(i) are (is) substantially smaller than those of other units that are

(a) currently installed in site-built single family homes, and

(b) of a similar cooling, and, if a heat pump, heating, capacity, and

(ii) if increased, would certainly result in a considerable increase in the usual cost of installation or would certainly result in a significant loss in the utility of the product to the consumer; and

(3) of a product type that was available for purchase in the United States as of December 1, 2000.

"Split system central air conditioner" means a central air conditioner in which one or more of the major assemblies are separate from the others.

"Split system heat pump" means a unitary heat pump in which one or more of the major assemblies are separate from the others in a central air conditioner or a central air conditioning heat pump.

"Standard motor" in a central air conditioner or a central air-conditioning heat pump means a motor that is not a premium motor.

"Thermostatic expansion valve (TXV)" means a refrigerant metering valve, installed in an air conditioner or heat pump, which controls the flow of liquid refrigerant entering the evaporator in response to the super heat of the gas leaving it.

"Unitary air conditioner" means a central air conditioner consisting of one or more factory-made assemblies that include an evaporator or cooling coil and an electrically-driven compressor and condenser combination.

"Unitary heat pump" means a central air conditioning heat pump that consists of one or more factory-made assemblies, including an indoor conditioning coil, a compressor, and an outdoor coil, that provides a heating function, and that may provide a cooling function.

"Water-cooled air conditioner" means an air conditioner whose refrigerating system has a water-cooled condenser.

"Water-source heat pump" means an appliance that (1) consists of one or more factory-made assemblies; (2) includes an indoor conditioning coil, a compressor, and a refrigerant-to-water heat exchanger; and (3) provides heating and cooling functions.

"wb" means wet bulb.

"Year-round air conditioner" means an appliance that contains an air conditioner and a furnace in the same cabinet.

(d) Spot Air Conditioners, Evaporative Coolers, Ceiling Fans, Whole House Fans, and Residential Exhaust Fans.

"Ceiling fan" means a non-oscillating fan that is suspended from a ceiling and that circulates air by the rotation of fan blades no more than 45° from horizontal.

"Cooling efficiency ratio (CER)" means the efficiency of a spot air conditioner obtained by dividing the sum of the cooling capacity and the fan electrical input, both in Btu per hour by the total electrical input in watts, all as determined using the test method specified in Section 1604(d).

"Direct evaporative cooler" means a heat and mass transfer device used to adiabatically cool air passing through the device by the process of evaporating water directly exposed to this air.

"Evaporative cooler" means an appliance that cools indoor air directly or indirectly by evaporation of water. "Evaporative Cooler" does not include portable or spot evaporative coolers.

"Evaporative cooler efficiency ratio (ECER)" means a measure of the cooling efficiency defined in Table D of Section 1604(d).

"Indirect evaporative cooler" means a heat and mass transfer device used to sensibly cool a primary airstream, without addition of moisture, by means of an evaporatively cooled secondary airstream.

"Low-profile ceiling fan" means a ceiling fan where the motor mounts directly to the ceiling and that cannot be mounted using a down-rod.

"Packaged direct evaporative cooler" means a direct evaporative cooler with an air-moving device that includes the entire water distribution, collection, and recirculation system with pump and piping. "Packaged direct evaporative cooler" does not include portable or spot evaporative coolers.

"Packaged indirect evaporative cooler" means an indirect evaporative cooler with integrated or nonintegrated primary and secondary air passages and provided with both primary and secondary air-moving devices. This device also includes the entire water distribution, collection, and recirculation system with pump and piping.

"Packaged indirect/direct evaporative cooler" means a product incorporating both an indirect evaporative cooler and a direct evaporative cooler, and including the entire water distribution, collection, and recirculation system with pump and piping.

"Portable or Spot Evaporative Cooler" means an evaporative cooler that is non-ducted, not designed for permanent installation, and can be plugged into a standard mains outlet.

"Residential exhaust fan" means a permanently installed bathroom, kitchen, or utility room ceiling or wall-mounted exhaust fan. "Residential exhaust fan" does not include the exhaust fans included in microwave/oven hood combination units.

"Spot air conditioner" means an air conditioner that discharges cool air into a space and discharges rejected heat back into that space, where there is no physical boundary separating the discharges.

“Whole house fan” means an exhaust fan that is mounted in the ceiling of a residence that is capable of moving 1,000 cfm or more, and that provides cooling or fresh air.

(e) Gas and Oil Space Heaters.

"Annual fuel utilization efficiency (AFUE)" of a space heater means a measure of the percentage of heat from the combustion of gas or oil that is transferred to the space being heated during a year, as determined using the applicable test method in Section 1604(e).

"Automatic flue damper" means a device intended for installation in the venting system, in the outlet of or downstream of the appliance draft hood, of an individual automatically operated gas-fired appliance and which is designed to automatically open the venting system when the appliance is in operation and to automatically close the venting system when the appliance is in standby.

"Boiler" means a space heater that is a self-contained appliance for supplying steam or hot water primarily intended for space-heating. "Boiler" does not include hot water supply boilers.

"Central furnace" means a self-contained space heater designed to supply heated air through ducts of more than 10 inches length.

"Combination space-heating and water-heating appliance" means an appliance that is designed to provide both space heating and water heating from a single primary energy source.

"Combined annual efficiency (CAE)" means [(SHF x $Effy_{hs}$/100) + (WHF x $Effy_{ss}$/100) + (R x NHF x EF)] divided by [SHF + WHF + (R x NHF)] as defined in the applicable test method in Section 1604(e)(3).

"Combustion efficiency of a space heater" means a measure of the percentage of heat from the combustion of gas or oil that is transferred to the space being heated or lost as jacket loss, as determined using the applicable test method in Section 1604(e).

"Duct furnace" means a space heater designed to be installed within a duct.

"Energy consumption during standby" means the energy consumed by a gas or oil space heater when the main burner is not operating, not including energy consumption related to associated cooling equipment, and reported in watts, based on a conversion factor of 3.412 Btu per watt-hour.

"Fan type gas space heater" means a space heater in which heat is distributed to the surrounding area through the use of an electric fan.

"Floor furnace" means a self-contained, floor-mounted space heater without ducts.

"Floor-mounted unit heater" means a unit heater designed for mounting on the floor rather than suspension mounting.

"Gravity type gas space heater" means a gas space heater in which heat is distributed to the surrounding area as a result of the differences in densities of cooler and warmer air in the surrounding atmosphere.

"High intensity infrared heater" means an infrared gas space heater that has a radiating surface that operates at or above 1,350° F.

"High static unit heater" means a unit heater that has an integral means for the circulation of air against 0.2 inch or greater static pressure.

"Indoor duct furnace" means a duct furnace designed to operate under sheltered conditions.

"Infrared gas space heater" means a gas space heater that directs a substantial amount of its energy output in the form of infrared energy into the area to be heated.

"Low intensity infrared heater" means an infrared gas space heater that has a radiating surface that operates at less than 1,350° F.

"Low static unit heater" means a unit heater that has an integral means for the circulation of air against less than 0.2 inch static pressure.

"Non-packaged boiler" means a boiler that is not a packaged boiler.

"Outdoor duct furnace" means a duct furnace designed to function normally under varying outdoor weather conditions.

"Output" means the rate of useful heat output when operating under steady state conditions.

"Packaged boiler" means a boiler that is shipped complete with heating equipment, mechanical draft equipment, and automatic controls, including factory-built boilers, manufactured as a unit or system, disassembled for shipment, and reassembled at the site.

"Patio heater" means an infrared gas space heater that is designed for warming outdoor areas using radiant heat.

"Portable infrared heater" means a free-standing infrared gas space heater designed with the intent of being moved from one space to another.

"Power venting" means a venting system that uses a motorized blower to vent the products of combustion. A power vent is interlocked with the appliance to ensure that proper draft is achieved before the appliance burner is activated.

"Premium motor" means a premium motor as defined in *NEMA Premium™: Product Scope and Nominal Efficiency Levels (2001).*

"Radiant coefficient" means a measure of efficiency of an infrared heater, as determined using the applicable test method in Section 1604(e).

"Radiant tube-type infrared heater" means a low-intensity infrared gas space heater in which combustion takes place within a tube.

"Room heater" means a free-standing non-recessed space heater.

"Space heater" means an appliance that supplies heat to a space for the purpose of providing warmth to objects within the space.

"Standard motor" of a central gas furnace means a motor that is not a premium motor.

"Standby loss" of a boiler means the sum of the gas used by the pilot (converted to watts), the electricity used by controls, and any other energy used while the boiler is not operating.

"Steam boiler" means a boiler that supplies steam.

"Thermal efficiency" of a space heater means a measure of the percentage of heat from the combustion of gas or oil that is transferred to the space being heated, or in the case of a boiler, to the hot water or steam, as determined using the applicable test methods in Section 1604(e).

"Unit heater" means a self-contained, automatically-controlled, vented fan-type gas space heater designed to be installed without ducts, within the heated space.

"Unvented gas space heater" means a gas space heater designed to be used without a vent.

"Unvented oil space heater" means an oil space heater designed to be used without a vent.

Note: See Health and Safety Code Section 19881 for restrictions on the sale of unvented gas space heaters and unvented oil space heaters.

"Vented gas space heater" means a gas space heater designed to be used with a vent.

"Vented oil space heater" means an oil space heater designed to be used with a vent.

"Wall furnace" means a wall-mounted, self-contained space heater without ducts that exceed 10 inches.

"Water boiler" means a boiler that supplies hot water.

(f) Water Heaters.

"Booster water heater" means a water heater that raises the temperature of the preheated water supplied to the unit typically from 110° F-140° F to 180° F-195° F.

"Energy factor" of a water heater means a measure of overall water heater efficiency, as determined using the applicable test method in Section 1604(f).

"Energy input rate" of a booster water heater means the peak rate at which a booster water heater consumes energy expressed in Btu/hr or kW.

"Heat pump water heater" means a device using the vapor compression cycle to transfer heat from a low-temperature source to a higher temperature sink for the purpose of heating water, including all necessary ancillary equipment, fans, blowers, pumps, storage tanks, piping, and controls.

"Hot water dispenser" means a small electric water heater that has a measured storage volume no greater than 1.0 gallon.

"Hot water supply boiler" means an appliance for supplying hot water for purposes other than space heating or pool heating.

"Input" means rate of energy consumption.

"Instantaneous water heater" means a water heater that has an input rating of at least 4,000 Btu per hour per gallon of stored water.

"Large water heater" means a water heater that is not a small water heater.

"Mini-tank electric water heater" means a small electric water heater that has a measured storage volume more than 1.0 gallon and a rated storage volume less than 20 gallons.

"Recovery efficiency" of a water heater means the ratio of energy delivered to the water to the energy content of the fuel consumed by the water heater, as determined using the applicable test method in Section 1604(f).

"Small water heater" means a water heater that is a gas storage water heater with an input of 75,000 Btu per hour or less, an oil storage water heater with an input of 105,000 Btu per hour or less, an electric storage water heater with an input of 12 kW or less, a gas instantaneous water heater with an input of 200,000 Btu per hour or less, an oil instantaneous water heater with an input of 210,000 Btu per hour or less, an electric instantaneous water heater with an input of 12 kW or less, or a heat pump water heater rated at 24 amps or less.

"Storage water heater" means a water heater that heats and stores water within the appliance at a thermostatically-controlled temperature for delivery on demand, and that has an input less than 4,000 Btu per hour per gallon of stored water.

"Tabletop water heater" means a water heater in a rectangular box enclosure designed to slide into a kitchen countertop space with typical dimensions of 36 inches high, 25 inches deep, and 24 inches wide.

"Thermal efficiency" of a water heater means a measure of the percentage of heat from the combustion of gas or oil that is transferred to the water, as determined using the applicable test method in Section 1604(f).

"Water heater" means an appliance for supplying hot water for purposes other than space heating or pool heating.

(g) Pool Heaters, Residential Pool Pumps, and Portable Electric Spas.

"Coefficient of performance (COP)" of a heat pump pool heater means the ratio of heat output to the total power input in consistent units, as determined using the applicable test method in Section 1604(g).

"Heat pump pool heater" means an air-to-water heat pump pool heater, employing a compressor, water-cooled condenser, and outdoor air coil in a single package assembly.

"Low temperature rating" means the conditions described as "low temperature rating" in Table G of Section 1604(g).

"Pool heater" means an appliance designed for heating non-potable water contained at atmospheric pressure for swimming pools, spas, hot tubs and similar applications.

"Portable electric spa" means a factory-built electric spa or hot tub, supplied with equipment for heating and circulating water.

"Readily accessible on-off switch" of a pool heater means an on-off switch located in a place that can be easily used without the need for tools to remove any covering when the pool heater is on display in a store or when it is installed.

"Residential pool pump" means a pump used to circulate and filter pool water in order to maintain clarity and sanitation.

"Service factor (of an AC motor)" means a multiplier which, when applied to the rated horsepower, indicates a permissible horsepower loading which can be carried under the conditions specified for the service factor.

"Spa conditions rating" means the conditions described as "spa conditions rating" in Table G of Section 1604(g).

"Standard temperature rating" means the conditions described as "standard temperature rating" in Table G of Section 1604(g).

"Thermal efficiency" of a pool heater means a measure of the percentage of heat from the input that is transferred to the water, as determined using the applicable test method in Section 1604(g).

"Total horsepower (of an AC motor)" means a value equal to the product of the motor's service factor and the motor's nameplate (rated) horsepower.

(h) Plumbing Fittings.

"Commercial pre-rinse spray valve" means a hand-held device designed to spray water on dishes, flatware, and other food service items for the purpose of removing food residue prior to the placement of such items in a commercial automatic dishwasher.

"Flow rate" means the rate of water flow of a plumbing fitting, as determined using the applicable test method in Section 1604(h).

"Kitchen faucet" means a faucet designed for discharge into a kitchen sink.

"Kitchen replacement aerator" means an aerator sold as a replacement, separate from the kitchen faucet to which it is intended to be attached.

"Lavatory" means a basin or bowl designed for washing the face and hands.

"Lavatory faucet" means a plumbing fitting designed for discharge into a lavatory.

"Lavatory replacement aerator" means an aerator sold as a replacement, separate from the lavatory faucet to which it is intended to be attached.

"Leakage rate" means the rate of leakage through a tub spout diverter directly into the bathtub when the diverter is in the diverting position, as determined using the applicable test method in Section 1604(h).

"Lift-type tub spout diverter" means a tub spout diverter that is operated by lifting the control.

"Metering faucet" means a faucet that, when turned on, will gradually shut itself off over a period of several seconds.

"Plumbing fitting" means a showerhead, lavatory faucet, kitchen faucet, metering faucet, lavatory replacement aerator, kitchen replacement aerator, wash fountain, or tub spout diverter.

"psi" means pounds per square inch.

"Pull-type tub spout diverter" means a tub spout diverter that is operated by pulling the control.

"Push-type tub spout diverter" means a tub spout diverter that is operated by pushing the control.

"Showerhead" means a device through which water is discharged for a shower bath.

"Showerhead-tub spout diverter combination" means a group of plumbing fittings sold as a matched set and consisting of a control valve, a tub spout diverter, and a showerhead.

"Tub spout diverter" means a device designed to stop the flow of water into a bathtub and to divert it so that the water discharges through a showerhead.

"Turn-type tub spout diverter" means a tub spout diverter that is operated by turning the control.

"Wash fountain" means a lavatory faucet designed for simultaneous use by two or more persons.

(i) Plumbing Fixtures.

"Blowout type bowl" means a nonsiphonic type water closet bowl that is designed for a blowout action, and that has an integral flushing rim, a trapway at the rear of the bowl, a visible or concealed jet, a wall outlet, and, if wall mounted, a three bolt hole configuration.

"Blowout water closet" means a water closet with a blowout type bowl.

"Electromechanical hydraulic water closet" means a water closet that incorporates an electric motor, pump, and controller to facilitate the flushing action.

"Flushometer tank" means a flushometer valve that is integrated within an accumulator vessel affixed and adjacent to a plumbing fixture inlet so as to cause an effective enlargement of the supply line immediately before the fixture.

"Flushometer tank water closet" means a water closet utilizing a flushometer tank.

"Flushometer valve" means a valve that is attached to a pressurized water supply pipe and that is designed so that when actuated it opens the line for direct flow into the fixture at a rate and predetermined quantity to properly operate the fixture, and then gradually closes in order to provide trap reseal in the fixture and to avoid water hammer. The pipe to which the device is connected is, in itself, of sufficient size that when open shall allow the device to deliver water at a sufficient rate of flow for flushing purposes.

"Gallons per flush (gpf)" means gallons per flush as determined using the applicable test method in Section 1604(i).

"Gravity tank-type water closet" means a water closet that includes a storage tank from which water flows into the bowl by gravity.

"Plumbing fixture" means a water closet or a urinal.

"Prison-type urinal" means a urinal designed and marketed expressly for use in prison-type institutions.

"Prison-type water closet" means a water closet designed and marketed expressly for use in prison-type institutions.

"Trough-type urinal" means a urinal designed for simultaneous use by two or more persons.

"Urinal" means a plumbing fixture that receives only liquid body waste and, on demand, conveys the waste through a trap seal into a gravity drainage system.

"Vacuum-type urinal" means a urinal whose bowl is evacuated by the application of a vacuum.

"Vacuum-type water closet" means a water closet whose bowl is evacuated by the application of a vacuum.

"Water closet" means a plumbing fixture having a water-containing receptor that receives liquid and solid body waste through an exposed integral trap into a gravity drainage system.

"Waterless urinal" means a urinal designed to be used without the application of water for flushing.

(j) Fluorescent Lamp Ballasts.

"Cathode heater cut-out circuit design" or "Cathode cut-out circuit design" means a fluorescent lamp ballast design that incorporates a cathode heater cut out device that turns off the cathode heaters in fluorescent lamps once the lamps are ignited and operating.

"Continuous dimming ballast" means a fluorescent lamp ballast that can continuously vary lamp light levels.

"Electronic circuit design" means the type of circuit used in an electronic fluorescent lamp ballast.

"Fluorescent lamp ballast" means a device that is used to start and operate fluorescent lamps by providing a starting voltage and current and limiting the current during normal operation.

"F40T12 lamp" means a tubular fluorescent lamp that is a nominal 40 watt lamp, has a 48 inch tube length, is 1 1/2 inches in diameter, and conforms to ANSI C78.1-1978 (R1984).

"F96T12 lamp" means a tubular fluorescent lamp that is a nominal 75 watt lamp, has a 96 inch tube length, is 1 1/2 inches in diameter, and conforms to ANSI C78.3-1978 (R1984).

"F96T12HO lamp" means a tubular fluorescent lamp that is a nominal 110 watt lamp, has a 96 inch tube length, and is 1 1/2 inches in diameter.

"Instant start ballast" or "slimline instant start ballast" means a fluorescent lamp ballast that allows for instantaneous light production without the use of a starter circuit.

"Magnetic circuit design" means a fluorescent lamp ballast design that uses a magnetic core and coil and that alters the voltage and current, but not the frequency, to the lamp.

"Power factor" of a fluorescent lamp ballast means the ratio of the real power component to the total (complex) power component.

"Power input" means the power consumption in watts of a ballast and its associated fluorescent lamp or lamps, as determined using the applicable test method in Section 1604(j).

"Rapid start ballast" means a fluorescent lamp ballast design that uses a starter circuit to heat the cathodes before and during operation.

"Relative light output" means the light output delivered through the use of a ballast divided by the light output delivered through the use of a reference ballast, expressed as a percent, as determined using the applicable test method in Section 1604(j).

"Replacement ballast" means a ballast that: (1) is manufactured on or before June 30, 2010; (2) is designed for use to replace an existing ballast in a previously installed luminaire; (3) is marked "FOR REPLACEMENT USE ONLY"; (4) is shipped by the manufacturer in packages containing not more than 10 ballasts; and (5) has output leads that when fully extended are a total length that is less than the length of the lamp with which they are intended to be operated.

"Stepped dimming ballast" means a fluorescent lamp ballast that can operate lamps at two or more light output steps.

"T5 lamp" means a tubular fluorescent lamp 5/8 inches in diameter.

"T8 lamp" means a tubular fluorescent lamp 8/8 or 1 inch in diameter.

"T12 lamp" means a tubular fluorescent lamp 12/8 or 1-1/2 inches in diameter.

(k) Lamps.

"Appliance Lamp" means any lamp specifically designed to operate in a household appliance. Examples of appliance lamps include oven lamps, refrigerator lamps, and vacuum cleaner lamps. Appliance lamps shall be designated and marketed for the intended application. The designation shall be on the lamp packaging, and marketing materials shall identify the lamp as being an appliance lamp.

"Average lamp efficacy (LPW)" means the measured lamp efficacy of fluorescent lamps, general service incandescent lamps, or incandescent reflector lamps, expressed in lumens per watt, as determined using the applicable test method in Section 1604(k).

"Bi-pin lamp" means a lamp having a base with two pins that is used for tungsten-halogen reflector lamps, low-voltage tungsten-halogen lamps, or fluorescent lamps.

"Black Light Lamp" means a lamp that emits radiant energy in the UV-A band (315-400 nm) and is designated and marketed as a "black light". The designation shall be on the lamp packaging, and marketing materials shall identify the lamp as a black light lamp.

"Bug Lamp" means a lamp that contains a filter to suppress the blue and green portions of the visible spectrum and is designated and marketed as a "bug light". The designation shall be on the lamp packaging, and marketing materials shall identify the lamp as being a bug lamp.

"Clear type lamp" means a general service incandescent lamp with an envelope (commonly referred to as the bulb) that utilizes no diffusive coatings. The filament is plainly visible. The illumination it produces is crisp-edged, with well-defined shadows on the background when an object is positioned in its emissive path. Any lamp labeled as "clear" is a "clear type lamp."

"Colored Incandescent Lamp" means an incandescent lamp designated and marketed as a colored lamp that has a CRI of less than 50, as determined according to the test method given in CIE publication 13.2; has a correlated color temperature less than 2,500K, or greater than 4,600K, where correlated color temperature is defined as the absolute temperature of a blackbody whose chromaticity nearly resembles that of the light source. The designation shall be on the lamp packaging, and marketing materials shall identify the lamp as being a colored lamp.

"Color rendering index (CRI)" means the measured degree of color shift objects undergo when illuminated by a light source as compared with the color of those same objects when illuminated by a reference source of comparable color temperature, as determined using the applicable test method in Section 1604(k).

"Enhanced Spectrum" lamp, as related to incandescent lamps, means a lamp that contains an integral glass filter or powdered coating filter to suppress selective wavelengths of light in the middle of the visual spectrum generally having the effect of enhancing the blue end and/or red end of the spectrum. The designation shall be on the lamp packaging, and marketing materials shall identify the lamp as being "enhanced Spectrum" or a similar designation.

"Federally-regulated general service fluorescent lamp" means any fluorescent lamp which can be used to satisfy the majority of fluorescent lighting applications, including the following:

(1) A straight tubular-shaped lamp (commonly referred to as 4-foot medium bi-pin lamps) with medium bi-pin bases of nominal overall length of 48 inches and rated wattage of 28 or more.

(2) A tubular U-shaped lamp (commonly referred to as 2-foot U-shaped lamps) with medium bi-pin bases of nominal overall length between 22 and 25 inches and rated wattage of 28 or more.

(3) A straight tubular-shaped rapid start lamp (commonly referred to as 8-foot high output lamps) with recessed double contact bases of nominal overall length of 96 inches and 0.800 nominal amperes, as defined in ANSI C78.81-2003.

(4) A straight tubular-shaped instant start lamp (commonly referred to as 8- foot slimline lamps) with single pin bases of nominal overall length of 96 inches and rated wattage of 52 or more, as defined in ANSI C78.81-2003.

but does not include any lamp designed and marketed for the following non-general applications:

(1) fluorescent lamps designed to promote plant growth;

(2) fluorescent lamps specifically designed for cold temperature applications;

(3) colored fluorescent lamps;

(4) impact-resistant fluorescent lamps;

(5) reflectorized or aperture fluorescent lamps;

(6) fluorescent lamps designed for use in reprographic equipment;

(7) fluorescent lamps primarily designed to produce radiation in the ultra-violet region of the spectrum; or

(8) fluorescent lamps with a CRI of 82 or greater.

"Federally-regulated incandescent reflector lamp" (commonly referred to as a reflector lamp) means any lamp in which light is produced by a filament heated to incandescence by an electric current, that:

(1) is not colored or designed for rough or vibration service applications;

(2) contains an inner reflective coating on the outer bulb to direct the light;

(3) has an R, PAR, or similar bulb shape (excluding ER or BR) with an E26 medium screw base;

(4) has a rated voltage or voltage range that lies at least partially in the range of 115 and 130 volts;

(5) has a diameter that exceeds 2.75 inches; and

(6) is either a low(er)-wattage reflector lamp that has a rated wattage between 40 and 205, or a high(er)-wattage reflector lamp that has a rated wattage above 205.

"Fluorescent lamp" means a low pressure mercury electric-discharge source in which a fluorescing coating transforms some of the ultraviolet energy generated by the mercury discharge into light.

"Frost type lamp" means an inside-frosted lamp producing modest diffusion of the light with little reduction of light output. Any lamp labeled as "standard" or "frosted" is a "frost type lamp."

"Incandescent lamp" means a glass enclosure in which light is produced by a filament of conducting material heated by an electric current.

"Infrared lamp" means a lamp that radiates predominately in the infrared region of the electromagnetic spectrum, and where visible radiation is not of principal interest. The designation shall be on the lamp packaging, and marketing materials shall identify the lamp as being an infrared lamp.

"Lamp" means a fluorescent lamp or an incandescent lamp.

"Lamp electrical power input" means the total electrical input to the lamp, including both arc and cathode power where appropriate, at the reference condition, in units of watts.

"Left-handed thread lamp" means a lamp on which the base screws into a lamp socket in a counter-clockwise direction, and screws out of a lamp socket in a clockwise direction.

"Marine Lamp" means a lamp specifically designed to operate in a marine application. The designation shall be on the lamp packaging, and marketing materials shall identify the lamp as being a marine lamp or similar designation.

"Marine Signal Lamp" means a lamp specifically designed to provide signals to marine vessels for seaway safety. The designation shall be on the lamp packaging, and marketing materials shall identify the lamp as being a marine signal lamp or similar designation.

"Mine Service Lamp" means a lamp specifically designed for use in Mine applications. The designation shall be on the lamp packaging, and marketing materials shall identify the lamp as being a mine service lamp or similar designation.

"Nominal lamp wattage" means the lamp wattage stated by the manufacturer on the lamp and on any accompanying documents or packaging.

"Plant Light Lamp" means a lamp that contains a filter to suppress yellow and green portions of the spectrum and is designated and marketed as a "plant light". The designation shall be on the lamp packaging, and marketing materials shall identify the lamp as being a plant light.

"Rated lumens" means a lamp's lumen value as stated by the manufacturer on the lamp, the lamp's packaging, or the lamp's marketing materials.

“Rated wattage” means a lamp’s wattage value as stated by the manufacturer on the lamp, the lamp’s packaging, or the lamp’s marketing materials.

"Reflector lamp" means a lamp that has a reflective coating applied directly to part of the bulb surface and that reflects light in a forward direction away from the lamp base. The designation shall be on the lamp packaging, and marketing materials shall identify the lamp as being a reflector lamp or similar designation.

"Rough service lamp" means a lamp that has a minimum of 5 supports with filament configurations similar to but not limited to C7A, C11, C17, and C22 as listed in Figure 6-12 of the 9th edition of the IESNA Lighting handbook, where lead wires are not counted as supports. The lamp is designated and marketed specifically for "rough service" applications. The designation shall appear on the lamp packaging, and marketing materials shall identify the lamp as being for rough service.

"Shatter resistant lamp" means a lamp with an external coating on the bulb wall to resist breakage. The designation shall be on the lamp packaging, and marketing materials shall identify the lamp as being a shatter resistant lamp.

"Showcase lamp" means a lamp that has a tubular bulb with a conventional screw base. The longer lamps have filaments with supports similar to linear incandescent lamps. The designation shall be on the lamp packaging, and marketing materials shall identify the lamp as being a showcase lamp.

"Sign service lamp" means a lamp of the vacuum type or gas-filled with sufficiently low bulb temperature to permit exposed outdoor use on high-speed flashing circuits. The

designation shall be on the lamp packaging, and marketing materials shall identify the lamp as being a sign service lamp.

"Silver Bowl lamp" means a lamp that has a reflective coating applied directly to part of the bulb surface and that reflects light in a backward direction toward the lamp base. The designation shall be on the lamp packaging, and marketing materials shall identify the lamp as being a silver bowl lamp or similar designation.

"Slimline lamp" means a straight tubular-shaped instant start lamp with single pin bases of nominal overall length of 96 inches and a rated wattage of 52 or more, as defined in ANSI C78.81-2003.

"Soft white type lamp" means a lamp that emits diffuse illumination that produces soft-edged, poorly defined shadows on the background when an object is positioned in its emissive path. The designation shall be on the lamp packaging, and marketing materials shall identify the lamp as being a soft white lamp.

"State-regulated general service incandescent lamp" means a standard incandescent or halogen type lamp that: is intended for general service applications; has a medium screw base; has a wattage rating no less than 25 watts and no greater than 150 watts; has a rated voltage range at least partially within 110 and 130 volts; has a A-15, A-19, A-21, A-23, A-25, PS-25, PS-30, BT-14.5, BT-15, CP-19, TB-19, CA-22, or equivalent shape as defined in ANSI C78.20-2003; and has a bulb finish of the frosted, clear, or soft white type. The following incandescent lamps are not state-regulated general service incandescent lamps: appliance, black light, bug, colored, enhanced spectrum, infrared, left-hand thread, marine, marine signal service, mine service, plant light, reflector, rough service, shatter resistant, sign service, silver bowl, showcase, three-way, traffic signal, and vibration service or vibration resistant.

"State-regulated incandescent reflector lamp" means a lamp that is not colored or designed for rough or vibration service applications, that contains an inner reflective coating on the outer bulb to direct the light, a E26 medium screw base, that has a rated voltage or voltage range that lies at least partially within 115 to 130 volts, and that is either:

(1) a BR or ER bulb shape with a diameter 2.25 inches or more;

(2) a R, PAR, BR or similar bulb shape and which has a diameter of 2.25 to 2.75 inches.

"Three-way lamp" means a lamp that employs two filaments, operated separately and in combination, to provide three light levels. The designation shall be on the lamp packaging, and marketing materials shall identify the lamp as being a three-way lamp.

"U-shaped lamp" means a tubular U-shaped fluorescent lamp with a medium bi-pin base with a nominal overall length between 22 and 25 inches and a rated wattage of 28 or more.

"Vibration service lamp" or "Vibration resistant lamp" means a lamp with filament configurations similar to but not limited to C-5, C-7A, or C-9, as listed in Figure 6-12 of the 9th Edition of the IESNA Lighting Handbook. The lamp is designated and marketed specifically for vibration service or vibration resistant applications. The designation shall be on the lamp packaging, and marketing materials shall identify the lamp as being vibration resistant or vibration service.

(l) Emergency Lighting

"Average Luminance" means the arithmetic mean of all points measured on a surface.

"Edge-lit exit sign" means an illuminated exit sign in which lettering etched into a glass, plastic, or similar panel is illuminated through the edge of the panel and in which the lettering and the background are luminous.

"Electroluminescent light source" means a solid-state device which produces light when an electric current is passed through a phosphor-impregnated material.

"Face" means an instructional surface on an illuminated exit sign.

"Illuminated exit sign" means a sign that:

(1) is designed to be permanently fixed in place to identify an exit; and

(2) consists of:

(A) an electrically powered integral light source that illuminates the legend "EXIT" and any directional indicators; and

(B) provides contrast between the legend, any directional indicators, and the background.

"Input power" means the rate of electricity consumption, in watts, of an illuminated exit sign.

"Light emitting diode (LED)" means a semiconductor diode that emits light when an electric current is applied.

"Luminance" means a measure of the brightness of a luminous surface.

"Luminance contrast" means the relative brightness of an object against its background.

"Matrix illuminated exit sign" means an illuminated exit sign that uses an array of small light sources, such as LEDs, to form the lettering of a sign.

"Maximum to minimum luminance ratio" means the ratio of maximum to minimum luminance where the luminance should be uniform.

"Panel-type exit sign" means an illuminated exit sign in which a translucent panel diffuses a light source and in which both the lettering and background are luminous.

"Photometric measurements" means the measurements of luminance levels made on the face of the sign.

"Stencil illuminated exit sign" means an illuminated exit sign in which an opaque panel conceals the light source and in which only translucent lettering is luminous.

(m) Traffic Signal Modules and Traffic Signal Lamps.

"Light emitting diode (LED)" means a semiconductor diode that emits light when an electric current is applied.

"Power consumption" means the power consumption, in watts, of a traffic signal module or a traffic signal lamp.

"Traffic signal lamp" means a lamp that is designed with lifetime, wattage, focal length, filament configuration, mounting, lamp glass, and lamp base characteristics appropriate for use in traffic signals.

"Traffic signal module for vehicle control" means a traffic signal that is a standard 8-inch (200 mm) or 12-inch (300 mm) round traffic signal indication; consists of a light source, a lens, a lamp, and all other parts necessary for operation; and communicates stop, start, caution, lane control, and turning messages to drivers in red, amber, green, or similar colors.

"Traffic signal module for pedestrian control" means a traffic signal module that conveys movement information to pedestrians.

(n) Luminaires

"Exempted Outdoor Luminaire" means a luminaire certified by the manufacturer to the Commission as meeting all of the following criteria:

(1) Is rated for use in wet locations as required by the National Electrical Code, Section 410.4(A); and

(2) Contains a ballast that is rated to operate at ambient air temperatures above 55° C, as specified by UL 1029.

"High-intensity discharge (HID) lamp" means an electric-discharge lamp in which the light-producing arc is stabilized by bulb wall temperature, and the arc tube has a bulb wall loading greater than 3 W/cm^2. HID lamps are mercury, metal halide, and high pressure sodium.

"Lamp-ballast system efficiency" means the efficiency of a lamp and ballast combination expressed as a percentage and calculated by dividing the output circuit lamp power by the input circuit power as measured in accordance with ANSI C82.6-1985 (American National Standard for Reference Ballasts for Metal Halide Lamps - Methods of Measurement).

"Metal halide lamp" means a clear or phosphor-coated high-intensity discharge lamp in which the major portion of the light is produced by radiation of metal halides and their products of dissociation.

"Metal halide luminaire" means a luminaire that includes one or more metal halide lamps.

"Probe-start metal halide ballast" means a ballast used to start metal halide lamps which does not contain an ignitor and which instead starts lamps by using a third starting electrode ("probe") in the arc tube.

"Pulse-start metal halide ballast" means a ballast with an ignitor used to start certain types of metal halide lamps. The ignitor starts cold lamps by first providing voltage for ionization of the gas to produce a glow discharge. To complete the starting process, power is provided by starting pulses to sustain an arc through a glow-to-arc transition.

"Torchiere" means a portable electric lighting fixture with a reflector bowl giving light directed upward so as to give indirect illumination. A torchiere may, but does not necessarily, include downward-directed lamps in addition to the upward, indirect illumination.

"Under-cabinet luminaire" means a luminaire designed for mounting in, on, under, or within modular office furniture.

"Wet location fixture" means a fixture that is designed to be exposed to the weather or to water saturation, and is constructed to prevent the entrance of rain, snow, ice, and dust. Outdoor parks and parking lots, outdoor recreational areas (tennis, golf, baseball, etc.), car wash areas, and building exteriors are examples of wet locations.

(o) Dishwashers.

"Compact dishwasher" means a dishwasher that has a capacity of less than eight place settings plus six serving pieces as specified in ANSI/AHAM DW-1 using 10 CFR, Part 430, Appendix C of Subpart B (2005).

"Cycle" means a sequence of operations of a dishwasher that performs a complete dishwashing operation, and that may include variations or combinations of the functions of washing, rinsing, and drying.

"Dishwasher" means a cabinet-like appliance that with the aid of water and detergent, washes, rinses, and dries (when a drying process is included) dishware, glassware, eating utensils, and cooking utensils by chemical, mechanical, or electrical means, and discharges to a plumbing drainage system.

"Energy factor" of a dishwasher means cycles per kWh, as determined using the applicable test method in Section 1604(o).

"Standard dishwasher" means a dishwasher that has a capacity equal to or greater than eight place settings plus six serving pieces as specified in ANSI/AHAM DW-1 using 10 CFR, Part 430, Appendix C of Subpart B (2005).

"Truncated normal cycle" means the normal cycle interrupted to eliminate the power-dry feature after the termination of the last rinse option.

"Water heating dishwasher" means a dishwasher which is designed for heating cold inlet water (nominal 50° F) or a dishwasher for which the manufacturer recommends operation with a nominal inlet water temperature of 120°F, and may operate at either of these inlet water temperatures by providing internal water heating to above 120° F in at least one phase of the normal cycle.

(p) Clothes Washers.

"Automatic clothes washer" means a clothes washer that has a control system that is capable of scheduling a pre-selected combination of operations, such as regulation of water temperature, regulation of the water fill level, and performance of wash, rinse, drain, and spin functions without the need for user intervention subsequent to the initiation of machine operation. Some models may require user intervention to initiate these different segments of the cycle after the machine has begun operation, but they do not require the user to intervene to regulate the water temperature by adjusting the external water faucet valves.

"Clothes washer" means an appliance designed to clean clothes, utilizing a water solution of soap or detergent and mechanical agitation or other movement.

"Commercial clothes washer" means a soft mount front-loading or soft mount top-loading clothes washer with clothes container compartment no greater than 3.5 ft^3 for horizontal-axis clothes washers, or no greater than 4.0 ft^3 for vertical-axis clothes washers, that is designed for use in (1) applications where the occupants of more than one household will be using it, such as multi-family housing common areas and coin laundries; or (2) other commercial applications.

"Compact clothes washer" means a clothes washer of less than 1.6 ft^3 in clothes container compartment capacity.

"Cycle" means a sequence of operations of a clothes washer that performs a complete washing operation.

"Energy factor" of a clothes washer means ft^3 per kWh per cycle, as determined using the applicable test method in Section 1604(p).

"Front-loading clothes washer" means a clothes washer with the clothes container compartment access located on the front of the machine.

"Modified energy factor (MEF)" of a clothes washer means the quotient of the ft^3 capacity of the clothes container divided by the total clothes washer energy consumption per cycle, with such energy consumption expressed as the sum of the machine electrical energy consumption, the hot water energy consumption, and the energy required for removal of the remaining moisture in the wash load, as determined using the applicable test method in Section 1604(p).

"Semi-automatic clothes washer" means a clothes washer that is the same as an automatic clothes washer except that user intervention is required to regulate the water temperature by adjusting the external water faucet valves.

"Soft mount clothes washer" means a clothes washer that does not require mechanical fastening to a floor for proper operating performance under typical commercial clothes washer applications.

"Standard clothes washer" means a clothes washer of 1.6 ft^3 or more in clothes container compartment capacity.

"Suds-saving" means a feature or option on a clothes washer which allows the user to store used wash water in an external laundry tub for use with subsequent wash loads.

"Top-loading clothes washer" means a clothes washer with the clothes container compartment access located on the top of the machine.

"Water factor" means the quotient of the total weighted per-cycle water consumption divided by the capacity of the clothes washer, determined using the applicable test method in Section 1604(p).

(q) Clothes Dryers.

"Automatic termination control" means a dryer control system with a sensor which monitors either the dryer load temperature or its moisture content and with a controller which

automatically terminates the drying process. A mark or detent which indicates a preferred automatic termination control setting must be present if the dryer is to be classified as having an "automatic termination control".

"Clothes dryer" means a cabinet-like appliance that is designed to dry fabrics in a tumble-type drum with forced air circulation and that has a drum and a blower driven by an electric motor.

"Compact clothes dryer" means a clothes dryer with a drum capacity less than 4.4 ft^3.

"Electric clothes dryer" means a clothes dryer whose heat source is electricity.

"Energy factor" of a clothes dryer means pounds of clothes dried per kWh, as determined using the applicable test method in Section 1604(q).

“Gas clothes dryer” means a clothes dryer whose heat source is gas and the drum and blower(s) are driven by an electric motor(s).

"Standard clothes dryer" means a clothes dryer with a drum capacity of 4.4 ft^3 or greater.

(r) Cooking Products and Food Service Equipment.

"Commercial convection oven" means an appliance that is not a consumer product and that is designed for cooking food by forcing hot air over it using a fan in a closed cavity.

"Commercial hot food holding cabinet" means an appliance that is not a consumer product and that is designed to hold hot food that has been cooked in a separate appliance, at a specified temperature.

"Commercial range top" means an appliance that is not a consumer product and that is designed for cooking food by direct or indirect heat transfer from one or more cooking units to one or more cooking containers.

"Cooking products" means consumer products that are used as the major household cooking appliances. They are designed to cook or heat different types of food by one or more of the following sources of heat: gas, electricity, or microwave energy. Each product may consist of a horizontal cooking top containing one or more surface units or one or more heating compartments. They must be one of the following classes: conventional ranges, conventional cooking tops, conventional ovens, microwave ovens, microwave/conventional ranges, and other cooking products.

"Food service equipment" means a commercial hot food holding cabinet, a commercial convection oven, or a commercial range top.

(s) Electric Motors.

"Closed motor" means an enclosed motor.

"Definite purpose motor" means any motor designed in standard ratings with standard operating characteristics or standard mechanical construction for use under service conditions other than usual or for use on a particular type of application and which cannot be used in most general purpose applications.

"Efficiency" of an electric motor means the ratio of an electric motor's useful power output to its total power input, expressed in percentage.

"Electric motor" has the meaning described in (1)-(3) immediately below:

(1) "Electric motor" means a machine which converts electrical power into rotational mechanical power and which:

(i) is a general purpose motor including but not limited to motors with explosion-proof construction;

(ii) is a single speed, induction motor (MG1);

(iii) is rated for continuous duty (MG1) operation or is rated duty type S1 (IEC);

(iv) contains a squirrel-cage (MG1) or cage (IEC) rotor and has foot-mounting, including foot-mounting with flanges or detachable feet;

(v) is built in accordance with NEMA T-frame dimensions (MG1) or IEC metric equivalents (IEC);

(vi) has performance in accordance with NEMA Design A (MG1) or B (MG1) characteristics or equivalent designs such as IEC Design N (IEC); and

(vii) operates on polyphase alternating current 60-Hertz sinusoidal power, and:

(A) is rated 230 volts or 460 volts, or both, including any motor that is rated at multi-voltages that include 230 volts or 460 volts, or

(B) can be operated on 230 volts or 460 volts, or both.

(2) Terms in this definition followed by the parenthetical "MG1" must be construed with reference to provisions in NEMA Standards Publication MG1-1993, *Motors and Generators*, with Revisions 1, 2, 3, and 4, as follows:

(i) Section I, *General Standards Applying to All Machines*, part 1, *Referenced Standards and Definitions*, paragraphs 1.16.1, 1.16.1.1, 1.17.1.1, 1.17.1.2, and 1.40.1 pertain to the terms "induction motor," "squirrel-cage," "NEMA Design A," "NEMA Design B," and "continuous duty" respectively;

(ii) Section I, *General Standards Applying to All Machines*, Part 4, *Dimensions, Tolerances, and Mounting*, paragraph 4.01 and Figures 4-1, 4-2, 4-3, and 4-4 pertain to "NEMA T-frame dimensions;"

(iii) Section II, *Small (Fractional) and Medium (Integral) Machines*, Part 11, *Dimensions-AC and DC Small and Medium Machines*, paragraphs 11.01.2, 11.31 (except the lines for frames 447T, 447TS, 449T and 449TS), 11.32, 11.34 (except the line for frames 447TC and 449TC, and the line for frames 447TSC and 449TSC), 11.35, and 11.36 (except the line for frames 447TD and 449TD, and the line for frames 447TSD and 449TSD), and Table 11-1, pertain to "NEMA T-frame dimensions;" and

(iv) Section II, *Small (Fractional) and Medium (Integral) Machines*, Part 12, *Tests and Performance-AC and DC Motors*, paragraphs 12.35.1, 12.35.5, 12.38.1, 12.39.1, and 12.40.1, and Table 12-2, pertain both to "NEMA Design A" and "NEMA Design B."

(3) Terms in this definition followed by the parenthetical "IEC" must be construed with reference to provisions in IEC Standards as follows:

(i) IEC Standard 60034-1 (1996), *Rotating Electrical Machines*, Part 1:*Rating and Performance*, with Amendment 1 (1997), Section 3: *Duty*, clause 3.2.1 and figure 1 pertain to "duty type S1";

(ii) IEC Standard 60050-411 (1996), *International Electrotechnical Vocabulary Chapter 411: Rotating Machines*, Sections 411-33-Q7 and 411-37-26, pertain to "cage";

(iii) IEC Standard 60072-1 (1991), *Dimensions and Output Series for Rotating Electrical Machines-Part 1: Frame Numbers 56 to 400 and Flange Numbers 55 to 1080, clauses* 2, 3, 4.1, 6.1, 7, and 10, and Tables 1, 2, and 4, pertain to "IEC metric equivalents" to "T-frame" dimensions; and

(iv) IEC Standard 60034-12 (1980), *Rotating Electrical Machines, Part 12: Starting Performance of Single-Speed Three-Phase Cage Induction Motors for Voltages Up to and Including 660 V*, with Amendment 1 (1992) and Amendment 2 (1995), clauses 1, 2, 3.1, 4, 5, and 6, and Tables I, II, and III, pertain to "IEC Design N."

"Enclosed motor" means an electric motor constructed so as to prevent the free exchange of air between the inside and outside of the case but not sufficiently closed to be termed airtight.

"General purpose motor" means any motor which is a general purpose T-frame, single-speed, foot-mounting, polyphase squirrel-cage induction motor of NEMA, Design A and B, continuous rated, operating on 230/460 volts and constant 60 Hertz line power as defined in NEMA Standards Publication MG1-1987.

"IEC" means the International Electrotechnical Commission.

"Multi-voltage electric motor" means an electric motor that is capable of operating at (1) 230 volts and another voltage other than 460 volts, (2) 460 volts and at another voltage other than 230 volts, or (3) both 230 volts and 460 volts and another voltage.

"Nominal full load efficiency" means the average efficiency of a population of motors of duplicate design as determined in accordance with NEMA Standards Publication MG1-1987.

"Open motor" means a motor having ventilating openings which permit passage of external cooling air over and around the windings of the machine.

"Special purpose motor" means any motor, other than a general purpose motor or definite purpose motor, which has special operating characteristics or special mechanical construction, or both, designed for a particular application.

(t) Distribution Transformers.

"Autotransformer" means a transformer in which the primary and secondary windings are not electrically isolated, and with at least a portion of the secondary voltage derived from the primary winding.

"Distribution transformer" means a low voltage dry-type distribution transformer that is designed to operate on a frequency of 60 Hertz and that has a rated power output of not less than 15 kVa.

"Drives transformer" means a transformer designed only to provide power to operate electronic variable speed motor drives.

"Efficiency of distribution transformer" means the ratio of power output to power input, expressed as a percent, as determined using the applicable test method in Section 1604(t).

"Grounding transformer" means a transformer designed only to provide a system ground reference point.

"Harmonic transformer" means a transformer that is designed to supply loads with higher than normal harmonic current levels and that has a K-rating of K-4 or greater.

"Impedance transformer" means a transformer that has a specified impedance less than 4 percent or greater than 8 percent.

"kVa" means kilovolt-ampere, which is the designation for the apparent power of a circuit.

"Low voltage dry-type distribution transformer" means a transformer that has an input voltage of 600 volts or less, that is air cooled, and that does not use oil as a coolant. "Low voltage dry-type distribution transformer" does not include autotransformers, drives transformers, grounding transformers, harmonic transformers, impedance transformers, machine tool transformers, rectifier transformers, regulating transformers, sealed and non-ventilating transformers, testing transformers, transformers with multiple voltage taps with the highest voltage tap more than 20 percent greater than the lowest voltage tap, UPS transformers, and welding transformers.

"Machine tool transformer" means a transformer designed only to provide power to machine tool equipment.

"Rectifier transformer" means a transformer that is designed to provide power rating only to rectifier circuits, and that has nameplate ratings for both fundamental frequency power rating and RMS power rating.

"Regulating transformer" means a transformer with automatic tap changers.

"Sealed and non-ventilating transformer" means a transformer designed to prevent airflow through the transformer.

"Testing transformer" means a transformer designed only as part of, or to supply power to, electrical test equipment.

"Transformer" means an appliance that consists of two or more coils of insulated wire and that transfers alternating current by electromagnetic induction from one coil to another in order to change the original voltage, along with necessary accessories.

"UPS transformer" means a transformer designed only as an integral part of an uninterruptible power system.

"Welding transformer" means a transformer designed only to provide power to welding equipment.

(u) Power Supplies and Consumer Audio and Video Equipment.

"Active mode" means the condition in which the input of a power supply is connected to line voltage AC and the output is connected to a DC or an AC load drawing a fraction of the power supply's nameplate power output greater than zero.

"Audio standby-passive mode" means the appliance is connected to a power source, produces neither sound nor performs any mechanical function (e.g. playing, recording) but can be switched into another mode with the remote control unit or an internal signal.

"Compact audio product", also known as a mini, mid, micro, or shelf audio system, means an integrated audio system encased in a single housing that includes an amplifier and radio tuner, attached or separable speakers, and can reproduce audio from one or more of the following media: magnetic tape, CD, DVD, or flash memory. "Compact audio product" does not include products that can be independently powered by internal batteries or that have a powered external satellite antenna, or that can provide a video output signal.

"Digital television adapter" means a commercially-available electronic product for which the sole purpose is the conversion of digital video terrestrial broadcast signals to analog NTSC video signals for use by a TV or VCR.

"Digital versatile disk (DVD)" means a laser-encoded plastic medium capable of storing a large amount of digital audio, video, and computer data.

"Digital versatile disc (DVD) player" means a commercially-available electronic product encased in a single housing that includes an integral power supply and for which the sole purpose is the decoding of digitized video signals on a DVD.

"Digital versatile disc (DVD) recorder" means a commercially-available electronic product encased in a single housing that includes an integral power supply and for which the sole purpose is the production or recording of digitized video signals on a DVD. "DVD recorder" does not include models that have an EPG function.

"Digital video recorder (DVR)" means a device which can record video signals onto a hard disk drive or other device that can store the images digitally. "DVR" does not include models that have an EPG function."

"Electronic programming guide (EPG)" means an application that provides an interactive, onscreen menu of TV listings, and that downloads program information from the vertical blanking interval of a regular TV signal.

"No-load mode" means the condition in which the input of a power supply is connected to an AC source consistent with the power supply's nameplate AC voltage, but the output is not connected to a product or any other load.

"Point of Deployment (POD)" means a card which enables a TV to have secure conditional access to a cable or satellite system.

"Single-voltage external AC to DC or AC to AC power supply" means a device that:

(1) is designed to convert line voltage AC input into lower voltage DC or AC output;

(2) is able to convert to only one DC or AC output voltage at a time;

(3) is sold with, or intended to be used with, a separate end-use product that constitutes the primary load;

(4) is contained within a separate physical enclosure from the end-use product;

(5) is connected to the end-use product via a removable or hard-wired male/female electrical connection, cable, cord, or other wiring;

(6) does not have batteries or battery packs that physically attach directly (including those that are removable) to the power supply unit;

(7) does not have a battery chemistry or type selector switch and an indicator light; or, does not have a battery chemistry or type selector switch and a state of charge meter;

(8) has a nameplate output power less than or equal to 250 watts.

"STB on mode" means the appliance is connected to a power source and fulfills its main function.

"STB standby-passive mode" means the appliance is connected to a power source, does not fulfill the main function but can be switched into another mode with the remote control unit or an internal signal.

"Television (TV)" means a commercially-available electronic product consisting of a monitor, which may or may not have a tuner/receiver, encased in a single housing, which is designed to receive and display an analog or digital video signal received from a terrestrial, satellite, cable, or broadband source. "Television" does not include multifunction TVs which have VCR, DVD, DVR, or EPG functions or which have a POD card slot.

"TV standby-passive mode" means the appliance is connected to a power source, produces neither sound nor vision but can be switched into another mode with the remote control unit or an internal signal.

"Video Cassette Recorder (VCR)" means a commercially-available analog recording device that includes an integral power supply and which records television signals onto a tape medium for subsequent viewing.

"Video standby-passive mode" means the appliance is connected to a power source, does not perform any mechanical function (e.g. playing, recording), does not produce video or audio output signals but can be switched into another mode with the remote control unit or an internal signal.

The following standards are incorporated by reference in Section 1602.

Number	*Title*
FEDERAL TEST METHODS	
CFR, Title 10, Section 430.23 (2005)	
Copies available from:	Superintendent of Documents U.S. Government Printing Office Washington, DC 20402 www.access.gpo.gov/nara/cfr
AMERICAN NATIONAL STANDARDS INSTITUTE (ANSI)	
ANSI C78.1-1991 (R1996)	Dimensional and Electrical Characteristics of Fluorescent Lamps, Rapid Start Types
ANSI C78.3-1991 (R1996)	Dimensional and Electrical Characteristics of Fluorescent Lamps, Instant Start and cold Cathode Types
ANSI C82.6-1985	Standard for Reference Ballasts for Metal Halide Lamps - Methods of Measurement
Copies available from:	American National Standards Institute 1819 L Street, NW, 6th Floor Washington, DC 20036 www.ansi.org Phone: (202) 293-8020 FAX: (202) 293-9287
ASSOCIATION OF HOME APPLIANCES MANUFACTURERS (AHAM)	
ANSI/AHAM DW-1-1992	Household Electric Dishwashers
ANSI/AHAM HRF1-1979	Household Refrigerators, Combination Refrigerator-Freezers, and Household Freezers
Copies available from:	Association of Home Appliance Manufacturers 1111 19th Street, NW, Suite 402 Washington, DC 20036 www.aham.org Phone: (202) 872-5955 FAX: (202) 872-9354

INTERNATIONAL ELECTROTECHNICAL COMMISSION (IEC)

IEC 60034-1 (1996)	Rotating Electrical Machines
IEC 60034-12 (1980)	Rotating Electrical Machines, Part 12: Starting Performance of Single-Speed Three-Phase Cage Induction Motors for Voltages Up to and Including 660 V
IEC 60050-411 (1996)	International Electrotechnical Vocabulary Chapter 411: Rotating Machines
IEC 60072-1 (1991)	Dimensions and Output Series for Rotating Electrical Machines-Part 1: Frame Numbers 56 to 400 and Flange Numbers 55 to 1080
Copies available from:	International Electrotechnical Commission 3, rue de Varembe P.O. Box 131 CH - 1211 Geneva 20 Switzerland http://www.iec.ch Phone: +41 22 919 02 11 FAX: +41 22 919 03 00

NATIONAL ELECTRIC CODE (NEC)

NFPA 70	2002 National Electrical Code
Copies available from:	National Fire Protection Agency 1 Batterymarch Park Quincy, MA 02169-7471 www.nfpa.org Phone: (617) 770-3000 FAX: (617) 770-0700

NATIONAL ELECTRIC MANUFACTURERS ASSOCIATION (NEMA)

NEMA MG1-1987	Motors and Generators
NEMA MG1-1993	Motors and Generators
NEMA Premium ™:	Motors Product Scope and Nominal Efficiency Levels (2001)
Copies available from:	National Electric Manufacturers Association 1300 N. 17th Street, Suite 1847 Rosslyn, VA 22209 www.nema.org Phone: (703) 841-3200 FAX: (703) 841-3300

UNDERWRITERS LABS (UL)

UL 1029-2001	Standard for High-Intensity-Discharge Lamp Ballasts
Copies available from:	Underwriters Laboratories, Inc. 333 Pfingsten Road Northbrook, IL 60062-2096 www.ul.com Phone: (847) 272-8800 FAX: (847) 272-8129

Note: Authority cited: Sections 25213, 25218(e), 25402(a)-(c), 25553(b) and 25960, Public Resources Code. Reference: Sections 25216.5(d), 25402(a)-(c), 25553(b) and 25960, Public Resources Code

§ 1602.1. Rules of Construction.

(a) Where the context requires, the singular includes the plural and the plural includes the singular.

(b) The use of "and" in a conjunctive provision means that all elements in the provision must be complied with, or must exist in order to make the provision applicable. "Or" (rather than "and/or") is used where compliance with one or more elements suffices, or where the existence of one or more elements makes the provision applicable.

(c) "Shall" is mandatory and "may" is permissive.

Note: Authority cited: Sections 25213, 25218(e), 25402(a)-(c), 25553(b) and 25960, Public Resources Code. Reference: Sections 25216.5(d), 25402(a)-(c), 25553(b) and 25960, Public Resources Code.

§ 1603. Testing: All Appliances.

(a) Testing Requirements. The manufacturer shall cause the testing of units of each basic model of appliance within the scope of Section 1601, using the applicable test method listed in Section 1604 unless otherwise provided in subsection (c) of this section. If the manufacturer of the basic model does not participate in an approved industry certification program for the basic model, or does not apply such a program to test all units under this Article, the testing shall be at a laboratory that the Executive Director determines, under Section 1608(i), that:

(1) has conducted tests using the applicable test method within the previous 12 months;

(2) agrees to and does interpret and apply the applicable test method set forth in Section 1604 precisely as written;

(3) has, and keeps properly calibrated and maintained, all equipment, material, and facilities necessary to apply the applicable test method precisely as written;

(4) agrees to and does maintain copies of all test reports, and provides any such report to the Executive Director on request, for all basic models that are still in commercial production; and

(5) agrees to and does allow the Executive Director to witness any test of such an appliance on request, up to once per calendar year for each basic model.

Exception 1. To Section 1603(a): This subsection does not apply to any water heater

(1) that is within the scope of 42 U.S.C. sections 6292(a)(4) or 6311(1)(F),

(2) that has a rated storage volume of less than 20 gallons, and

(3) for which there is no federal test method applicable to that type of water heater.

Exception 2. To Section 1603(a): This subsection does not apply to cooking products that are federally-regulated consumer products.

(b) Approved Industry Certification Programs.

(1) The Executive Director shall, within 30 days of receiving a written request by an entity administering an appliance certification program, determine whether the program meets the criteria in Section 1602(a). If the Executive Director determines that the program meets all the criteria, he or she shall designate the program as an approved industry certification program. The Executive Director shall periodically publish a list of all approved industry certification programs.

(2) The Executive Director shall, within 30 days of receiving a written request, determine whether an approved industry certification program continues to meet the criteria in Section 1602(a). If the Executive Director determines that the program meets all the criteria, the program shall remain on the list of approved industry certification programs published under subparagraph (1). If the Executive Director determines that the program does not meet all the criteria, he or she shall remove the program from the list, and the program shall no longer be an approved industry certification program.

(c) Appliances for Which There Is a Waiver of the Federal Test Method.

(1) If, for a basic model of an appliance, there is in effect a waiver from an otherwise-applicable federal test method granted pursuant to 10 CFR section 430.27 (2005), and the waiver is conditioned on adherence to an alternate test procedure pursuant to 10 CFR section 430.27(l) (2005), then the manufacturer shall cause the testing of units of the basic model using such alternate test procedure, and such alternate test procedure shall be deemed to be the test method listed or specified in Section 1604 for the basic model.

(2) If, for a basic model of an appliance, there is in effect a waiver from an otherwise-applicable federal test method granted pursuant to 10 CFR section 430.27 (2005), and the waiver is not conditioned on adherence to an alternate test procedure pursuant to 10 CFR section 430.27(l) (2005), then the manufacturer shall petition the Executive Director to specify:

(A) an alternative assessment method; if the Executive Director so specifies, then the manufacturer shall cause the testing of units of the basic model of appliance using the alternative assessment method, and such alternative assessment method shall be deemed to be the test method listed or specified in Section 1604 for the basic model; or

(B) that there is no alternative assessment method, because either the basic model has physical characteristics that prevent testing or there is no method that can produce reasonably

accurate results; if the Executive Director so specifies, then the manufacturer need not test units of the basic model and it shall be deemed that there is no test method listed or specified in Section 1604 for the basic model.

The manufacturer of the basic model shall obtain a specification from the Executive Director before submitting a statement for the basic model pursuant to Section 1606(a).

Note: Authority cited: Sections 25213, 25218(e), 25402(a)-(c), 25553(b) and 25960, Public Resources Code. Reference: Sections 25216.5(d), 25402(a)-(c), 25553(b) and 25960, Public Resources Code.

§ 1604. Test Methods for Specific Appliances.

(a) Refrigerators, Refrigerator-Freezers, and Freezers.

(1) The test methods for non-commercial refrigerators, non-commercial refrigerator-freezers, and non-commercial freezers, are shown in Table A-1.

Table A-1
Non-Commercial Refrigerator, Refrigerator-Freezer, and Freezer Test Methods

Appliance	*Test Method*
Non-commercial refrigerators, designed for the refrigerated storage of food at temperatures above 32° F and below 39° F, configured for general refrigerated food storage; refrigerator-freezers; and freezers.	10 CFR Sections 430.23(a) (2005) and 430.23(b) (2005) as applicable
Wine chillers that are consumer products	10 CFR Sections 430.23(a) (2005) with the following modifications: Standardized temperature as referred to in Section 3.2 of Appendix A1 shall be 55° F (12.8°C) The calculation of test cycle energy expended (ET) in Section 5.2.1.1 of Appendix A1 shall be made using the modified formula: ET=(EP x 1440 x k)/T Where k = 0.85

(2) The test methods for commercial refrigerators, commercial refrigerator-freezers, and commercial freezers are shown in Table A-2.

Table A-2
Commercial Refrigerator, Refrigerator-Freezer, and Freezer
Test Methods

Appliance	*Test Method*
Automatic commercial ice-makers	ARI 810-2003 Harvest rate (lbs. of ice/24 hours) shall be reported within 5% of the tested value.
Refrigerating bottled or canned beverage vending machines	ANSI/ASHRAE 32.1-2004 Volume of multi-package units shall be measured using ANSI/AHAM
Refrigerated buffet and Preparation tables	ANSI/ASTM F2143-01
Other self-contained commercial refrigerators, refrigerator-freezers, and freezers, with doors	Volume shall be measured using ANSI//AHAM HRF1-1979. Energy consumption shall be measured using ANSI/ASHRAE 117-1992, except that the back (loading) doors of pass-through and roll-through refrigerators and freezers shall remain closed throughout the test, and except that the controls of all appliances shall be adjusted to obtain the following product temperatures: *Type* — *Integrated Average Product Temperature (Section 9.1.1) in °F* Refrigerator Compartment — 38 ± 2 Freezer Compartment — 0 ± 2 Wine chiller — 45 ± 2 Ice Cream Cabinet — -5 ± 2
Other self-contained commercial Refrigerator, refrigerator-freezers, and freezers, without doors	Volume measured using ANSI/AHAM HRF1-1979 Energy consumption measured using ANSI/ASHRAE 72-1998, with the controls adjusted to obtain the following product temperatures *Type* — *Integrated Average Product Temperature (Section 9.1.1) in °F* Refrigerator Compartment — 38 ± 2 Freezer Compartment — 0 ± 2 Wine chiller — 45 ± 2 Ice Cream Cabinet — -5 ± 2

(3) When a refrigerator, refrigerator-freezer, or freezer can be operated using either alternating current electricity or one or more other sources of primary power, the test shall be performed using alternating current electricity only.

(4) The test method for water dispensers is EPA Energy Star Program Requirements for Bottled Water Coolers (2004).

EXCEPTION: for units equipped with an integral, automatic timer. Units equipped with an integral, automatic timer shall not be tested using Section 4)D, "Timer Usage," of the referenced test method.

(5) There is no test method for walk-in refrigerators or walk-in freezers.

(b) Room Air Conditioners, Room Air Conditioning Heat Pumps, Packaged Terminal Air Conditioners, and Packaged Terminal Heat Pumps. The test methods for room air conditioners, room air-conditioning heat pumps, packaged terminal air conditioners, and packaged terminal heat pumps are shown in Table B-1.

Table B-1
Room Air Conditioner, Room Air-Conditioning Heat Pump, Packaged Terminal Air Conditioner, and Packaged Terminal Heat Pump Test Methods

Appliance	*Test Method*
Room air conditioners and room air-conditioning heat pumps	10 CFR Section 430.23(f) (2005) (Cooling) ASHRAE 58-74 (Heating)
Packaged terminal air conditioners and packaged terminal heat pumps	ANSI/ARI 310/380-2004

(c) Central Air Conditioners.

(1) The test methods for central air conditioners are shown in Table C-1.

(2) Air-cooled central air conditioners with rated cooling capacity less than 65,000 Btu per hour that are designed for use either at 230 volts or at another voltage may be tested at 230 volts and the results applied to the other voltages. Central air conditioners that are designed for use either at 208 volts or at another voltage may be tested at 208 volts and the results applied to the other voltages.

(3) Split system central air conditioners and compressor-containing units shall be tested with the non-compressor-containing unit most likely to represent the highest national sales volume for the combined equipment.

Table C-1
Central Air Conditioner Test Methods

Appliance	*Test Method*
Computer room air conditioners	ANSI/ASHRAE 127-2001
Other electric-powered unitary air-conditioners and electric-powered heat pumps	
air-cooled air conditioners and air-source heat pumps	
<65,000 Btu/hr	ANSI/ARI 210/240-2003
≥65,000 and < 135,000 Btu/hr	ANSI/ARI 210/240-2003
≥135,000 Btu/hr	ANSI/ARI 340/360-2003
water-cooled air conditioners, evaporatively-cooled air conditioners, and water-source heat pumps	
< 135,000 Btu/hr	ANSI/ARI 320-98
≥135,000 Btu/hr	ANSI/ARI 340/360-2000
ground water-source heat pumps	ARI/ISO-13256-1:1998
ground source closed-loop heat pumps	ARI/ISO-13256-1:1998
Gas-fired air conditioners and gas-fired heat pumps	ANSI Z21.40.4-1996 as modified by CEC, Efficiency Calculation Method for Gas-Fired Heat Pumps as a New Compliance Option (1996)

(d) Spot Air Conditioners, Evaporative Coolers, Ceiling Fans, Whole House Fans, and Residential Exhaust Fans.

The test method for spot air conditioners, evaporative coolers, ceiling fans, whole house fans, and residential exhaust fans are shown in Table D.

Table D
Spot Air Conditioner, Ceiling Fan, Evaporative Cooler, Whole House Fan, and Residential Exhaust Fan Test Methods

Appliance	*Test Method*
Spot Air Conditioners	ANSI/ASHRAE 128-2001
Ceiling Fans, Except Low-Profile Ceiling Fans	EPA Energy Star Solid State Test Method for Ceiling Fans (2004)
Evaporative Coolers	ANSI/ASHRAE 133-2001 for packaged direct evaporative coolers and packaged indirect/direct evaporative coolers; ANSI/ASHRAE 143-2000 for packaged indirect evaporative coolers; with the following modifications for both test methods: (A) Saturation effectiveness and total power of direct evaporative coolers and cooling effectiveness and fan power of indirect evaporative coolers shall be measured at an airflow rate that corresponds to 0.3" external static pressure; (B) indoor dry bulb temperature shall be 80° F; (C) outdoor dry bulb temperature shall be 91° F; (D) outdoor wet bulb temperature shall be 69° F; and (E) Evaporative Cooler Efficiency Ratio (ECER) shall be calculated using the following formula: $ECER = 1.08 * (t_{in} - (t_{db} - \varepsilon * (t_{db} - t_{wb}))) * Q/W$ Where: t_{in}= indoor dry bulb temperature from (B) t_{db}= outdoor dry bulb temperature from (C) t_{wb}= outdoor wet bulb temperature from (D) ε = measured saturation 100 or effectiveness divided by measured cooling effectiveness from (A) Q = measured air flow rate (cfm) from (A) W = measured total power (Watts) from (A)
Whole House Fans	HVI-916, tested with manufacturer-provided louvers in place (1995)
Residential Exhaust Fans	HVI-916 (1995)

(e) Gas Space Heaters and Oil Space Heaters.

(1) The test methods for gas space heaters and oil space heaters are shown in Table E-1.

(2) Gas space heaters intended for use either with natural gas or LPG may be tested with natural gas and the results applied to both fuel types.

(3) Combination Space-Heating and Water-Heating Appliances. The test method for combination space-heating and water-heating appliances is ANSI/ASHRAE 124-1991.

Table E-1
Gas and Oil Space Heater Test Methods

Appliance	*Test Method*
Central Furnaces	
< 225,000 Btu/hr, single phase	10 CFR Section 430.23(n) (2005)
<225,000 Btu/hr, three phase	10 CFR Section 430.23(n) (2005) or ANSI Z21.47-2001 (at manufacturer's option)
≥ 225,000 Btu/hr	
Gas-fired	ANSI Z21-47-2001
Oil-fired	UL 727-1994
Gas infrared heaters	
Patio heaters	FSTC 025-01
Gas-fired high-intensity infrared heaters	ANSI Z83.19-2001
Gas-fired low-intensity infrared heaters	ANSI Z83.20-2001
Unit Heaters	
Gas-fired	ANSI Z83.8-2002*
Oil-fired	UL 731-1995*
Gas duct furnaces	ANSI Z83.8-2002
Boilers	
< 300, 000 Btu/hr	10 CFR Section 430.23(n) (2005)
≥ 300,000 Btu/hr	HI-G BTS-2000
Wall furnaces, floor furnaces, and room heaters	10 CFR Section 430.23(o) (2005)

To calculate maximum energy consumption during standby, measure the gas energy used in one hour (in BTUs) and the electrical energy used (in watt-hours) over a one hour period, when the main burner is off. Divide BTUs and watt-hours by one hour to obtain BTUs per hour and watts. Divide BTUs per hour by 3.412 to obtain watts. Add watts of gas energy to watts of electrical energy to obtain standby energy consumption in watts.

(f) Water Heaters.

(1) Small Water Heaters. The test methods for small water heaters are shown in Table F-1.

Table F-1
Small Water Heater Test Methods

Appliance	*Test Method*
Small water heaters that are federally-regulated consumer products	10 CFR Section 430.23(e) (2005)
Small water heaters that are not federally-regulated consumer products	
Gas and oil storage-type < 20 gallons rated capacity	ANSI/ASHRAE 118.2-1993
Booster water heaters	ANSI/ASTM F2022-00 (for all matters other than volume) ANSI Z21.10.3-1998 (for volume)
Hot water dispensers	Test Method in 1604(f)(4)
Mini-tank electric water heaters	Test Method in 1604(f)(5)
All others	10 CFR Section 430.23(e) (2005)

(2) Large water heaters. The test method for large water heaters is: for booster water heaters ANSI/ASTM F2022-00, and for all others ANSI Z21.10.3-1998, modified as follows:

(A) When testing an electric storage-type water heater for standby loss using Section 2.10 of ANSI Z21.10.3-1998:

1. the electrical supply voltage shall be maintained within $\pm$1 percent of the center of the voltage range specified on the water heater nameplate; and

2. when needed for calculations, the thermal efficiency (E_t) shall be 98 percent.

(B) When testing an oil water heater using Sections 2.9 and 2.10 of ANSI Z21.10.3-1998:

1. vertical length of flue pipe, of sufficient height to establish the minimum draft specified in the manufacturer's installation instructions, shall be connected to the flue gas outlet;

2. all measurements of oil consumption shall be taken by instruments with an accuracy of $\pm$ 1 percent or better; and

3. the burner rate shall be adjusted to achieve an hourly Btu input rate within ± 2 percent of the manufacturer's specified input rate, with the CO_2 reading as specified by the manufacturer, with smoke no greater than 1, and the fuel pump pressure within ± 1 percent of the manufacturer's specification.

(3) Dual-Fuel Models. Water heaters intended for use either with natural gas or LPG may be tested with natural gas and the results applied to both fuel types.

(4) Hot Water Dispensers. The test method for hot water dispensers is as follows:

(A) Connect the hot water dispenser to a water supply, a power supply and a means of measuring energy use. Fill the hot water dispenser with water and apply the power supply. Control the ambient temperature in the laboratory at 77° F ± 7° F throughout the test.

(B) Let the unit operate in standby mode for at least 2 complete cycles of thermostat operation, with the thermostat set to 150° F ± 10° F as described below.

(C) If the thermostat is adjustable, set it to produce water at 150° F ± 10° F, determined by discharging 5 oz. of water into an insulated cup immediately after a thermostat cut out, then measuring its temperature.

(D) If the thermostat is adjustable, and the temperature is not within the tolerance shown in Step B, readjust the thermostat and allow it to operate in standby mode for 2 cycles, measuring the discharge temperature immediately after the second cut out, as described above.

(E) After the thermostat has been properly adjusted, allow the unit to operate in standby mode for a minimum of 2 cycles, then measure the electricity used (in Wh) during the next 24 hours (plus time for first cut out after 24 hours). Begin measuring electricity usage immediately after a thermostat cut out, and end just after the first thermostat cut out after 24 hours. The total length of the test will be somewhat longer than 24 hours, depending on the first cut out after 24 hours. Divide the measured electricity used (in Wh) by the time (in hours), to obtain the standby loss (in watts).

(F) Record the water temperature measured in Step D and the standby loss calculated in Step E.

(5) Mini-Tank Electric Water Heaters. The test method for mini-tank electric water heaters is as follows:

(A) Storage Tank Volume

Determine the storage capacity of the water heater, in gallons, by subtracting the weight of the empty water heater from the weight of the water heater when completely filled with water (with all air eliminated and line pressure applied) and dividing the resulting net weight by the density of water at the measured temperature.

$$V = \frac{Wf - Wt}{P}$$

Where:

V = the storage capacity in gallons
Wf = the weight of the water heater when full (lb)
Wt = the weight of the empty water heater (lb)
p= the density of the water (lb/gal)

(B) Test Set-Up

1. Insulate the water piping, including heat traps, if provided by the manufacturer, for a length of 4 feet from the connection to the appliance with material having a thermal resistance (R) value of not less than 4° F x ft^2 x hr/Btu. Ensure that the insulation does not contact any water heater surface except at the location where the pipe connections penetrate the appliance jacket.

2. If the manufacturer has not provided a temperature and pressure relief valve, one shall be installed and insulated.

3. Maintain the temperature of the supply water at 70° F ± 2° F and the pressure of the water supply between 40 psi and the maximum pressure specified by the manufacturer. The accuracy of the pressure measuring devices shall be within ± 1.0 pound per square inch. The water heater shall be isolated by use of a shut-off valve in the supply line with an expansion tank installed in the supply line downstream of the shutoff valve. There shall be no shut-off means between the expansion tank and the appliance inlet.

4. Before starting testing of the water heater, the setting of the thermostat shall first be obtained by supplying the water in the system at 70° F ± 2° F and then noting the maximum mean temperature of the water after the thermostat shuts off the electric supply to be 142° F ± 8° F.

5. For measuring the energy consumption, instrumentation shall be installed which measures within ± 2 percent. Voltage shall be within ± 10 percent of the rated voltage.

6. Three or more temperature sensing means shall be installed inside the storage tank on the vertical center of each of three or more non-overlapping sections of approximately equal volume from the top to the bottom of the tank. Each temperature sensing means is to be located as far as possible from any heat source or other irregularity, anodic protective device, or water tank or flue wall. The anodic protective device shall be removed in order to install the temperature sensing means and testing shall be carried out with the device removed. If the temperature sensing means cannot be installed as specified above, placement of the temperature sensing means shall be made at the discretion of the testing agency so that comparable water temperature measurements are obtained. A temperature sensing means, shielded against direct radiation and positioned at the vertical midpoint of a tank-type water heater at a perpendicular distance of approximately 24 inches from the surface of the jacket, shall be installed in the test room.

7. The ambient air temperature of the test room shall be maintained at 75° F ± 10° F. The ambient temperature shall not vary more than ± 7.0° F from the average during the test, temperature readings being taken at 15 minute intervals and averaged at the end of the test.

(C) First Hour Rating, F_hr, gallons/hr

Heat the water to mean water temperature of 142° F ± 8° F. Draw hot water at 0.6 gpm ± 0.1 gpm until the mean water temperature drops 25° F, while recording the water temperature every 5 seconds. Maintain the supply water temperature at 70° F ± 2° F. Measure the volume of water drawn, (F_hr), which is the first hour rating F_hr.

(D) Standby Loss

Fill the water heater with water. Turn on the electric power to the water heater. After the first cut out, allow the water heater to remain in the standby mode until the next cut out. At this time, record the time, ambient temperature and begin measuring the electric consumption. Record the maximum mean tank temperature that occurs after cut out.

Record the mean tank temperature and the ambient air temperature at the end of the first 15 minute interval and at the end of each subsequent 15 minute interval. The duration of this test shall be until the first cut out that occurs after 24 hours.

Immediately after the conclusion of the test, record the total electrical energy consumption, the final ambient air temperature, and the time duration of the standby loss test (t) in hours rounded to the nearest one hundredth of an hour and the maximum mean tank temperature that occurs after cut out. Calculate the average of the recorded values of the mean tank temperatures and of the ambient air temperatures taken at the end of each time interval, including the initial and final values. Determine the difference (ΔT_3) between these two averages by subtracting the latter from the former, and the differences (ΔT_4) between the final and initial mean tank temperatures by subtracting the latter from the former.

Standby Loss (% per hour).

Determine the percentage standby loss using the formula:

$$S = \left[\frac{E \times 3412}{(K)(V)(\Delta T_3)(t)} \quad \frac{(\Delta T_4)}{(\Delta T_3)(t)(E_r/100)} \right] \times 100$$

Where:

- S = standby loss, percent per hour, expressed as a ratio of the heat loss per hour to the heat content of the stored water above room temperature
- K = 8.25 Btu per gallon °F, the nominal specific heat of water
- V = tank capacity expressed in gallons
- 3412 = conversion factor, 1 kWh = 3412 Btu
- ΔT_3 = difference between the mean tank temperature and the average ambient air temperature, °F
- ΔT_4 = difference between the final and initial mean tank temperature, °F
- t = duration of test, hrs.
- E = electrical energy consumption in kWh
- E_r = recovery efficiency, assumed to be 98% for water heaters with immersed heating elements

(E) Calculations

Determine the Recovery Efficiency (E_r) using the following formula:

$$E_r = 1 - \frac{(S \times K \times V \times \Delta T_2)}{(P \times 3412 \text{ Btu/kWh})}$$

Where:

S = standby loss, hr^{-1}
ΔT_2 = 45° F, the nominal difference between the mean tank temperature and the ambient air temperature during recovery
P = Rated input, kW
K = 8.25 Btu per gallon °F, the nominal specific heat of water
V = tank capacity expressed in gallons
3412 = conversion factor from kWh to Btu/hr

Determine the Standby Loss (W) using the formula:

$$W = S \times K \times V (\Delta T_1) / (3412 \text{ Btu/kWh})$$

Where:

ΔT_1 = 70° F, the nominal difference between mean tank temperature and the average ambient air temperature
S = standby loss, hr^{-1}
K = 8.25 Btu per gallon °F, the nominal specific heat of water
V = tank capacity expressed in gallons
3412 = conversion factor from kWh to Btu/hr

Determine the Daily Water Heating Energy Consumption, (C_{wh}) using the formula:

$$C_{wh} = \frac{K \times U \times \Delta T_5}{E_r}$$

Where:

U = 12 gallons, daily water use
ΔT_5 = 72° F, difference in outlet and inlet water temperatures
K = 8.25 Btu per gallon °F, the nominal specific heat of water
E_r = recovery efficiency, assumed to be 98%

Determine the Average Hourly Hot Water Storage Energy Consumption, (C_{us}) using the formula:

$$C_{us} = S \times K \times V \times \Delta T_1$$

Where:

ΔT_1 = 70° F, the nominal difference between the mean tank temperature and the ambient air temperature during standby
S = standby loss, hr^{-1}
K = 8.25 Btu per gallon °F, the nominal specific heat of water
V = tank capacity expressed in gallons

Determine the Average Daily Energy Consumption for Electric Water Heaters, (C_y) using the formula:

$$C_y = C_{wh} + C_{us} \times \frac{24 \text{ hrs}}{\text{day}} - \frac{C_{wh}}{P \times 3412 \text{ B}_{tu}/\text{kWh}}$$

Where:

$C_{wh} = \frac{K \times U \times \Delta T_5}{E_r}$

C_{us} = $S \times K \times V \times \Delta T_1$

P = Rated input, kW

3412 = conversion factor from kWh to Btu/hr

Determine the Daily Hot Water Energy Consumption, (C_c) using the formula:

$$C_c = K \times U \times \Delta T_5$$

Where:

K = 8.25 Btu per gallon °F, the nominal specific heat of water

U = 12 gallons, daily water use

ΔT_5 = 72° F, the nominal difference between the outlet and inlet water temperatures

Determine the Annual Energy Consumption, kBtu/year (E_{annual}) using the formula:

$$E_{annual} = \frac{\text{Cy Btu/day} \times 365 \text{ days/yr}}{1000}$$

(F) Report the following values:

Measured Volume, V	= gallons
First Hour Rating, F_{hr}	= gallons/hr
Rated electrical input, P	= kW
Size (overall dimensions)	= inches (h x w x d)
Recovery Efficiency, E_r	= %
Standby Loss, S	= %/hr
Standby Loss	= Watts
Annual Energy Consumption, E_{annual}	= kBtu

(g) Pool Heaters, Portable Electric Spas, and Residential Pool Pumps.

(1) Test Methods for Pool Heaters.

The test methods for pool heaters are shown in Table G.

Table G
Pool Heater Test Methods

Appliance	*Test Method*
Gas-fired and oil-fired pool heaters	ANSI Z21.56-1998
Electric resistance pool heaters	ANSI/ASHRAE 146-1998
Heat pump pool heaters	ANSI/ASHRAE 146-1998, as modified by Addendum Test Procedure published by Pool Heat Pump Manufacturers Association dated April, 1999, Rev 4: Feb. 28, 2000:

Reading	*Standard Temperature Rating*	*Low-Temperature Rating*	*Spa Conditions Rating*
Air Temperature			
Dry-bulb	27.0° C (80.6° F)	10.0° C (50.0° F)	27.0° C (80.6° F)
Wet-bulb	21.7° C (71.0° F)	6.9° C (44.4° F)	21.7° C (71.0° F)
Relative Humidity	63%	63%	63%
Pool Water Temperature	26.7° C (80.0° F)	26.7° C (80.0° F)	40.0° C (104.0° F)

(2) Test Method for Portable Electric Spas

The test method for portable electric spas is as follows:

(A) Minimum continuous testing time shall be 72 hours.

(B) The water temperature shall remain at or above the test temperature of 102°F for the duration of the test.

(C) The ambient air temperature shall remain at or below the test temperature of 60°F for the duration of the test.

(D) The standard cover that comes with the unit shall be used during the test.

(E) The test shall start when the water temperature has been at 102°F for at least four hours.

(F) Record the total energy use for the period of test, starting at the end of the first heating cycle after the four hour stabilization period, and finishing at the end of the first heating cycle after 72 hours has elapsed.

(G) The unit shall remain covered and in the default operation mode during the test. Energy-conserving circulation functions, if present, must not be enabled if not appropriate for continuous, long-term use.

(H) Data reported shall include: spa identification (make, model, S/N, specifications); volume of the unit in gallons; cover R-value; supply voltage; average relative humidity during test; minimum, maximum, and average water temperatures during test; minimum, maximum, and average ambient air temperatures during test; date of test; length of test (t, in hours); total energy use during the test (P, in Wh); and standby power (P/t, in watts).

(3) Test Method for Residential Pool Pumps

The test method for residential pool pumps is as follows:

(A) IEEE 114-2001 shall be used for the measurement of motor efficiency.

(B) ANSI/HI 1.6-2000 shall be used for the measurement of pump and motor combinations efficiency.

(C) Two curves shall be calculated:

Curve A: $H = 0.0167 \times F^2$

Curve B: $H = 0.050 \times F^2$

Where:

H is the total system head in feet of water.

F is the flow rate in gallons per minute (gpm).

(D) For each curve (A&B), the pump head shall be adjusted until the flow and head lie on the curve. The following shall be reported for each curve and pump speed (two-speed pumps shall be tested at both high and low speeds):

1. Head (feet of water)

2. Flow (gallons per minute)

3. Power (watts and volt amps)

4. Energy Factor (gallons per watt hour)

Where the Energy Factor (EF) is calculated as:

EF = Flow (gpm) * 60 / Power (watts)

(h) Plumbing Fittings.

(1) The test method for commercial pre-rinse spray valves is ANSI/ASTM F2324-03, provided that adjustable flow-rate units shall be tested at their maximum possible flow rate.

(2) The test method for other plumbing fittings is ANSI/ASME A112.18.1-2000.

(3) Showerhead-tub spout diverter combinations shall have both the showerhead and tub spout diverter tested individually.

(i) Plumbing Fixtures. The test method for plumbing fixtures is ANSI/ASME A112.19.2M-1998.

(j) Fluorescent Lamp Ballasts. The test method for fluorescent lamp ballasts is 10 CFR Section 430.23(q) (2005).

(k) Lamps. The test method for federally-regulated general service fluorescent lamps, state-regulated general service incandescent lamps, and federally-regulated incandescent reflector lamps is 10 CFR Section 430.23(r) (2005).

(l) Emergency Lighting. The test method for illuminated exit signs is as follows:

(1) Conditions for testing:

(A) testing shall be conducted in clear (non-smoke) conditions;

(B) all measurements shall be made in a stable ambient air temperature of 25° C ± 5° C;

(C) all voltages shall be provided within ± 0.5 percent by a constant voltage power supply;

(D) signs which are rated for continuous operation at more than one AC input voltage shall be tested at each of the rated AC input voltages.

(E) prior to input power or photometric measurements, the sign shall be operated at the rated input voltage for a period of 100 hours;

(F) in addition, a sign with an internal battery shall be operated from the battery for one-and-one-half hours and then recharged for the period specified by the manufacturer; and

(G) all of the light sources of the sign, except those only energized in the battery operation mode, shall produce light throughout the first 100 hours of operation.

(2) Input power measurement

Measure the total input power of the sign in its entirety with an appropriate true RMS watt meter at the rated input voltage which represents normal operation. For a sign that includes a battery, the battery circuit shall be connected and the battery fully charged before any measurements are made. Calculate input power per face by dividing total input power of the sign by the number of faces.

(3) Photometric measurements.

Each of the luminance characteristics of the sign shall be measured at three voltages (or three voltages for each of the rated AC input voltages for signs rated for continuous operation at more than one AC input voltage).

(A) the rated input voltage which represents normal operation;

(B) a voltage corresponding to the minimum voltage provided either by the internal battery or a remote emergency power source after one minute of operation, as applicable; and

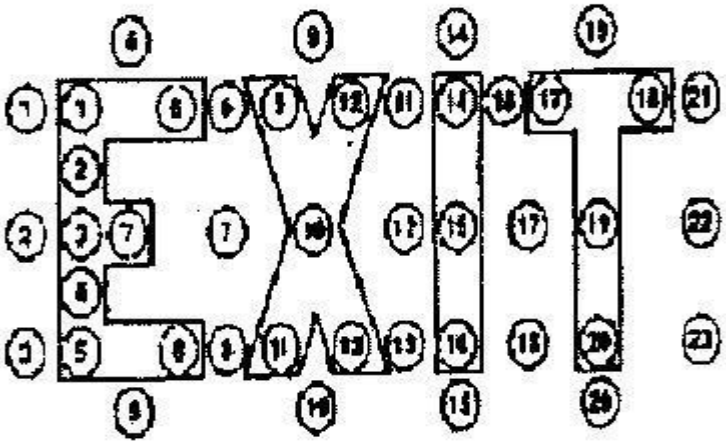
(C) a voltage corresponding to the minimum voltage provided by the internal battery after the marked rated operating time or at 87.5 percent of the rated emergency input voltage for signs intended to be connected to a remote emergency power source. The level of illumination of the exit sign shall be permitted to decline to 60 percent of the initial illumination by the end of the emergency lighting time duration.

All measurements shall be taken with less than 0.01 foot-candles of external illumination on the face of the sign. The luminances shall be measured from two viewing angles: 1) from normal (0°) to the face of the sign, and 2) from 45° to the face of the sign.

(4) Luminance measurement positions.

The positions where the luminances for the legend and background of the exit sign are to be measured are found in Figures 40.4 through 40.9A (as appropriate for the type of sign being tested) of UL 924-1995 (revised 1999).

(5) Measurement of exit sign luminance.



The luminance for each numbered position in the legend and directional indicator shall be measured over a circular area as large as possible while maintaining at least a 1.6 mm distance between the perimeter of the circular area and the adjacent border. The positions for measuring the luminances of the background shall lie within 25.4 mm of the legend and directional indicator but no closer than 1.6 mm to the border.

(6) Luminance calculations

The following shall be calculated:

(A) Average luminance of (i) the legend or background of the legend, whichever is higher, and where applicable, (ii) the directional indicator or its background, whichever is higher: for each, the luminance of all the positions measured.

(B) Luminance contrast:

$$\text{Contrast} = \frac{Lg - Le}{Lg}$$

Where: Lg is the greater luminance and

Le is the lesser luminance,

either the variable Lg or Le may represent the legend or directional indicator, and the remaining variable shall represent the respective background.

(C) Minimum luminance of (i) the legend or background of the legend, whichever is higher, and where applicable, (ii) the directional indicator or its background, whichever is higher: for each, the lowest luminance of all points measured.

(D) Maximum to minimum luminance ratio of (i) the legend, or background of the legend, whichever is higher, and where applicable, (ii) the directional indicator or its background, whichever is higher: for each the ratio of the highest luminance of any position measured to the lowest luminance of any position measured.

(m) Traffic Signal Modules and Traffic Signal Lamps.

(1) The test method for traffic signal modules for vehicle control and traffic signal lamps is the CalTrans Traffic Signal Specifications for LED Signal Modules, March 9, 2001.

(2) The test method for traffic signal modules for pedestrian control is the CalTrans Traffic Signal Modules for Combination Pedestrian Signals, January 17, 2001.

(n) Luminaires.

(1) There is no test method for torchieres.

(2) The test method for metal halide luminaires is ANSI C82.6-1985 (R 1996).

(3) The test method for under-cabinet luminaires is 10 CFR 430.23(q) (2005).

(o) Dishwashers. The test method for dishwashers is 10 CFR Section 430.23(c) (2005).

(p) Clothes Washers. The test methods for clothes washers are shown in Table P-1.

Measurement of directional indicator.

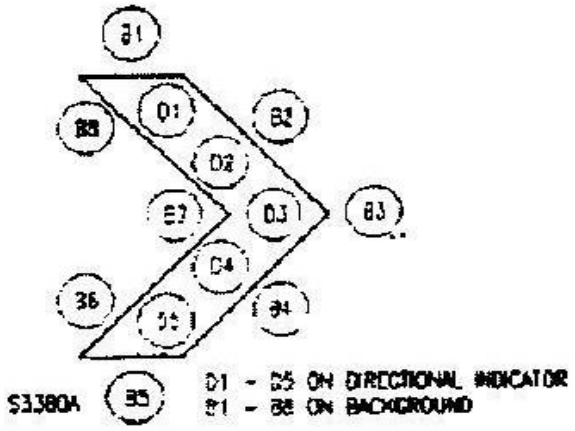


Table P-1
Clothes Washer Test Methods

Appliance	*Test Method*
Clothes washers that are consumer products	10 CFR Section 430.23(j)(Appendix J1 to Subpart B of Part 430)(2005)
Commercial clothes washers	10 CFR Section 430.23(j)(Appendix J1 to Subpart B of Part 430)(2005)

(q) Clothes Dryers. The test method for clothes dryers is 10 CFR Section 430.23(d) (2005).

(r) Cooking Products and Food Service Equipment. The test methods for cooking products that are consumer products, commercial hot food holding cabinets, commercial convection ovens and commercial range tops are shown in Table R.

Table R
Cooking Product and Food Service Equipment Test Methods

Appliance	*Test Method*
Cooking products that are consumer products	10 CFR Section 430.23(i) (2005)
Commercial hot food holding cabinets	ANSI/ASTM F2140-01 (Test for idle energy rate-dry test) and US EPA's Energy Star Guidelines, "Measuring Interior Volume" (Test for interior volume)
Commercial convection ovens	ANSI/ASTM F1496-99 (Test for energy input rate and idle energy consumption only)
Commercial range tops	ANSI/ASTM F1521-96 (Test for cooking energy efficiency only)

(s) Electric Motors. The test method for electric motors is 10 CFR Sections 431.23-431.28 (2005), including but not limited to provisions on testing laboratories, recognition of accreditation bodies, and recognition of certification programs.

(t) Distribution Transformers. The test method for distribution transformers is NEMA TP 2-1998.

(u) Power Supplies and Consumer Audio and Video Equipment.

(1) Power Supplies. The test method for power supplies is US EPA "Test Method for Calculating the Energy Efficiency of Single-Voltage External AC-DC and AC-AC Power Supplies" dated August 11, 2004. Power supplies whose nameplates indicate the capability of operating at multiple voltages and frequencies, shall be tested at both 115 volts @ 50 Hz and 230 volts @ 50 Hz, with the least efficient set of test values used to determine if products qualify for the active mode and no-load standards specified Section 1605.3(u)(1). If testing at

both conditions is not possible, the power supply shall be tested at one of the above voltage and frequency combinations that is closest to its nameplate voltage and frequency.

(2) Consumer Audio and Video Equipment. The test method for consumer audio and video equipment is International Electrotechnical Commission (IEC) 62087:2002(E) - "Methods of Measurement for the Power Consumption of Audio, Video, and Related Equipment."

The following documents are incorporated by reference in Section 1604.

CALIFORNIA ENERGY COMMISSION TEST METHODS

CEC/Gas-Fired Heat Pumps Exceptional Method (1996)	Efficiency Calculation Method for Gas-Fired Heat Pumps as a New Compliance Option (1996)
Copies available from:	California Energy Commission Energy Hotline 1516 Ninth Street, MS-25 Sacramento, California 95814 Phone: (916) 654-5106 FAX: (916) 654-4304

FEDERAL TEST METHODS

CFR, Title 10, Section 430.23 (2005)

CFR, Title 10, Section 430.23 (2005)

CFR, Title 10, Sections 431.23-431.28 (2001)

Copies available from:	Superintendent of Documents U.S. Government Printing Office Washington, DC 20402 www.access.gpo.gov/nara/cfr EPA Energy Star Solid State Test Method for Ceiling Fans (2004) EPA Energy Star Program Requirements for Bottled Water Coolers (2004) EPA Test Method for Calculating the Energy Efficiency of Single-Voltage External AC-DC and AC-AC Power Supplies (August 11, 2004)
Copies available from:	US EPA Climate Protection Partnership ENERGY STAR Programs Hotline & Distribution (MS-6202J) 1200 Pennsylvania Ave NW Washington, DC 20460 www.energystar.gov

AIR-CONDITIONING AND REFRIGERATION INSTITUTE (ARI)

ANSI/ARI 210/240-2003	Standard for Unitary Air-Conditioning and Air-Source Heat Pump Equipment
ANSI/ARI 310/380-2004	Standard for Packaged Terminal Air-Conditioners and Heat Pumps
ANSI/ARI 320-98	Standard for Water-Source Heat Pumps
ANSI/ARI 340/360-2000	Standard for Commercial and Industrial Unitary Air-Conditioning and Heat Pump Equipment
ARI 810-2003	Automatic Commercial Ice-Makers
ARI/ISO 13256-1:1998	Standard for Water-Source Heat Pumps (used only for ground water-source heat pumps and ground-source closed-loop heat pumps)
Copies available from:	Air-Conditioning and Refrigeration Institute 4301 North Fairfax Drive, Suite 425 Arlington, VA 22203 www.ari.org Phone: (703) 524-8800 FAX: (703) 528-3816

AMERICAN NATIONAL STANDARDS INSTITUTE (ANSI)

ANSI C82.6-1985 (R1996)	Ballasts for High Intensity Discharge Lamps - Method of Measurement
ANSI Z21.10.3-1998	Standard for Gas Water Heaters, Volume III, Storage Water Heaters with Input Ratings Above 75,000 Btu per hour, Circulating and Instantaneous
ANSI Z21.40.4-1996	Performance Testing and Rating of Gas-Fired Air-Conditioning and Heat Pump Appliances
ANSI Z21.47-2001	Standard for Gas-Fired Central Furnaces
ANSI Z21.56-1998	Standard for Gas-Fired Pool Heaters
ANSI Z83.8-2002	Standard for Gas Unit Heaters and Gas-Fired Duct Furnaces
ANSI Z83.19-2001	Standard for Gas-Fired High-Intensity Infrared Heaters
ANSI Z83.20-2001	Standard for Gas-Fired Low-Intensity Infrared Heaters

Copies available from:	American National Standards Institute 1819 L Street, NW, 6th Floor Washington DC 20036 www.ansi.org Phone: (202) 293-8020 FAX: (202) 293-9287

AMERICAN SOCIETY FOR TESTING AND MATERIALS (ASTM)

ANSI/ASTM F1496-99	Standard Test Method for Performance of Convection Ovens
ANSI/ASTM F1521-96	Standard Test Methods for Performance of Range Tops
ANSI/ASTM F2022-00	Standard Test Method for Performance of Booster Water Heaters
ANSI/ASTM F2140-01	Standard Test Method for the Performance of Hot Food Holding Cabinets
ANSI/ASTM F2143-01	Standard Test Method for the Performance of Refrigerated Buffet and Preparation Tables
ANSI/ASTM F2324-03	Standard Test Method for Pre-Rinse Spray Valves
Copies available from:	ASTM 100 Barr Harbor Drive West Conshohocken, PA 19428-2959 www.astm.org Phone: (610) 832-9585 FAX: (610) 832-9555

AMERICAN SOCIETY OF HEATING, REFRIGERATING AND AIR CONDITIONING ENGINEERS (ASHRAE)

ANSI/ASHRAE 32.1-2004	Methods of Testing for Rating Vending Machines for Bottled, Canned, and Other Sealed Beverages
ASHRAE 58-74	Method of Testing Room Air Conditioner Heating Capacity
ANSI/ASHRAE 72-1998	Method of Testing Open Refrigerators
ANSI/ASHRAE 117-1992	Method of Testing Closed Refrigerators
ANSI/ASHRAE 118.2-1993	Method of Testing for Rating Residential Water Heaters
ANSI/ASHRAE 124-1991	Method of Testing for Rating Combination Space-Heating and Water-Heating Appliances

ANSI/ASHRAE 127-2001	Method of Testing for Rating Computer and Data Processing Room Unitary Air-Conditioners
ANSI/ASHRAE 128-2001	Method of Rating Spot Unitary Air Conditioners
ANSI/ASHRAE 133-2001	Method of Testing Direct Evaporative Air Coolers
ANSI/ASHRAE 143-2000	Method of Test for Rating Indirect Evaporative Coolers
ANSI/ASHRAE 146-1998	Method of Testing and Rating Pool Heaters
Copies available from:	American Society of Heating, Refrigerating and Air-Conditioning Engineers 1791 Tullie Circle N.E. Atlanta, GA 30329 www.ashrae.org Phone: (800) 527-4723 (U.S./Canada) or (404) 636-8400 FAX: (404) 321-5478

AMERICAN SOCIETY OF MECHANICAL ENGINEERS (ASME)

ANSI/ASME A112.18.1-2000	Plumbing Fixture Fittings
ANSI/ASME A112.19.2M-1998	Vitreous China Plumbing Fixtures
Copies available from:	ASME International Three Park Avenue New York, NY 10016-5990 www.asme.org Phone: (800) THE-ASME (U.S./Canada) 95-800-843-2763 (Mexico) (973) 882-1167 (Outside North America)

ASSOCIATION OF HOME APPLIANCE MANUFACTURERS (AHAM)

ANSI/AHAM HRF1-1979	Household Refrigerators, Combination Refrigerator-Freezers, and Household Freezers
Copies available from:	Association of Home Appliance Manufacturers 1111 19th Street, NW, Suite 402 Washington, DC 20036 www.aham.org Phone: (202) 872-5955 FAX: (202) 872-9354

CALIFORNIA DEPARTMENT OF TRANSPORTATION (CalTrans)

	Traffic Signal Specifications for LED Signal Modules, March 9, 2001
	CalTrans Traffic Signal Modules for Combination Pedestrian Signals, January 17, 2001.
Copies available from:	California Department of Transportation Publication Distribution Unit 1900 Royal Oaks Drive Sacramento, CA 95815 www.dot.ca.gov/hq/traffops/elecsys/led/index.htm Phone: (916) 445-3520

HOME VENTILATING INSTITUTE (HVI)

HVI-916 (1995)	Air Flow Test Standard –Laboratory Methods of Testing Air Flow Capacity of Residential Ventilation Equipment for Rating
Copies available from:	Home Ventilating Institute 30 West University Drive Arlington Heights, IL 60004 www.hvi.org Phone: (847) 394-0150

HYDRAULIC INSTITUTE (HI)

ANSI/HI 1.6-2000	Centrifugal Pump Tests
Copies available from:	Hydraulic Institute 9 Sylvan Way Parsippany, NJ 07054 www.hydraulicinstitute.com Phone: (973) 267-9700

HYDRONICS INSTITUTE - DIVISION OF GAMA (HI-G)

BTS-2000	Method to Determine Efficiency of Commercial Space Heating Boilers
Copies available from:	Hydronics Institute Division of GAMA P.O. Box 218 Berkeley Heights, NJ 07922-0218 www.gamanet.org Phone: (908) 464-8200 FAX: (908) 464-7818

INTERNATIONAL ELECTROTECHNICAL COMMISSION (IEC)

IEC 62087 (2002)(E)	Methods of Measurement for the Power Consumption of Audio, Video, and Related Equipment.
Copies available from:	IEC Central Office 3, rue de Varembe P.O. Box 131 CH - 1211 GENEVA 20 Switzerland Phone: +41 22 919 02 11

INSTITUTE OF ELECTRICAL AND ELECTRONICS ENGINEERS (IEEE)

IEEE 114-2001	Standard Test Procedures for Single-Phase Induction Motors
Copies available from:	Institute of Electrical and Electronics Engineers Publications Office 10662 Los Vaqueros Circle PO Box 3014 Los Alamitos, CA 90720-1264 www.ieee.org Phone: (714) 821-8380 Fax: (714) 821-4010

NATIONAL ELECTRICAL MANUFACTURERS ASSOCIATION (NEMA)

NEMA TP2-1998	Standard Test Method for Measuring the Energy Consumption of Distribution Transformers
Copies available from:	National Electrical Manufacturers Association 1300 N. 17th Street, Suite 1847 Rosslyn, VA 22209 www.nema.org Phone: (703) 841-3200 FAX: (703) 841-3300

PG&E FOOD SERVICE TECHNOLOGY CENTER (FSTC)

FSTC 025-01	Standard Test Method for the Performance of Patio Heaters
Copies available from:	PG&E Food Service Technology Center 12949 Alcosta Boulevard, Suite 101 San Ramon, CA 94583 www.fishnick.com Phone: (925) 866-2844 FAX: (925) 866-2864

POOL HEAT PUMP MANUFACTURERS ASSOCIATION

	Addendum Test Procedure - April 1999, Rev. 4: Feb. 28, 2000
Copies available from:	Pool Heat Pump Manufacturers Association Jeff Tawney, President c/o Aquacal 2737 24th Street, North St. Petersburg, FL 33713 Phone: (727) 823-5642 Ext. 130

UNDERWRITERS LABORATORIES, INC. (UL)

UL 727-1994	Standard for Safety for Oil-Fired Central Furnaces
UL 731-1995	Standard for Safety for Oil-Fired Unit Heaters
UL 924-1995 (rev. 1999)	Standard for Safety for Emergency Lighting and Power Equipment
Copies available from:	Underwriters Laboratories, Inc. 333 Pfingsten Road Northbrook, IL 60062-2096 www.ul.com Phone: (847) 272-8800 FAX: (847) 272-8129

Note: Authority cited: Sections 25213, 25218(e), 25402(a)-(c), 25553(b) and 25960, Public Resources Code. Reference: Sections 25216.5(d), 25402(a)-(c), 25553(b) and 25960, Public Resources Code.

§ 1605. Energy Performance, Energy Design, Water Performance, and Water Design Standards: In General.

(a) California Standards that are the Same as Federal Standards. Section 1605.1 contains standards that are the same as the federal standards contained in, or adopted in regulations pursuant to, NAECA or EPAct.

(1) The standards in Section 1605.1 are applicable as federal law to the sale of appliances in California and the rest of the United States. The standards apply to federally-regulated consumer products and federally-regulated commercial and industrial equipment. Under 42 U.S.C. Sections 6302(a)(5), 6316(a), and 6316(b)(1), which are enforced by the U.S. Department of Energy, no appliance listed in this Section may be sold in the United States unless the appliance complies with the applicable standard listed in this Section as determined using the applicable test method listed in Section 1604, and with all other requirements of federal law.

(2) Each standard in Section 1605.1 is also adopted in this Article as California state law applicable to the sale and offering for sale of appliances in California, if the corresponding federal standard is repealed or becomes inoperable, inapplicable, or otherwise invalid as federal law. Immediately upon the effect of such federal repeal or invalidity the standard becomes effective as California state law, and no appliance previously covered by the federal

standard shall be sold or offered for sale in the state unless the appliance complies with the state standard as determined using the applicable test method listed in Section 1604, and with all other requirements of this Article. Provided, however, that if a waiver from federal preemption is required for a standard in Section 1605.1, the state standard takes effect as California state law only on the effective date of a U.S. Department of Energy waiver from federal preemption.

(b) California Standards for Federally-Regulated Appliances. Section 1605.2 contains standards that are exclusively California standards. They are applicable as state law to the sale and offering for sale of appliances in California. Because the standards apply to federally-regulated appliances, they take effect as state law only on (1) the effective date of a U.S. Department of Energy waiver from federal preemption; or (2) one year after removal of federal preemption by action such as a change in federal law, but no earlier than July 1, 2004. When an applicable standard in Section 1605.2 takes effect as state law, no appliance may be sold or offered for sale in California unless the appliance complies with the standard as determined using the applicable test method in Section 1604 (and with all the other applicable requirements of this Article).

(c) California Standards Applicable to Sale and Installation. Section 1605.3 contains standards that are exclusively California standards. They are applicable as state law to the sale or offering for sale of appliances in California. No appliance may be sold or offered for sale in California unless the appliance complies with the applicable standard in Section 1605.3 as determined using the applicable test method listed in Section 1604 (and with all the other requirements of this Article).

(d) Multiple Standards. If more than one standard is shown for an appliance in Section 1605.1, 1605.2, or 1605.3, the appliance shall meet all the standards shown.

(e) Multiple Test Methods. If more than one test method is shown as applicable to a standard in Section 1605.1, 1605.2, or 1605.3, the appliance shall comply with the standard when tested with each and every individual specified test method, except for those appliances where the appropriate provision in Section 1604 specifically allows a choice of test method at the manufacturer's option.

(f) Multiple Functions. If an appliance can serve more than one function, such as either space-heating and service water-heating then: (1) if the primary function is served by a federally-regulated appliance, the primary function appliance shall meet the applicable standard in Section 1605.1; and (2) if the primary function is served by an appliance that is not a federally-regulated appliance, the primary function appliance shall meet the applicable standard in Section 1605.2 or Section 1605.3; and the secondary function appliances shall meet the applicable standards in Sections 1605.1, 1605.2, and 1605.3. Water heaters that are federally-regulated appliances, and that are contained in combination space-heating and water-heating appliances that are federally-regulated appliances, are required only to meet the standard for the applicable type of water heater, and are not required to meet any standard for space heaters.

Note: Authority cited: Sections 25213, 25218(e), 25402(a)-(c), 25553(b) and 25960, Public Resources Code. Reference: Sections 25216.5(d), 25402(a)-(c), 25553(b) and 25960, Public Resources Code.

§ 1605.1. Federal and State Standards for Federally-Regulated Appliances.

(a) Refrigerators, Refrigerator-Freezers, and Freezers.

(1) Standards. The energy consumption of refrigerators designed for the refrigerated storage of food at temperatures above 32° F and below 39° F, configured for general refrigerated food storage, refrigerator-freezers, and freezers, including internal freezers, drawer units, and kitchen units that are manufactured on or after the effective dates shown shall be not greater than the applicable values shown in Table A-3.

Table A-3
Standards for Refrigerators, Refrigerator-Freezers, and Freezers

Appliance	*Maximum Energy Consumption (kWh/yr)* *Effective January 1st, 1993 Through June 30th, 2001*	*Effective July 1, 2001*
Refrigerators and Refrigerator-Freezers with Manual defrost	13.5AV + 299	8.82AV + 248.4
Refrigerator-Freezer - partial automatic defrost	10.4AV + 398	8.82AV + 248.4
Refrigerator-Freezers - automatic defrost with top-mounted freezer without through-the-door ice service and all refrigerators – automatic defrost	16.0AV + 355	9.80AV + 276.0
Refrigerator-Freezers - automatic defrost with side-mounted freezer without through-the-door ice service	11.8 AV + 501	4.91 AV + 507.5
Refrigerator-Freezers -automatic defrost with bottom-mounted freez	16.5AV + 367	4.60AV + 459.0
Refrigerator-Freezers -automatic defrost with top-mounted freezer	17.6 AV + 391	10.20AV + 356.0
Refrigerator-Freezers - automatic defrost with side-mounted freezer with through-the-door ice service	16.3AV + 527	10.10AV + 406.0
Upright Freezers with manual defrost	10.3AV + 264	7.55AV + 258.3
Upright Freezers with automatic defrost	14.9AV + 391	12.43AV + 326.1
Chest Freezers and all other Freezers except Compact Freezers	11.0AV + 160	9.88AV + 143.7
Compact Refrigerators and Refrigerator-Freezers with manual defro	13.5AV + 299*	10.70AV + 299.0
Compact Refrigerator-Freezers – partial automatic defrost	10.4AV + 398*	7.00AV + 398.0
Compact Refrigerator-Freezers –automatic defrost with top-mounted freezer and compact all refrigerators - automatic defrost	16.0AV + 355*	12.70AV + 355.0
Compact Refrigerator-Freezers –automatic defrost with side-mounted freezer	11.8 AV + 501*	7.60AV + 501.0
Compact Refrigerator-Freezers –automatic defrost with bottom-mounted freezer	16.5AV + 367*	13.10AV + 367.0
Compact Upright Freezers with manual defrost	10.3AV + 264*	9.78AV + 250.8
Compact Upright Freezers with automatic defrost	14.9AV + 391*	11.40AV + 391.0
Compact Chest Freezers	11.0AV + 160*	10.45AV + 152.0

AV = adjusted total volume, expressed in ft^3, as determined in 10 CFR, Part 430, Appendices A1 and B1 of Subpart B, which is:
[1.44 x freezer volume (ft^3)] + refrigerator volume (ft^3) for refrigerators;
[1.63 x freezer volume (ft^3)] + refrigerator volume (ft^3) for refrigerator-freezers;
[1.73 x freezer volume (ft^3)] for freezers.

*Applicable standards for compact refrigerator products manufactured before July 1, 2001. Compact refrigerator products are not separate product categories under the standards effective January 1, 1993.

Note: Maximum energy consumption standards for refrigerator-freezers with internal freezers are same as those for refrigerator-freezers with top-mounted freezers.

(2) See Section 1605.3(a) for energy efficiency and energy design standards for freezers with volume exceeding 30 ft cubed that are consumer products, wine chillers that are consumer products, commercial refrigerators including but not limited to refrigerated bottled or canned beverage vending machines, commercial refrigerator-freezers, commercial freezers, commercial ice-makers, and water dispensers.

(b) Room Air Conditioners, Room Air-Conditioning Heat Pumps, Packaged Terminal Air Conditioners, and Packaged Terminal Heat Pumps.

(1) Room Air Conditioners and Room Air-Conditioning Heat Pumps. The EER of room air conditioners and room air-conditioning heat pumps that are manufactured on or after the effective dates shown shall be not less than the applicable values shown in Table B-2. The EER of room air conditioners and room air-conditioning heat pumps that are labeled for use at more than one voltage shall be not less than the applicable values shown in Table B-2 at each of the labeled voltages.

Table B-2
Standards for Room Air Conditioners and Room Air-Conditioning Heat Pumps

			Minimum EER	
Appliance	*Louvered Sides*	*Cooling Capacity (Btu/hr)*	*Effective January 1st, 1990*	*Effective October 1st, 2000*
Room Air Conditioner	Yes	< 6000	8.0	9.7
Room Air Conditioner	Yes	≥ 6,000 – 7,999	8.5	9.7
Room Air Conditioner	Yes	≥ 8,000 – 13,999	9.0	9.8
Room Air Conditioner	Yes	≥ 14,000 – 19,999	8.8	9.7
Room Air Conditioner	Yes	≥ 20,000	8.2	8.5
Room Air Conditioner	No	< 6,000	8.0	9.0
Room Air Conditioner	No	≥ 6,000 – 7,999	8.5	9.0
Room Air Conditioner	No	≥ 8,000 – 19,999	8.5	8.5
Room Air Conditioner	No	≥ 20,000	8.2	8.5
Room Air Conditioning Heat Pump	Yes	< 20,000	8.5	9.0
Room Air Conditioning Heat Pump	Yes	≥ 20,000	8.5	8.5
Room Air Conditioning Heat Pump	No	< 14,000	8.0	8.5
Room Air Conditioning Heat Pump	No	≥ 14,000	8.0	8.0
Casement-Only Room Air Conditioner	Either	Any	*	8.7
Casement-Slider Room Air Conditioner	Either	Any	*	9.5

*Casement-only room air conditioners and casement-slider room air conditioners are not separate product classes under standards effective January 1, 1990. Such appliances, if manufactured before October 1, 2000, are subject to the applicable standards in Table B-2 for the other room air conditioners and room air-conditioning heat pumps based on capacity and the presence or absence of louvered sides.

(2) Packaged Terminal Air Conditioners and Packaged Terminal Heat Pumps. The EER and COP, as applicable, of packaged terminal air conditioners and packaged terminal heat pumps shall not be less than the applicable values shown in Table B-3.

Table B-3
Standards for Packaged Terminal Air Conditioners and Packaged Terminal Heat Pumps

Appliance	*Mode*	*Cooling Capacity (Btu/hr)*	*Minimum EER or COP*
Packaged terminal air conditioners and packaged terminal heat pumps	Cooling	≤ 7,000	8.88 EER
		> 7,000 and < 15,000	10.0-(0.00016xCap.) EER
		≥ 15,000	7.6 EER
Packaged terminal heat pumps	Heating	Any	1.3+[0.16(10.0-0.00016 x Cap.)] COP
Cap. = cooling capacity (Btu/hr)			

(c) Central Air Conditioners.

(1) Central Air Conditioners Other than Water Source Heat Pumps Below 135,000 Btu/hr. The EER, SEER, COP, and HSPF, as applicable, of all central air conditioners shall be not less than the applicable values shown in Tables C-2, C-3, C-4, and C-5.

Table C-2
Standards for Single Phase Air-Cooled Air Conditioners with Cooling Capacity Less than 65,000 Btu per Hour and Single Phase Air-Source Heat Pumps with Cooling Capacity Less than 65,000 Btu per Hour, Not Subject to EPAct

	Minimum Efficiency			
	Effective January 1, 1995		*Effective January 23, 2006*	
Appliance	*Minimum SEER*	*Minimum HSPF*	*Minimum SEER*	*Minimum HSPF*
Split System Air Conditioners	10.0	-	13.0	-
Split System Heat Pumps	10.0	6.8	13.0	7.7
Single package air conditioners	9.7	-	13.0	-
Single package heat pumps	9.7	6.6	13.0	7.7
Space constrained air conditioners – split system	10.0	-	Reserved	-
Space constrained heat pumps – split system	10.0	6.8	Reserved	reserved
Space constrained air conditioners – single package	9.7	-	Reserved	-
Space constrained heat pumps – single package	9.7	6.6	Reserved	reserved

Table C-3
Standards for Air-Cooled Air Conditioners and Air-Source Heat Pumps
Subject to EPAct

Appliance	*Cooling Capacity (Btu/hr)*	*System Type*	*Minimum Efficiency*
Air-cooled unitary air conditioners and heat pumps (cooling mode)	< 65,000 *	Split System	10.0 SEER
	< 65,000 *	Split Package	9.7 SEER
	≥ 65,000 and < 135,000	All	8.9 EER
	≥ 135,000 and < 240,000	All	8.5 EER
Air-cooled unitary air-conditioning heat pumps (heating mode)	< 65,000 *	Split System	6.8 HSPF
	< 65,000 *	Split Package	6.6 HSPF
	≥ 65,000 and <135,000	All	3.0 COP at 47° Fdb
	≥ 135,000 and < 240,000	All	2.9 COP

*Three phase models only.

Table C-4
Standards for Evaporatively-Cooled Air Conditioners

Appliance	*Cooling Capacity (Btu per hour)*	*Effective January 1, 1994*	*Minimum EER Effective October 29, 2003*	*Effective October 29, 2004*
Evaporatively-cooled air conditioners	< 65,000	9.3	12.1	12.1
	≥ 65,000 and < 135,000	10.5	11.5[1]	11.5[1]
	≥ 135,000 < 240,000	9.6	9.6	11.0

[1]Deduct 0.2 from the required EER for units with heating sections other than electric resistance heat.

Table C-5
Standards for Water-Cooled Air Conditioners and Water Source Heat Pumps

Appliance	*Cooling Capacity (Btu per hour)*	*Minimum Efficiency Effective January 1, 1995 Minimum*		*Minimum Efficiency Effective October 29, 2003 Minimum*		*Minimum Efficiency Effective October 29, 2004 Minimum*	
		EER	*COP*	*EER*	*COP*	*EER*	*COP*
Water-cooled air conditioners	< 17,000	9.3	-	12.1	-	12.1	-
Water-source heat pumps	< 17,000	9.3	3.8	11.2	4.2	11.2	4.2
Water-cooled air conditioners	≥ 17,000 and < 65,000	9.3	-	12.1	-	12.1	-
Water-source heat pumps	≥ 17,000 and < 65,000	9.3	3.8	12.0	4.2	12.0	4.2
Water-cooled air conditioners	≥ 65,000 and < 135,000	10.5	-	11.5[1]	-	11.5	-
Water-source heat pumps	≥ 65,000 and < 135,000	10.5	3.8	12.0	4.2	12.0	4.2
Water-cooled air conditioners	≥ 135,000 and <240,000	9.6	-	9.6	-	11.0	-
Water-source heat pumps	≥ 135,000 and < 240,000	9.6	2.9	9.6	2.9	9.6	2.9

[1]Deduct 0.2 from the required EER for units with heating sections other than electric resistance heat.

(2) Gas-fired Air Conditioners and Heat Pumps. There is no energy efficiency standard or energy design standard for gas-fired air conditioners or gas-fired heat pumps.

(3) Other Central Air Conditioners. See Sections 1605.2(c) and 1605.3(c) for energy efficiency standards for other central air conditioners.

(d) Spot Air Conditioners, Evaporative Coolers, Ceiling Fans, Whole House Fans, and Residential Exhaust Fans.

There is no energy efficiency standard or energy design standard for spot air conditioners, evaporative coolers, ceiling fans, whole house fans, or residential exhaust fans.

(e) Gas and Oil Space Heaters.

(1) Gas Wall Furnaces, Gas Floor Furnaces, and Gas Room Heaters. The AFUE of gas wall furnaces, gas floor furnaces, and gas room heaters shall be not less than the applicable values shown in Table E-2.

Table E-2
Standards for Gas Wall Furnaces, Floor Furnaces, and Room Heaters

Appliance	*Design Type*	*Capacity (Btu per hour)*	*Minimum AFUE (%)*
Wall furnace	Fan	≤ 42,000	73
Wall furnace	Fan	> 42,000	74
Wall furnace	Gravity	≤ 10,000	59
Wall furnace	Gravity	> 10,000 ≤ 12,000	60
Wall furnace	Gravity	> 12,000 ≤ 15,000	61
Wall furnace	Gravity	> 15,000 ≤ 19,000	62
Wall furnace	Gravity	> 19,000 ≤ 27,000	63
Wall furnace	Gravity	> 27,000 ≤ 46,000	64
Wall furnace	Gravity	> 46,000	65
Floor furnace	All	≤ 37,000	56
Floor furnace	All	> 37,000	57
Room heater	All	≤ 18,000	57
Room heater	All	> 18,000 and ≤ 20,000	58
Room heater	All	> 20,000 and ≤ 27,000	63
Room heater	All	> 27,000 and ≤ 46,000	64
Room heater	All	> 46,000	65

(2) Central Gas Furnaces, Central Gas Boilers, Central Oil Furnaces, and Central Oil Boilers. The AFUE, thermal efficiency, and combustion efficiency, as applicable, of central gas furnaces, central gas boilers, central oil furnaces, and central oil boilers shall be not less than the applicable values shown in Tables E-3 and E-4.

Table E-3
Standards for Gas- and Oil-Fired Central Boilers

Appliance	*Rated Input (Btu/hr)*	*AFUE*	*Minimum Efficiency (%) Combustion Efficiency at Maximum Rated Capacity*
Gas steam boilers with single phase electrical supply	< 300,000	75	--
All other boilers with single phase electrical supply	< 300,000	80	--
Gas packaged boilers	≥ 300,000	--	80
Oil packaged boilers	≥ 300,000	--	83

Table E-4
Standards for Gas- and Oil-Fired Central Furnaces

Appliance	*Rated Input (Btu/hr)*	*AFUE*	*Minimum Efficiency (%) Combustion Efficiency at Maximum Rated Capacity*
Mobile home gas and oil central furnaces with single phase electrical supply	< 225,000	75	-
All other gas and oil central furnaces with single phase electrical supply	< 225,000	78	-
Gas central furnaces	≥ 225,000	-	80
Oil central furnaces	≥ 225,000	-	81

(3) Infrared Gas Heaters. There is no energy efficiency standard or energy design standard for infrared gas heaters.

(4) Other Gas and Oil Space Heaters. See Section 1605.3(e) for standards for boilers, central furnaces, duct furnaces, and unit heaters that are not federally-regulated consumer products or federally-regulated commercial and industrial equipment.

(f) Water Heaters.

(1) Large Water Heaters. The thermal efficiency and standby loss of large water heaters manufactured during the applicable time period shall be not less than the applicable values shown in Tables F-2 and F-3.

Table F-2
Standards for Large Water Heaters (Effective October 29, 2003)

Appliance	*Category*	*Size or Rating*	*Minimum Thermal Efficiency (%)*	*Maximum Standby Loss*[1,2]
Gas storage water heaters	< 4,000 Btu/hr/gal	≤ 155,000 Btu/hr	80	Q/800 + 110√V Btu/hr
		> 155,000 Btu/hr	80	Q/800 + 110√V Btu/hr
Gas instantaneous water heaters	≥ 4,000 Btu/hr/gal	≥ 10 gal	80	Q/800 + 110√V Btu/hr
Oil storage water heaters	< 4,000 Btu/hr/gal	≤ 155,000 Btu/hr	78	Q/800 + 110√V Btu/hr
		> 155,000 Btu/hr	78	Q/800 + 110√V Btu/hr
Oil instantaneous water heaters	≥ 4,000 Btu/hr/gal	< 10 gal	80	-
		≥ 10 gal	78	Q/800 + 110√V Btu/hr
Gas hot water supply boilers	≥ 4,000 Btu/hr/gal	≥ 10 gal	80	Q/800 + 110√V Btu/hr
Oil hot water supply boilers	≥ 4,000 Btu/hr/gal	≥ 10 gal	78	Q/800 + 110√V Btu/hr

[1] Standby loss is based on a 70° F temperature difference between stored water and ambient requirements. In the standby loss equations, V is the rated volume in gallons, and Q is the nameplate input rate Btu/hr.
[2] Water heaters and hot water supply boilers having more than 140 gallons of storage capacity are not required to meet the standby loss requirement if the tank surface is thermally insulated to R-12.5, if a standing pilot light is not installed, and for gas-or oil-fired storage water heaters, there is a flue damper or fan-assisted combustion.

Table F-3
Standards for Large Water Heaters Effective January 1, 1994

Fuel	*Input Rating*	*Volume (gallons)*	*Input to Volume Ratio (Btu/gal)*	*Minimum Thermal Efficiency (%)*	*Minimum Standby Loss (%/hour)*[1,2]
Gas	> 200,000 (Btu/hour)	<10	≥ 4,000	80	Not applicable
Electric	> 12 kW	≤ 140	< 4,000	Not applicable	0.3 + 27/V
Electric	> 12 kW	> 140	< 4,000	Not applicable	0.3 + 27/V
Electric	> 12 kW	< 10	≥ 4,000	80	Not applicable
Electric	> 12 kW	≥ 10	≥ 4,000	77	2.3 + 67/V

[1]Volume (V)=Measured storage volume in gallons
[2]Storage-type water heaters with volume exceeding 140 gallons need not meet the standby loss requirement if they are thermally-insulated to at least R-12.5 and if a standing pilot light is not used.

(2) Small Water Heaters. The energy factor of all small water heaters that are federally-regulated consumer products, (other than booster water heaters, hot water dispensers, and mini-tank electric water heaters) shall be not less than the applicable values shown in Table F-4.

Table F-4
Standards for Small Federally-Regulated Water Heaters

	Minimum Energy Factor	
Appliance	*Effective April 15, 1991*	*Effective January 20, 2004*
Gas-fired storage-type water heaters	0.62 - (.0019 x V)	0.67 - (.0019 x V)
Oil-fired water heaters (storage and instantaneous)	0.59 - (.0019 x V)	0.59 - (.0019 x V)
Electric storage water heaters (excluding tabletop water heaters)	0.93 - (.00132 x V)	0.97 - (.00132 x V)
Electric tabletop water heaters	0.93 - (.00132 x V)	0.93 - (.00132 x V)
Gas-fired instantaneous water heaters	0.62 - (.0019 x V)	0.62 - (.0019 x V)
Electric instantaneous water heaters (excluding tabletop water heaters)	0.93 - (.00132 x V)	0.93 - (.00132 x V)
Heat pump water heaters	0.93 - (.00132 x V)	0.97 - (.00132 x V)

V = rated volume in gallons.

(3) Booster Water Heaters. There is no energy efficiency standard or energy design standard for booster water heaters.

(4) Other Water Heaters. See Section 1605.3(f) for standards for other water heaters.

(5) Combination Space-Heating and Water-Heating Appliances. See Section 1605.3(e) for standards for combination space-heating and water-heating appliances.

(g) Pool Heaters, Residential Pool Pumps, and Portable Electric Spas.

(1) Energy Efficiency Standard for Gas-Fired Pool Heaters and Oil-Fired Pool Heaters. The thermal efficiency of gas-fired pool heaters and oil-fired pool heaters shall be not less than 78 percent.

(2) Energy Efficiency Standards for Heat Pump Pool Heaters. See Section 1605.3(g) for energy efficiency standards for heat pump pool heaters.

(3) Energy Efficiency Standard for Electric Resistance Pool Heaters. There is no energy efficiency standard for electric resistance pool heaters.

(4) Energy Design Standards for Pool Heaters. See Section 1605.3(g) for energy design standards for pool heaters.

(5) Energy Efficiency Standards for Portable Electric Spas. See Section 1605.3(g) for energy efficiency standards for portable electric spas.

(6) Energy Efficiency Standards and Energy Design Standards for Residential Pool Pumps. See Section 1605.3(g) for energy efficiency standards and energy design standards for residential pool pumps.

(h) Plumbing Fittings.

(1) Plumbing Fittings Except Tub Spout Diverters and Commercial Pre-rinse Spray Valves. The flow rate of showerheads, lavatory faucets, kitchen faucets, lavatory replacement aerators, kitchen replacement aerators, wash fountains, and metering faucets shall be not greater than the applicable values shown in Table H-1. Showerheads shall also meet the requirements of ASME/ANSI Standard A112.18.1M-1996, 7.4.4(a).

Table H-1
Standards for Plumbing Fittings

Appliance	*Maximum Flow Rate*
Showerheads	2.5 gpm at 80 psi
Lavatory faucets	2.2 gpm at 60 psi
Kitchen faucets	2.2 gpm at 60 psi
Replacement aerators	2.2 gpm at 60 psi
Wash fountains	$2.2 \times \frac{\text{rim space (inches)}}{20}$ gpm at 60 psi
Metering faucets	0.25 gallons/cycle
Metering faucets for wash fountains	$0.25 \times \frac{\text{rim space (inches)}}{20}$ gpm at 60 psi

(2) Showerhead-Tub Spout Diverter Combinations. Showerhead-tub spout diverter combinations shall meet both the standard for showerheads and the standard for tub spout diverters.

(3) Tub Spout Diverters. See Section 1605.3(h) for standards for tub spout diverters.

(4) Commercial Pre-rinse Spray Valves. See Section 1605.3(h) for standards for commercial pre-rinse spray valves.

(i) Plumbing Fixtures.

The water consumption of water closets and urinals shall be not greater than the values shown in Table I.

Table I
Standards for Plumbing Fixtures

Appliance	*Maximum Gallons per Flush*
Gravity tank-type water closets	1.6
Flushometer tank water closets	1.6
Electromechanical hydraulic water closets	1.6
Blowout water closets	3.5
Trough-type urinals	Trough length (inches)
	16
Other urinals	1.0

(j) Fluorescent Lamp Ballasts and Replacement Fluorescent Lamp Ballasts.

(1) The ballast efficacy factor of the following types of fluorescent lamp ballasts shall be not less than the applicable values shown in Table J-1, except that fluorescent lamp ballasts (i) designed for dimming, (ii) designed for use in ambient temperatures of 0° F or less, or (iii) with a power factor of less than 0.90 and designed for use only in residential buildings are excluded:

(A) replacement fluorescent lamp ballasts manufactured on or before June 30, 2010;

(B) fluorescent lamp ballasts manufactured on or after January 1, 1990;

(C) fluorescent lamp ballasts sold by the manufacturer on or after April 1, 1990; and

(D) fluorescent lamp ballasts incorporated into a luminaire by a luminaire manufacturer on or after April 1, 1991.

Table J-1
Standards for Fluorescent Lamp Ballasts and Replacement Fluorescent Lamp Ballasts

Application for Operation of	*Ballast Input Voltage*	*Total Nominal Lamp Watts*	*Minimum Ballast Efficacy Factor*
One F40T12 lamp	120 or 277	40	1.805
Two F40T12 lamps	120	80	1.060
	277	80	1.050
Two F96T12 lamps	120 or 277	150	0.570
Two F96T12HO lamps	120 or 277	220	0.390

(2) The ballast efficacy factor of the following types of fluorescent lamp ballasts shall be not less than the applicable values shown in Table J-2, except that fluorescent lamp ballasts (i) designed for dimming to 50 percent or less of maximum output, (ii) designed for use with two F96T12HO lamps at ambient temperatures of -20 <<degrees>> F or less and for use in an outdoor sign, (iii) with a power factor of less than 0.90 and designed and labeled for use only in residential buildings, or (iv) designated as a replacement ballast as defined in Section 1602(j) are excluded:

(A) fluorescent lamp ballasts manufactured on or after April 1, 2005;

(B) fluorescent lamp ballasts sold by the manufacturer on or after July 1, 2005;

(C) replacement fluorescent lamp ballasts manufactured after June 30, 2010; and

(D) fluorescent lamp ballasts incorporated into a luminaire by a luminaire manufacturer on or after April 1, 2006.

Table J-2
Standards for Fluorescent Lamp Ballasts

Application for Operation of	*Ballast Input Voltage*	*Total Nominal Lamp Watts*	*Minimum Ballast Efficacy Factor*
one F40T12 lamp	120 or 277	40	2.29
two F40T12 lamps	120 or 277	80	1.17
two F96T12 lamps	120 or 277	150	0.63
two F96T12HO lamps	120 or 277	220	0.39

(3) All fluorescent lamp ballasts covered by paragraphs (1) or (2) except replacement fluorescent lamp ballasts, shall have a power factor of 0.90 or greater.

(4) There are no energy efficiency standards or energy design standards for ballasts designed to operate T5 lamps, T8 lamps, three T12 lamps, or four T12 lamps.

(k) Lamps.

(1) Federally-Regulated General Service Fluorescent Lamps. The average lamp efficacy and the color rendering index of federally-regulated general service fluorescent lamps shall be not less than the applicable values shown in Table K-1.

Table K-1
Standards for Federally-Regulated General Service Fluorescent Lamps

Appliance	*Nominal Lamp Voltage*	*Minimum Color Rendering Index (CRI)*	*Minimum Average Lamp Efficacy (LPW)*
4-foot medium bi-pin lamps	> 35	69	75.0
	≤ 35	45	75.0
2-foot U-shaped lamps	> 35	69	68.0
	≤ 35	45	64.0
8-foot slimline lamps	> 65	69	80.0
	≤ 65	45	80.0
8-foot high output lamps	> 100	69	80.0
	≤ 100	45	80.0

(2) Federally-Regulated Incandescent Reflector Lamps. The average lamp efficacy of federally-regulated incandescent reflector lamps shall be not less than the applicable values shown in Table K-2.

Table K-2
Standards for Federally-Regulated Incandescent Reflector Lamps

Nominal Lamp Wattage	*Minimum Average Lamp Efficacy (LPW)*
40-50	10.5
51-66	11.0
67-85	12.5
86-115	14.0
116-155	14.5
156-205	15.0

(3) See Section 1605.3(k) for energy efficiency standards for state-regulated general service incandescent lamps.

(l) Emergency Lighting.

See Section 1605.3(l) for energy efficiency standards for illuminated exit signs.

(m) Traffic Signal Modules and Traffic Signal Lamps.

See Section 1605.3(m) for energy efficiency standards for traffic signal modules and traffic signal lamps.

(n) Luminaires.

See Section 1605.3(n) for energy efficiency standards and energy design standards for luminaires.

(o) Dishwashers.

The energy factor of dishwashers that are consumer products shall be not less than the applicable values shown in Table O.

Table O
Standards for Dishwashers

Appliance	*Minimum Energy Factor (cycles/kWh)*
Compact Dishwashers	0.62
Standard Dishwashers	0.46

(p) Clothes Washers.

(1) Energy Efficiency Standards for Residential Clothes Washers. The energy factor and modified energy factor of clothes washers that are consumer products shall be not less than the applicable values shown in Table P-2.

Table P-2
Energy Efficiency Standards for Residential Clothes Washers

	Minimum Energy Factor [ft^3/(kWh/cycle)]	*Minimum Modified Energy Factor [ft^3/(kWh/cycle)]**	
Appliance	*Effective May 14, 1994 through December 31, 2003*	*Effective January 1, 2004*	*Effective January 1, 2007*
Top-loading compact clothes washers	0.90	0.65	0.65
Top-loading standard clothes washers	1.18	1.04	1.26
Top-loading, semi-automatic	N/A[1]	N/A[1]	N/A[1]
Front-loading clothes washers	N/A[1]	1.04	1.26
Suds-saving	N/A[1]	N/A[1]	N/A[1]

[1]Must have an unheated rinse water option.
*The sum of the machine electrical energy consumption, the hot water energy consumption, and the energy required for removal of the remaining moisture in the wash load.

(2) Energy Design Standard for Top-Loading Semi-Automatic Clothes Washers and Suds-Saving Clothes Washers. Top-loading semi-automatic clothes washers that are consumer products and suds-saving clothes washers that are consumer products shall have an unheated rinse water option and do not need to meet the Modified Energy Factor standard shown in Table P-2.

(3) Energy Design Standard for Front-Loading Clothes Washers. Until December 31, 2003, front-loading clothes washers that are consumer products shall have an unheated rinse water option.

(4) Water Efficiency Standards for Clothes Washers. See Sections 1605.2(p) and 1605.3(p) for water efficiency standards for clothes washers.

(5) Clothes Washers that are Not Consumer Products. See Section 1605.3(p) for energy efficiency standards and energy design standards for clothes washers that are not consumer products.

(q) Clothes Dryers.

(1) Energy Efficiency Standards for Gas Clothes Dryers and Electric Clothes Dryers. The energy factor of gas clothes dryers that are consumer products and electric clothes dryers that are consumer products shall be not less than the applicable values shown in Table Q.

Table Q
Standards for Clothes Dryers

Appliance	*Minimum Energy Factor (lbs/kWh)*
Electric, standard clothes dryers	3.01
Electric, compact, 120 volt clothes dryers	3.13
Electric, compact, 240 volt clothes dryers	2.90
Gas clothes dryers	2.67

(2) Energy Design Standard for Gas Clothes Dryers. Gas clothes dryers that are consumer products shall not be equipped with a constant burning pilot.

(r) Cooking Products and Food Service Equipment.

(1) Energy Design Standard for Gas Cooking Products with an Electrical Supply Cord. Gas cooking products that are consumer products and that are equipped with an electrical supply cord shall not be equipped with a constant burning pilot.

(2) Hot Food Holding Cabinets. See Section 1605.3(r) for energy efficiency standards for commercial hot food holding cabinets.

(3) Other Cooking Products and Food Service Equipment. There is no energy efficiency standard or energy design standard for other cooking products or for food service equipment.

(s) Electric Motors.

(1) Except as provided in paragraph (2) of this subsection, the nominal full-load efficiency of all electric motors that are federally-regulated commercial and industrial equipment shall be not less than the applicable values shown in Table S.

Table S
Standards for Electric Motors

Minimum Nominal Full-Load Efficiency

Motor Horsepower		*Open Motors*			*Closed Motors*		
		6 Poles	*4 poles*	*2 poles*	*6 poles*	*4 poles*	*2 poles*
≥1	<1.5	80.0	82.5	…	80.0	82.5	75.5
≥1.5	<2	84.0	84.0	82.5	85.5	84.0	82.5
≥2	<3	85.5	84.0	84.0	86.5	84.0	84.0
≥3	<5	86.5	86.5	84.0	87.5	87.5	85.5
≥5	<7.5	87.5	87.5	85.5	87.5	87.5	875
≥7.5	<10	88.5	88.5	87.5	89.5	89.5	88.5
≥10	<15	90.2	89.5	88.5	89.5	89.5	89.5
≥15	<20	90.2	91.0	89.5	90.2	91.0	90.2
≥20	<25	91.0	91.0	90.2	90.2	91.0	90.2
≥25	<30	91.7	91.7	91.0	91.7	92.4	91.0
≥30	<40	92.4	92.4	91.0	91.7	92.4	91.0
≥40	<50	93.0	93.0	91.7	93.0	93.0	91.7
≥50	<60	93.0	93.0	92.4	93.0	93.0	92.4
≥60	<75	93.6	93.6	93.0	93.6	93.6	93.0
≥75	<100	93.6	94.1	93.0	93.6	94.1	93.0
≥100	<125	94.1	94.1	93.0	94.1	94.5	93.6
≥125	<150	94.1	94.5	93.6	94.1	94.5	94.5
≥150	<200	94.5	95.0	93.6	95.0	95.0	94.5
200		94.5	95.0	94.5	95.0	95.0	95.0

(2) The standards in this subsection do not apply to electric motors that are (A) installed and sold within another appliance that is within the scope of this Article or (B) installed in low-rise residential buildings.

(t) Distribution Transformers.

(u) Power Supplies and Consumer Audio and Video Equipment.

See Section 1605.3(u) for energy efficiency standards for power supplies and consumer audio and video equipment.

The following documents are incorporated by reference in Section 1605.1

ASME/ANSI A112.18.1M-1996 Plumbing Fixture Fittings

Copies available from: ASME International
Three Park Avenue
New York, NY 10016-5990
www.asme.org
Phone: (800) THE-ASME (U.S./CANADA)
95-800-843-2763 (MEXICO)
(973) 882-1167 (OUTSIDE NORTH AMERICA)

See Section 1605.3(t) for energy efficiency standards for distribution transformers.

Note: Authority cited: Sections 25213, 25218(e), 25402(a)-(c), 25553(b) and 25960, Public Resources Code. Reference: Sections 25216.5(d), 25402(a)-(c), 25553(b) and 25960, Public Resources Code.

§ 1605.2. State Standards for Federally-Regulated Appliances.

(a) Refrigerators, Refrigerator-Freezers and Freezers.

See Sections 1605.1(a) and 1605.3(a) for energy efficiency standards and energy design standards for refrigeration equipment.

(b) Room Air Conditioners, Room Air Conditioning Heat Pumps, Packaged Terminal Air Conditioners, and Packaged Terminal Heat Pumps.

See Section 1605.1(b) for energy efficiency standards for room air conditioners, room air-conditioning heat pumps, packaged terminal air conditioners, and packaged terminal heat pumps that are federally-regulated consumer products or federally-regulated commercial and industrial equipment.

(c) Central Air Conditioners.

(1) Energy Efficiency Standards for Air-Cooled Air Conditioners and Air-Source Heat Pumps.

(A) The EER, SEER, HSPF, and COP of air-cooled air conditioners and air-source heat pumps except space constrained products shall be not less than the applicable values shown in Table C-6.

(B) Each appliance of a type and cooling capacity covered by Table C-6 shall be equipped with a TXV.

EXCEPTION 1 to Section 1605.2(c)(1)(B): Instead of installing a TXV, a manufacturer may install any other device that is certified by the manufacturer to the Executive Director to result in an EER that is within 90 percent of the rated EER when tested at all of the following conditions:

1. Refrigerant charge at 70 percent of the refrigerant charge specified by the manufacturer of the appliance.

2. Refrigerant charge at 120 percent of the refrigerant charge specified by the manufacturer of the appliance.

3. Airflow at 80 percent of the airflow specified by the manufacturer of the appliance.

EXCEPTION 2 to Section 1605.2 (c)(1)(B): Instead of installing a TXV, a manufacturer may install a sensing mechanism integral to the compressor-containing unit, and a signaling device installed on the outside of the compressor-containing unit that is certified by the manufacturer to perform all of the following:

1. The device shall produce a visible malfunction signal whenever the refrigerant charge is less than 90 percent or greater than 120 percent of the refrigerant charge specified by the manufacturer.

2. The device shall not produce a malfunction signal when the refrigerant charge is between 95 percent and 115 percent of the refrigerant charge specified by the manufacturer.

3. The device shall produce a visible indication of proper charge whenever it is not producing a malfunction signal.

4. The device shall produce visible signals in a form that is accessible to, and readily understood by individuals with no technical training.

5. The device shall perform its tests and meet the above criteria at least once per every 10 hours of air conditioner run time.

6. The device shall provide a visible signal that indicates the status of the refrigerant charge as of the time of the last test.

EXCEPTION3 to Section 1605.2 (c)(1)(B): Instead of installing a TXV, a manufacturer may install a device whose performance is determined by the Executive Director to be equivalent in energy savings to a TXV.

Table C-6
Standards for Air-Cooled Air Conditioners and Air-Source Heat Pumps

		Minimum Standards
Appliance	*Cooling Capacity (Btu/hr)*	*Effective on the effective date of the US DOE waiver from preemption, should such a waiver be granted*
Single package air-cooled air conditioners	< 65,000	11.0 EER 13.0 SEER
Other air-cooled air conditioners	< 65,000	11.6 EER 13.0 SEER
Single package air-cooled heat pumps	< 65,000	11.6 EER 13.0 SEER 7.7 HSPF
Other air-cooled heat pumps	< 65,000	11.6 EER 13.0 SEER 7.9 HSPF
Air-cooled air conditioners	≥ 65,000 and < 135,000	11.0 EER
Air-source heat pumps	≥ 65,000 and < 135,000	11.0 EER 3.4 at 47° F. COP 2.4 at 17° F. COP
Air-cooled air conditioners	≥ 135,000 and < 240,000	10.8 EER
Air-source heat pumps	≥ 135,000 and < 240,000	10.8 EER 3.3 at 47° F. COP 2.2 at 17° F. COP

(2) See Sections 1605.1(c) and 1605.3(c) for other energy efficiency standards for these and other central air conditioners.

(3) Gas-fired Air Conditioners and Heat Pumps. There is no energy efficiency standard or energy design standard for gas-fired air conditioners or gas-fired heat pumps.

(d) Spot Air Conditioners, Evaporative Coolers, Ceiling Fans, Whole House Fans, and Residential Exhaust Fans.

There is no energy efficiency standard or energy design standard for spot air conditioners, evaporative coolers, ceiling fans, whole house fans, or residential exhaust fans.

(e) Gas and Oil Space Heaters.

(1) See Sections 1605.1(e) and 1605.3(e) for energy efficiency standards for gas and oil space heaters.

(2) See Section 1605.3(e) for standards for combination space-heating and water-heating appliances.

(f) Water Heaters.

(1) See Sections 1605.1(f) and 1605.3(f) for energy efficiency standards for water heaters.

(2) See Section 1605.3(e) for energy efficiency standards for combination space-heating and water-heating appliances.

(g) Pool Heaters, Residential Pool Pumps, and Portable Electric Spas.

(1) See Sections 1605.1(g) and 1605.3(g) for energy efficiency standards and energy design standards for pool heaters.

(2) See Section 1605.3(g) for energy efficiency standards and energy design standards for portable electric spas and residential pool pumps.

(h) Plumbing Fittings.

See Sections 1605.1(h) and 1605.3(h) for water efficiency standards for plumbing fittings.

(i) Plumbing Fixtures.

See Section 1605.1(i) for water efficiency standards for plumbing fixtures.

(j) Fluorescent Lamp Ballasts.

See Section 1605.1(j) for energy efficiency standards for fluorescent lamp ballasts.

(k) Lamps.

See Sections 1605.1(k) and 1605.3(k) for energy efficiency standards for lamps.

(l) Emergency Lighting.

See Section 1605.3(l) for energy efficiency standards for illuminated exit signs.

(m) Traffic Signal Modules and Traffic Signal Lamps.

See Section 1605.3(m) for energy efficiency standards for traffic signal modules and traffic signal lamps.

(n) Luminaires.

See Section 1605.3(n) for energy efficiency standards and energy design standards for luminaires.

(o) Dishwashers.

See Section 1605.1(o) for energy efficiency standards for dishwashers.

(p) Clothes Washers.

(1) Water Efficiency Standards for Residential Clothes Washers.

The water factor of clothes washers that are consumer products shall be no greater than the applicable values shown in Table P-3.

Table P-3
Water Efficiency Standards for Clothes Washers

Appliance	*Maximum Water Factor (Gallons/cubic foot)*	
	Effective January 1, 2007	*Effective January 1, 2010*
Top-loading clothes washers	8.5	6.0
Front-loading clothes washers	8.5	6.0

(2) Water Efficiency Standards for Commercial Clothes Washers. See Section 1605.3(p) for water efficiency standards for clothes washers that are not consumer products.

(3) Energy Efficiency Standards for Clothes Washers. See Sections 1605.1(p) and 1605.3(p) for energy efficiency standards and energy design standards for clothes washers.

(q) Clothes Dryers.

See Section 1605.1(q) for energy efficiency standards and energy design standards for clothes dryers.

(r) Cooking Products and Food Service Equipment.

(1) Hot Food Holding Cabinets. See Section 1605.3(r) for energy efficiency standards for commercial hot food holding cabinets.

(2) Gas Cooking Appliances Equipped with an Electrical Supply Cord. See Section 1605.1(r) for energy design standards for gas cooking products with an electrical supply cord.

(3) Other Cooking Products and Food Service Equipment. There is no energy efficiency standard for other cooking products or food service equipment.

(s) Electric Motors.

See Section 1605.1(s) for energy efficiency standards for electric motors.

(t) Distribution Transformers.

See Section 1605.3(t) for energy efficiency standards for distribution transformers.

(u) Power Supplies and Consumer Audio and Video Equipment.

See Section 1605.3(u) for energy efficiency standards for power supplies and consumer audio and video equipment.

Note: Authority cited: Sections 25213, 25218(e), 25402(a)-(c), 25553(b) and 25960, Public Resources Code. Reference: Sections 25216.5(d), 25402(a)-(c), 25553(b) and 25960, Public Resources Code.

§ 1605.3. State Standards for Non-Federally-Regulated Appliances.

(a) Refrigerators, Refrigerator-Freezers, and Freezers.

(1) Energy Efficiency Standard for Wine Chillers. The energy consumption of wine chillers designed and sold for use by an individual shall be no greater than the applicable values shown in Table A-4.

Table A-4
Standards for Wine Chillers

Appliance	*Maximum Annual Energy Consumption (kWh)*
Wine chillers with manual defrost	13.7V + 267
Wine chillers with automatic defrost	17.4V + 344

V = volume in ft^3.

(2) Energy Efficiency Standard for Freezers. The energy consumption of freezers that exceed 30 ft^3, do not exceed 39 ft^3, are designed and sold for use by an individual consumer, and are manufactured on or after March 1, 2003, shall be no greater than the applicable values shown in Table A-5.

Table A-5
Standards for Freezers that are consumer products

Appliance	*Maximum Annual Energy Consumption (kWh)*
Upright Freezers with manual defrost	7.55AV + 258.3
Upright Freezers with automatic defrost	12.43AV + 326.1
Chest Freezers	9.88AV + 143.7
AV = adjusted total volume, expressed in ft^3, which is 1.73 x freezer volume (ft^3)	

(3) Energy Design Standard for Lighting of Cabinets and Wine Chillers. Internal illumination of the following appliances, manufactured on or after March 1, 2003, shall be only by (1) T-8 fluorescent lamps with electronic ballasts, or (2) a lighting system that has no fewer lumens per watt than a system using only T-8 fluorescent lamps with electronic ballasts.

(A) remote reach-in cabinets with transparent doors; remote pass-through cabinets with transparent doors; and remote roll-in or roll-through cabinets with transparent doors;

(B) cabinets, without doors; and

(C) wine chillers that are not consumer products.

(4) Energy Design Standards for Walk-In Refrigerators and Walk-In Freezers.

All Walk-in Refrigerators and Walk-in Freezers. Walk-in refrigerators and walk-in freezers manufactured on or after the effective dates shown in Table A-6, with the applicable motor types shown in Table A-6, shall be manufactured with the required components shown in Table A-6.

Table A-6:
Energy Design Standards for Walk-In Refrigerators and Walk-In Freezers

Motor Type	*Effective Date*	*Required Components*
All	January 1, 2006	Automatic door closers that firmly close all reach-in doors
All	January 1, 2006	Automatic door closers on all doors no wider than four foot or higher than seven foot, that firmly close walk-in doors that have been closed to within one inch of full closure
All	January 1, 2006	Envelope insulation > R-28 for Refrigerators
All	January 1, 2006	Envelope insulation > R-36 for Freezers
Condenser Fan Motors <1 HP	January 1, 2006	(i) Electronically commutated motors, (ii) permanent split capacitor-type motors, (iii) polyphase motors > ½ HP, or (iv) motors of equivalent efficiency as determined by the Executive Director
Single-phase Evaporator Fan Motors < 1 HP and < 460 volts	January 1, 2006	(i) Electronically commutated motors or (ii) permanent split capacitor-type motors
Single-phase Evaporator Fan Motors < 1 HP and < 460 volts	January 1, 2008	Electronically commutated motors

(ii) Walk-in Refrigerators and Walk-in Freezers with Transparent Reach-in Doors.

In addition to the requirements in (i), walk-in refrigerators and walk-in freezers with transparent reach-in doors that are manufactured on or after January 1, 2006 shall meet the following requirements:

(I) transparent reach-in doors shall be of triple-pane glass with either heat-reflective treated glass or gas fill;

(II) if the appliance has an anti-sweat heater without anti-sweat heat controls, then: the appliance shall have a total door rail, glass, and frame heater power draw of no more than 40 watts (freezers) or 17 watts (refrigerators) per foot of door frame width; and

(III) if the appliance has an anti-sweat heater with anti-sweat heat controls, and the total door rail, glass, and frame heater power draw is more than 40 watts (freezers) or 17 watts (refrigerators) per foot of door frame width, then: the anti-sweat heat controls shall reduce the energy use of the anti-sweat heater in an amount corresponding to the relative humidity in the air outside the door or to the condensation on the inner glass pane.

(5) Energy Efficiency Standard for Reach-in Cabinets, Pass-Through Cabinets, Reach-in or Roll-through Cabinets, Refrigerated Canned and Bottled Beverage Vending Machines, and Wine Chillers That Are Not Consumer Products. The daily energy consumption of reach-in cabinets, pass-through cabinets, roll-in or roll-through cabinets, refrigerated canned and bottled beverage vending machines, and wine chillers that are not consumer products, manufactured on or after the effective dates shown shall be no greater than the applicable values shown in Table A-7.

(6) Energy Design Standard for Refrigerated Canned and Bottled Beverage Vending Machines. Refrigerated canned and bottled beverage vending machines manufactured on or after January 1, 2006 shall be equipped with hard wired controls or software capable of automatically placing the machine into each of the following low power mode states and of automatically returning the machine to its normal operating conditions at the conclusion of the low power mode:

(A) Lighting low power state - lights off for an extended period.

(B) Refrigeration low power state - the average beverage temperature is allowed to rise above 40 degrees F. for an extended period of time.

(C) Whole machine low power state - the lights are off and the refrigeration operates in its low power state.

The low power mode-related controls/software shall be capable of on-site adjustments by the vending operator or machine owner.

(7) Appliances Covered.

(A) Reach-in cabinets include but are not limited to ice cream cabinets; milk or beverage cabinets; and milk, beverage, and ice cream cabinets.

(B) The appliances listed in paragraphs (3) and (5) and Table A-7 do not include preparation tables, refrigerated buffet and preparation tables, or work top tables.

Table A-7
Standards for Reach-In Cabinets, Pass-Through Cabinets, Roll-In or Roll-Through Cabinets, Refrigerated Canned and Bottled Beverage Vending Machines, and Wine Chillers that are Not Consumer Products

Maximum Daily Energy Consumption (kWh)

Appliance	*Doors*	*March 1, 2003*	*August 1, 2004*	*January 1, 2006*	*January 1, 2007*
Reach-in cabinets, pass-through cabinets, and roll-in or roll-through cabinets that are refrigerators; and wine chillers that are not consumer products	Solid	0.125V + 4.22	0.125V + 2.76	0.10V + 2.04	0.10V + 2.04
	Transparent	0.172V + 5.78	0.172V + 4.77	0.172V + 4.77	0.12V + 3.34
Reach-in cabinets, pass-through cabinets, and roll-in or roll-through cabinets that are freezers (except ice cream freezers)	Solid	0.398V + 2.83	0.398V + 2.28	0.40V + 1.38	0.40V + 1.38
	Transparent	0.940V + 5.10	0.940V + 5.10	0.940V + 5.10	0.75V + 4.10
Reach-in cabinets, pass-through cabinets, and roll-in or roll-through cabinets that are freezers that are ice cream freezers	Solid	0.398V + 2.83	0.398V + 2.28	0.398V + 2.28	0.39V + 0.82
	Transparent	0.940V + 5.10	0.940V + 5.10	0.940V + 5.10	0.88V + 0.33
Reach-in cabinets that are refrigerator-freezers and that have an adjusted volume (AV) of 5.19 ft^3 or greater	Solid	0.273AV + 2.63	0.273AV + 1.65	0.273AV + 1.65	0.27AV – 0.71
Reach-in cabinets that are refrigerator-freezers and that have an adjusted volume (AV) of less than 5.19ft^3	Solid or Transparent			0.70	0.70
Refrigerated canned and bottled beverage vending machines when tested at 90° F ambient temperature except multi-package units	Not applicable			0.55(8.66 + (0.009 x C))	0.55(8.66 + (0.009 x C))
Refrigerated multi-package canned and bottled beverage vending machines when tested at 75° F ambient temperature	Not applicable			0.55(8.66 + (0.009 x C))	0.55(8.66 + (0.009 x C))

V = total volume (ft^3)
AV = Adjusted Volume = [1.63 x freezer volume (ft^3)] + refrigerator volume (ft^3)
C = Rated capacity (number of 12 ounce cans)

V = total volume (ft^3)
AV = Adjusted Volume = [1.63 x freezer volume (ft^3)] + refrigerator volume (ft^3)

(8) Energy Efficiency Standards for Automatic Commercial Ice-Makers. The daily energy use and the daily condenser water use of automatic commercial ice-makers manufactured on or after January 1, 2008, shall be no greater than the applicable values shown in Table A-8.

Table A-8
Standards for Automatic Commercial Ice-Makers

Equipment Type	*Type of Cooling*	*Harvest Rate (lbs ice/24 hours)*	*Maximum Energy Use (kWh/100 lbs. ice)*	*Maximum Condenser Water Use (gallons/100 lbs. ice)*
Ice-Making Head	Water	< 500	7.80-.0055H	200-.022H
		≥ 500 and <1436	5.58-.0011H	200-.022H
		≥ 1436	4.0	200-.022H
Ice-Making Head	Air	< 450	10.26-.0086H	Not Applicable
		≥ 450	6.89-.0011H	Not Applicable
Remote-Condensing (but not remote compressor)	Air	< 1000	8.85-.0038H	Not Applicable
		≥ 1000	5.10	Not Applicable
Remote-Condensing and Remote Compressor	Air	< 934	8.85-.0038H	Not Applicable
		≥ 934	5.3	Not Applicable
Self-Contained	Water	< 200	11.40-.0190H	191-.0315H
		≥ 200	7.60	191-.0315H
Self-Contained	Air	< 175	18.0-.0469H	Not Applicable
		≥ 175	9.80	Not Applicable

H = harvest rate in pounds per 24 hours, which shall be reported within 5% of the tested value. Water use is for the condenser only and does not include potable water used to make ice.

(9) Energy Efficiency Standard for Water Dispensers. The standby energy consumption of bottle-type water dispensers, and point of use water dispensers, dispensing both hot and cold water, manufactured on or after January 1, 2006, shall not exceed 1.2 kWh/day.

(10) Refrigerators without Doors and Freezers without Doors. There are no energy efficiency standards for refrigerators without doors or freezers without doors.

(11) Other Refrigeration Equipment. See Section 1605.1(a) for energy efficiency standards for refrigerators, refrigerator-freezers, and freezers that are federally-regulated consumer products.

(b) Room Air Conditioners, Room Air-Conditioning Heat Pumps, Packaged Terminal Air Conditioners, and Packaged Terminal Heat Pumps.

See Section 1605.1(b) for energy efficiency standards for room air conditioners, room air conditioning heat pumps, packaged terminal air conditioners, and packaged terminal heat

pumps that are federally-regulated consumer products or federally-regulated commercial and industrial equipment.

(c) Central Air Conditioners.

(1) Energy Efficiency Standards for Ground Water-Source Heat Pumps and Ground-Source Heat Pumps. The EER and COP for ground water-source heat pumps and ground-source heat pumps manufactured on or after October 29, 2003, shall be not less than the applicable values shown in Table C-7.

Table C-7
Standards for Water-Source and Ground Water-Source Heat Pumps

Appliance	*Rating Condition*	*Minimum Standard*
Ground water-source heat pumps (cooling)	59° F entering water temperature	16.2 EER
Ground water-source heat pumps (heating)	50° F entering water temperature	3.6 COP
Ground-source heat pumps (cooling)	77° entering brine temperature	13.4 EER
Ground-source heat pumps (heating)	32° entering brine temperature	3.1 COP

(2) Energy Efficiency Standards for Computer Room Air Conditioners. The EER of air-cooled, water-cooled, glycol-cooled, and evaporatively-cooled computer room air conditioners manufactured on or after the effective dates shown, shall be not less than the applicable values shown in Tables C-8 and C-9.

Table C-8
Standards for Air-Cooled Computer Room Air Conditioners

		Minimum EER (Btu/watt-hour)			
Appliance	*Cooling Capacity (Btu/hr)*	*Effective January 1, 1998*	*Effective March 1, 2003*	*Effective January 1, 2004*	*Effective January 1, 2006*
Air-cooled computer room air conditioners	< 65,000	8.3	9.3	10.7	11.0
	≥ 65,000 and < 135,000	7.7	8.3	10.4	10.4
	≥ 135,000 and < 240,000	--	7.9	10.2	10.2

Table C-9
Standards for Water-Cooled, Glycol-Cooled, and Evaporatively-Cooled
Computer Room Air Conditioners

		Minimum EER (Btu/watt-hour)			
Appliance	*Cooling Capacity (Btu/hr)*	*Effective January 1, 1998*	*Effective March 1, 2003*	*Effective October 29, 2004*	*Effective October 29, 2006*
Water-cooled Gycol-cooled And evaporatively-cooled computer air conditioners	< 65,000	8.1	8.3	11.1	11.1
	≥ 65,000 and < 135,000	8.4	9.5	10.5	10.5
	≥ 135,000 and < 240,000	--	8.6	8.6	10.0

(3) Energy Efficiency Standards for Large Air-Cooled Unitary Air Conditioners. The EER of air-cooled unitary air conditioners manufactured on or after on or after the effective dates shown, shall be not less than the applicable values shown in Table C-10.

Table C-10
Standards for Large Air-Cooled Packaged Air Conditioners

		Minimum Standards	
Appliance	*Cooling Capacity (Btu/hr)*	*Effective October 1, 2006*	*Effective January 1, 2010*
Air-cooled unitary air conditioners	≥ 240,000 and < 760,000	10.0 EER	10.5 EER

(4) Gas-fired Air Conditioners and Heat Pumps. There is no energy efficiency standard or energy design standard for gas-fired air conditioners or gas-fired heat pumps.

(5) Other Central Air Conditioners. See Sections 1605.1(c) and 1605.2(c) for energy efficiency standards for central air conditioners that are federally-regulated consumer products or federally-regulated commercial and industrial equipment.

(d) Spot Air Conditioners, Evaporative Coolers, Ceiling Fans, Whole House Fans, and Residential Exhaust Fans.

There is no energy efficiency standard or energy design standard for spot air conditioners, evaporative coolers, ceiling fans, whole house fans, and residential exhaust fans.

(e) Gas and Oil Space Heaters.

(1) Boilers, Central Furnaces, Duct Furnaces, and Unit Heaters.

(A)The efficiency of boilers, central furnaces, duct furnaces, and unit heaters shall be no less than, and the standby loss shall be not greater than, the applicable values shown in Tables E-5, E-6, and E-7.

Table E-5
Standards for Boilers

Appliance	*Output (Btu/hr)*	*Minimum AFUE %*	*Minimum Combustion Efficiency %**	*Maximum Standby Loss (watts)*
Gas steam boilers with 3-phase electrical supply	< 300,000	75	--	--
All other boilers with 3-phase electrical supply	< 300,000	80	--	--
Natural gas, non-packaged boilers	≥ 300,000	--	80	147
LPG Non-packaged boilers	≥ 300,000	--	80	352
Oil, non-packaged boilers	≥ 300,000	--	83	--

*At both maximum and minimum rated capacity, as provided and allowed by the controls.

Table E-6
Standards for Furnaces

Appliance	*Applications*	*Minimum Efficiency %*
Central furnaces with 3-phase electrical supply < 225,000 Btu/hour	Mobile Homes	75 AFUE
	All others	78 AFUE or 80 Thermal Efficiency (at manufacturer's option)

Table E-7
Standards for Duct Furnaces and Unit Heaters

Standards
Maximum Thermal Efficienty %[1]

Appliance	*Fuel*	*At maximum rated capacity*	*At minimum rated capacity*	*Maximum Energy Consumption during standby (watts)*
Duct furnaces	Natural gas	80	75	10
Duct furnaces	LPG[2]	80	75	147
Unit heaters	Natural gas	80	74	10
Unit heaters	LPG[2]	80	74	147
Unit heaters	Oil	81	81	N/A

[1]As provided and allowed by the controls.
[2]Designed specifically for use with LPG.

(B) Natural gas-fired unit heaters and duct furnaces manufactured on or after January 1, 2006, shall have either power venting or an automatic flue damper.

(2) Oil Wall Furnaces, Oil Floor Furnaces and Infrared Gas Space Heaters. There are no energy efficiency standards or energy design standards for oil wall furnaces, oil floor furnaces, or infrared gas space heaters.

(3) Combination Space-Heating and Water-Heating Appliances.

(A) If part of a combination space-heating and water-heating appliance is a water heater, that part shall comply with the applicable water heater standards in Sections 1605.1(f) and 1605.3(f).

(B) If part of a combination space-heating and water-heating appliance is a furnace, boiler, or other space heater, that part shall comply with the applicable furnace, boiler, or other space heater standards in Sections 1605.1(e) and 1605.3(e).

(C) Water heaters that are federally-regulated appliances, and that are contained in combination space-heating and water-heating appliances that are federally-regulated appliances, are required only to meet the standard for the applicable type of water heater, and are not required to meet any standard for space heaters.

(4) Other Gas and Oil Space Heaters. See Section 1605.1(e) for standards for gas and oil space heaters that are federally-regulated.

(f) Water Heaters.

(1) Hot Water Dispensers and Mini-Tank Electric Water Heaters. The standby loss of hot water dispensers and mini-tank electric water heaters manufactured on or after March 1, 2003 shall be not greater than 35 watts.

Exception: This subsection does not apply to any water heater (1) that is within the scope of 42 U.S.C. sections 6292(a)(4) or 6311(1)(F), (2) that has a rated storage volume of less than 20 gallons, and (3) for which there is no federal test method applicable to that type of water heater.

(2) Small Water Heaters that are Not Federally-Regulated Consumer Products. The energy factor of small water heaters manufactured on or after March 1, 2003 that are not federally-regulated consumer products, other than hot water dispensers, booster water heaters, and mini-tank electric water heaters, shall be not less than the applicable values shown in Table F-5.

Exception: This subsection does not apply to any water heater (1) that is within the scope of 42 U.S.C. sections 6292(a)(4) or 6311(1)(F), (2) that has a rated storage volume of less than 20 gallons, and (3) for which there is no federal test method applicable to that type of water heater.

Table F-5
Standards for Small Water Heaters that are Not Federally-Regulated Consumer Products

Appliance	*Energy Source*	*Input Rating*	*Rated Storage Volume (gallons)*	*Minimum Energy Factor*[1]
Storage water heaters	Gas	≤ 75,000 Btu/hr	< 20	0.62-(.0019 x V)
Storage water heaters	Gas	≤ 75,000 Btu/hr	> 100	0.62-(.0019 x V)
Storage water heaters	Oil	≤ 105,000 Btu/hr	> 50	0.59-(.0019 x V)
Storage water heaters	Electricity	≤ 12 kW	> 120	0.93-(.00132 x V)
Instantaneous water heaters	Gas	≤ 50,000 Btu/hr	Any	0.62-(.0019 x V)
Instantaneous water heaters	Gas	≤ 200,000 Btu/hr	≥ 2	0.62-(.0019 x V)
Instantaneous water heaters	Oil	≤ 210,000 Btu/hr	Any	0.59-(.0019 x V)
Instantaneous water heaters	Electricity	≤ 12 kW	Any	0.93-(.00132 x V)

[1]Volume (V) = rated storage volume in gallons.

(3) Energy Efficiency Standards for Combination Space-Heating and Water-Heating Appliances. See Section 1605.3(e)(3) for standards for combination space-heating and water-heating appliances.

(4) Energy Efficiency Standards for Water Heaters. See Section 1605.1(f) for standards for water heaters that are federally-regulated consumer products or federally-regulated commercial and industrial equipment.

(5) Energy Efficiency Standards for Booster Water Heaters. There is no energy efficiency standard or energy design standard for booster water heaters.

(g) Pool Heaters, Residential Pool Pumps, and Portable Electric Spas.

(1) Energy Design Standard for Natural Gas Pool Heaters. Natural gas pool heaters shall not be equipped with constant burning pilots.

(2) Energy Design Standard for All Pool Heaters. All pool heaters shall have a readily accessible on-off switch that is mounted on the outside of the heater and that allows shutting off the heater without adjusting the thermostat setting.

(3) Energy Efficiency Standard for Heat Pump Pool Heaters. For heat pump pool heaters manufactured on or after March 1, 2003, the average of the coefficient of performance (COP) at Standard Temperature Rating and the coefficient of performance (COP) at Low Temperature Rating shall be not less than 3.5.

(4) Energy Efficiency Standards for Gas and Oil Pool Heaters. See Section 1605.1(g) for energy efficiency standards for gas and oil pool heaters that are federally-regulated consumer products.

(5) Residential Pool Pumps.

(A) Motor Efficiency. Pool pump motors manufactured on or after January 1, 2006 may not be split-phase or capacitor start - induction run type.

(B) Two-Speed Capability.

(i) Pump Motors. Pool pump motors with a capacity of 1 HP or more which are manufactured on or after January 1, 2008, shall have the capability of operating at two or more speeds with a low speed having a rotation rate that is no more than one-half of the motor's maximum rotation rate.

(ii) Pump Controls. Pool pump motor controls manufactured on or after January 1, 2008 shall have the capability of operating the pool pump at at least two speeds. The default circulation speed shall be the lowest speed, with a high speed override capability being for a temporary period not to exceed one normal cycle.

(6) Portable Electric Spas. The standby power of portable electric spas manufactured on or after January 1, 2006, shall be not greater than $5(V^{2/3})$Watts where V = the total volume, in gallons.

(h) Plumbing Fittings.

(1) Tub Spout Diverters. The leakage rate of tub spout diverters shall be not greater than the applicable values shown in Table H-2.

Table H-2
Standards for Tub Spout Diverters

Appliance	*Testing Conditions*	*Maximum Leakage Rate Effective March 1, 2003*
Tub spout diverters	When new	0.01 gpm
	After 15,000 cycles of diverting	0.05 gpm

(2) Showerhead-Tub Spout Diverter Combinations. Showerhead-tub spout diverter combinations shall meet both the standard for showerheads and the standard for tub spout diverters.

(3) Commercial Pre-rinse Spray Valves.

(A) The flow rate of commercial pre-rinse spray valves manufactured on or after January 1, 2006, shall be equal to or less than 1.6 gpm at 60 psi.

(B) Commercial pre-rinse spray valves manufactured on or after January 1, 2006 shall be capable of cleaning 60 plates at an average time of not more than 30 seconds per plate.

(4) Other Plumbing Fittings. See Section 1605.1(h) for energy efficiency standards for plumbing fittings that are federally-regulated consumer products.

(i) Plumbing Fixtures.

See Section 1605.1(i) for energy efficiency standards for plumbing fixtures that are federally-regulated consumer products.

(j) Fluorescent Lamp Ballasts.

See Section 1605.1(j) for energy efficiency standards for fluorescent lamp ballasts that are federally-regulated consumer products.

(k) Lamps.

(1) See Section 1605.1(k) for energy efficiency standards for federally-regulated general service fluorescent lamps and federally-regulated incandescent reflector lamps.

(2) Energy Efficiency Standards for State-Regulated General Service Incandescent Lamps.

The lamp electrical power input of state-regulated general service incandescent lamps manufactured on or after the effective dates shown in Table K-3, shall be no greater than the applicable values shown in Table K-3.

Table K-3
Standards for State-Regulated General Service Incandescent Lamps

Lamp Type	*Maximum Lamp Electrical Power Input (Watts) January 1, 2006*
Frost or Clear	(0.0500 * Lumens) + 21
Soft White	(0.0500 * Lumens) + 22.5

(l) Emergency Lighting.

Energy Standards for Illuminated Exit Signs. The input power, luminance contrast, minimum luminance, average luminance and maximum to minimum luminance ratio of illuminated exit signs manufactured on or after March 1, 2003 shall meet the requirements of Table L.

Table L
Standards for Exit Signs

Standard	*Requirement*
Input power	<5 watts per face
Luminance contrast	> 0.8
Minimum luminance	> 8.6 candelas/meter^2 measured at normal (0°) and 45° viewing angles
Average luminance	> 15 candelas/meter^2 measured at normal (0°) and 45° viewing angles
Maximum to minimum luminance ratio	< 20:1 measured at normal (0°) and 45° viewing angles

(m) Traffic Signal Modules and Traffic Signal Lamps.

(1) Energy Efficiency Standards for Traffic Signal Modules for Vehicle Control. The power consumption of traffic signal modules for vehicle control manufactured on or after March 1, 2003, shall be not greater than the applicable values shown in Table M-1 when tested at the temperatures shown.

Table M-1
Standards for Traffic Signal Modules for Vehicle Control

	Red		*Amber*		*Green*	
Type	*At 25° C (77° F)*	*At 74° C (165.2° F)*	*At 25° C (77° F)*	*At 74° C (165.2° F)*	*At 25° C (77° F)*	*At 74° C (165.2° F)*
300 mm circular	11 watts	17 watts	22 watts	25 watts	15 watts	15 watts
200 mm circular	8 watts	13 watts	13 watts	16 watts	12 watts	12 watts
300 mm arrow	9 watts	12 watts	10 watts	12 watts	11 watts	11 watts
Lane Control (X)	9 watts	12 watts	No requirement	No requirement	No requirement	No requirement
Lane Control (Arrow)	No requirement	No requirement	No requirement	No requirement	11 watts	11 watts

(2) Energy Efficiency Standards for Traffic Signal Modules for Pedestrian Control. The power consumption of traffic signal modules for pedestrian control manufactured on or after January 1, 2006 shall be not greater than the applicable values shown in Table M-2 when tested at the temperatures shown.

Table M-2
Standards for Traffic Signal Modules for Pedestrian Control

Type	*At 25° C (77° F)*	*At 74° C (165.2° F)*
Hand or 'Don't Walk' sign or countdown	10 watts	12 watts
Walking Person or 'Walk' sign	9 watts	12 watts

(3) Energy Efficiency Standards for Traffic Signal Lamps. The power consumption of traffic signal lamps manufactured on or after March 1, 2003, shall be not greater than 25 watts.

(n) Luminaires.

(1) Energy Efficiency Standard and Energy Design Standard for Torchieres. Torchieres manufactured on or after March 1, 2003, shall not consume more than 190 watts and shall not be capable of operating with lamps that total more than 190 watts. Torchieres manufactured on or after January 1, 2006, shall not use more than 190 watts. A torchiere shall be deemed to use more than 190 watts if any commercially available lamp or combination of lamps can be inserted in its socket(s) and cause the torchiere to draw more than 190 watts when operated at full brightness.

(2) Energy Efficiency Standard for Metal Halide Luminaires. Metal halide luminaires, manufactured on or after the effective dates shown in Table N-1, shall meet the requirements shown in Table N-1.

Table N-1
Standards for Metal Halide Luminaires

Lamp Position	*Lamp Rating*	*Effective Date*	*Requirements*
Vertical (base-up)	150-500 Watts	Jan. 1, 2006	Luminaires shall not contain a probe-start metal halide ballast.
Vertical (base-down)	150-500 Watts	Jan. 1, 2008	Luminaires shall not contain a probe-start metal halide ballast.
Notes: Fixtures are covered if they are capable of operating lamps that fall within the range of included lamp wattages. Vertical includes products rated for use within 15° of vertical.			

(3) Energy Efficiency Standards for Under-Cabinet Luminaires. Under-cabinet luminaires that are equipped with T-8 fluorescent lamps and that are designed to be attached to office furniture and that are manufactured on or after January 1, 2006 shall be equipped with ballasts that have a ballast efficacy factor not less than the applicable values shown in Table N-2.

Exceptions:

1. Luminaires equipped with T-8 ballasts designed for dimming.

2. Luminaires that are:

(a) specifically and exclusively designed for use in applications where electromagnetic interference from electronic ballasts would interfere with critical, sensitive instrumentation and equipment such as medical imaging devices; and

(b) clearly, legibly, and permanently labeled, in at least 12 point type and in a place likely to be seen by the purchaser and the installer, "This fixture is intended exclusively for use in applications where critical, sensitive equipment would be adversely affected by electronic lamp ballast electromagnetic radiation".

Table N-2
Standards for Under-Cabinet Luminaires

Lamp Length (inches)	*Minimum Ballast Efficacy Factor (BEF) for one lamp*	*Minimum Ballast Efficacy Factor (BEF) for two lamps*
≤ 29	4.70	2.80
≥ 29 and ≤ 35	3.95	2.30
≥ 35 and ≤ 41	3.40	1.90
≥ 41 and ≤ 47	3.05	1.65
≥ 47	2.80	1.45

(o) Dishwashers.

See Section 1605.1(o) for energy efficiency standards for dishwashers that are federally-regulated consumer products.

(p) Commercial Clothes Washers.

(1) Energy and Water Efficiency Standards for Commercial Front-Loading and Commercial Top-Loading Automatic Clothes Washers. The modified energy factor and water factor of commercial front-loading and commercial top-loading automatic clothes washers manufactured on or after the dates indicated in Table P-4 that are not consumer products shall be not less than (modified energy factor) and not more than (water factor) the applicable values shown in Table P-4.

Table P-4
Standards for Under-Cabinet Luminaires

Appliance	*Clothes Container Compartment Capacity (ft^3)*	*Minimum Modified Energy Factor Effective January 1, 2005*	*Maximum Water Factor Effective January 1, 2007*
Front-loading clothes washers	< 3.5 ft^3	1.26	9.5
Top-loading clothes washers	< 1.6 ft^3	0.65	9.5
	≥ 1.6 ft^3 and < 4.0 ft^3	1.26	9.5

(2) Energy Design Standard for Commercial Top-Loading Semi-Automatic Clothes Washers and Commercial Suds-Saving Clothes Washers. Commercial top-loading semi-

automatic clothes washers and commercial suds-saving clothes washers manufactured on or after January 1, 2005 shall have an unheated rinse water option.

(3) Other Clothes Washers. See Section 1605.1(p) and 1605.2(p) for energy efficiency standards and energy design standards for clothes washers that are federally-regulated consumer products.

(q) Clothes Dryers.

See Section 1605.1(q) for energy efficiency standards and energy design standards for clothes dryers that are federally-regulated consumer products.

(r) Cooking Products and Food Service Equipment.

(1) Energy Standards for Food Service Equipment. There is no energy efficiency standard or energy design standard for food service equipment other than commercial hot food holding cabinets.

(2) Energy Efficiency Standards for Commercial Hot Food Holding Cabinets. The idle energy rate of commercial hot food holding cabinets manufactured on or after January 1, 2006 shall be no greater than 40 Watts per cubic foot of measured interior volume.

(3) Cooking Products. See Section 1605.1(r) for the energy design standard for cooking products that are federally-regulated consumer products.

(s) Electric Motors.

See Section 1605.1(s) for energy efficiency standards for electric motors that are federally-regulated commercial and industrial equipment.

(t) Distribution Transformers. The efficiency of all low voltage dry-type distribution transformers when tested at 35 percent of the rated output power, manufactured on or after March 1, 2003 shall be not less than the applicable values shown in Table T.

Table T

Standards for Distribution Transformers

Single Phase			*Three Phase*		
Rated Power Output kVa		*Minimum Efficiency %*	*Rated Power Output kVa*		*Minimum Efficiency %*
≥ 15	< 25	97.7	≥ 15	< 30	97.0
≥ 25	< 37.5	98.0	≥ 30	< 45	97.5
≥ 37.5	< 50	98.2	≥ 45	< 75	97.7
≥50	<75	98.3	≥ 75	< 112.5	98.0
≥ 75	< 100	98.5	≥ 112.5	< 150	98.2
≥ 100	< 167	98.6	≥ 150	< 225	98.3
≥167	< 250	98.7	≥ 225	< 300	98.5
≥ 250	< 333	98.8	≥ 300	< 500	98.6
	333	98.9	≥ 500	< 750	98.7
	--	--	≥750	< 1000	98.8
	--	--		1000	98.9

(u) Power Supplies and Consumer Audio and Video Equipment.

(1) Power Supplies. The efficiency in the active mode of power supplies manufactured on or after the effective dates shall be not less than the applicable values shown (expressed as the decimal equivalent of a percentage); and the energy consumption in the no-load mode of power supplies manufactured on or after the effective dates shown shall be not greater than the applicable values shown in Table U-1 or Table U-2.

Power supplies that are made available by a product manufacturer as accessories, service parts, or spare parts for its products manufactured prior to July 1, 2006 shall be exempt from the requirements in Table U-1 and Table U-2 until June 30, 2009.

Power supplies that are made available by a product manufacturer as accessories, service parts, or spare parts for its products manufactured between July 1, 2006 and December 31, 2007 shall be exempt from the requirements in Table U-2 until December 31, 2010.

Table U-1
Standards for Power Supplies
Effective July 1, 2006

Nameplate Output	*Minimum Efficiency in Active Mode*
0 to < 1 Watt	0.49 * Nameplate Output
≥ 1 and ≤ 49 Watts	0.09 * Ln(Nameplate Output) + 0.49
> 49 Watts	0.84
	Maximum Energy Consumption in No-Load Mode
0 to 10 Watts	0.5 Watts
≥ 10 to ≤ 250 Watts	0.75 Watts
Where Ln (Nameplate Output) = Natural Logarithm of the nameplate output expressed in Watts.	

Table U-2
Standards for Power Supplies
Effective January 1, 2008

Nameplate Output	*Minimum Efficiency in Active Mode*
< 1 Watt	0.5 * Nameplate Output
≥ 1 and ≤ 51 Watts	0.09 * Ln(Nameplate Output) +0.5
> 51 Watts	0.85
	Maximum Energy Consumption in No-Load Mode
Any output	0.5 Watts
Where Ln (Nameplate Output) = Natural Logarithm of the nameplate output expressed in Watts.	

(2) Consumer Audio and Video Equipment. The power usage of consumer audio and video equipment manufactured on or after the effective dates shown shall be not greater than the applicable values shown in Table U-3. For equipment that consists of more than one individually powered product, each with a separate main plug, the individually powered products shall each have a power usage not greater than the applicable values shown in Table U-3

Table U-3
Standards for Consumer Audio and Video Equipment

Appliance type	*Effective Date*	*Maximum Power Usage (Watts)*
Compact Audio Products	January 1, 2007	2W in Audio standby-passive mode for those without a permanently illuminated clock display 4W in Audio standby-passive mode for those with a permanently illuminated clock display
Televisions	January 1, 2006	3W in TV standby-passive mode
Digital Versatile Disc Players and Digital Versatile Disc Recorders	January 1, 2006	3W in Video standby-passive mode
Digital Television Adapters	January 1, 2007	1W in STB standby-passive mode, 8W in STB on mode

Note: Authority cited: Sections 25213, 25218(e), 25402(a)-(c), 25553(b) and 25960, Public Resources Code. Reference: Sections 25216.5(d), 25402(a)-(c), 25553(b) and 25960, Public Resources Code.

§ 1606. Filing by Manufacturers; Listing of Appliances in Database.

(a) Filing of Statements.

Each manufacturer shall file with the Executive Director a statement for each appliance that is sold or offered for sale in California. The statement shall contain all of the information described in paragraphs (2) through (4) of this subsection and shall meet all of the requirements of paragraph (1) of this subsection and all other applicable requirements in this Article. For models that are in the active database before November 27, 2002, no information needs to be submitted until (i) any of the characteristics in Table V is changed or (ii) the model is discontinued.

The effective dates of this section shall be the same as the effective dates shown in Section 1605.1, 1605.2 or 1605.3 for appliances for which there is an energy efficiency, energy consumption, energy design, water efficiency, water consumption, or water design standard in Section 1605.1, 1605.2, or 1605.3. For appliances with no energy efficiency, energy consumption, energy design, water efficiency, water consumption, or water design standard in Section 1605.1, 1605.2, or 1605.3, the effective date of this section shall be January 1, 2006.

Exceptions: This subsection is not applicable to:

1. non-commercial cooking products until, as determined by the Executive Director, there takes effect a federal standard or a federal reporting requirement for annual cooking energy consumption or for a similar measure of energy performance, and

2. power supplies, and

3. refrigerators without doors and freezers without doors that are not specifically designed for display and sale of bottled or canned beverages, and

4. walk-in refrigerators and walk-in freezers, and

5. low-profile ceiling fans.

(1) General Rules.

(A) Format and Categories. Each statement shall be in a format (including but not limited to computer formats) and in categories specified by the Executive Director.

(B) When Different Statements are Required. The Executive Director may establish, modify, and enforce schedules for the submittal of statements where it is reasonably necessary for orderly processing of submittals, for example when manufacturers or third parties often submit many statements simultaneously.

(C) Asterisks in Model Numbers. In filing any statement, the manufacturer may use asterisks as a substitute for letters, numbers, blanks, or other characters in the model number, provided that an asterisk (i) shall be used only for a part of the model number that does not indicate energy consumption, energy efficiency, water consumption, or water efficiency, or a design or feature affecting such efficiency or consumption; (ii) shall represent a single letter, number, blank, or other character at the asterisk's location in the model number; and (iii) shall not be used for any of the first four letters, numbers, blanks, or other characters in the model number.

(D) Different Functions. Except as provided in Section 1606(a)(1)(G), if the same appliance is sold or offered for sale as more than one type of appliance shown in Table V (for example, if the appliance can serve both water heating and pool heating functions), the manufacturer shall submit a separate statement for each appliance type. Each appliance type for which a statement is submitted must match all the common identifiers shown in Table V.

(E) Multiple Statements. A manufacturer may file statements for more than one appliance in a single submittal to the Executive Director. If a submittal contains statements for more than one appliance, there shall be only one statement for each appliance, except as provided in Sections 1606(a)(1)(D) and 1606(a)(1)(G). The Executive Director shall allow multiple statements to be submitted on the same sheet of paper or in the same electronic file under conditions she or he determines are reasonably necessary to ensure accuracy and compatibility with the database.

(F) Split System Central Air Conditioners. The statement for split system air conditioners shall be for the combination of the compressor-containing unit and the non-compressor-containing unit most likely to represent the highest national sales volume, consistent with Section 1604(c)(3).

(G) Combination Space-Heating and Water-Heating Appliances. Manufacturers of combination space-heating and water-heating appliances shall file two statements for each such appliance. The first statement shall contain the information listed in Table V for combination space-heating and water-heating appliances, and all other information shown in Table V for "all appliances;" and the second statement shall contain the information listed in Table V for the primary function of the appliance according to the determination required by Sections 1605(e) and 1605(f), and containing all other information shown in Table V for "all appliances." Each appliance type for which a statement is submitted must match all the common identifiers shown in Table V.

(2) Manufacturer Information

(A) The name, address, telephone number, and, if available, fax number, URL (web site) address, and e-mail address of the manufacturer; provided, however, that if a parent entity is filing on behalf of a subsidiary entity, if a subsidiary entity is filing on behalf of a parent entity, or if an affiliate entity is filing on behalf of an affiliate entity, then each entity shall be clearly identified and the information shall be provided for both entities.

(B) The name, address, telephone number, and, if available, fax number and e-mail address of the individual to contact concerning the statement pursuant to Section 1606(a)(4). There shall be only one individual to contact for each category (box) in the "Appliance" column of Table V, except that the individual may, during his or her absence, delegate his or her duties in this regard.

(C) The name, address, telephone number, and, if available, fax number and e-mail address of the person signing the declaration pursuant to Section 1606(a)(4).

(3) Testing and Performance Information.

(A) A statement that the appliance has been tested in accordance with all applicable requirements of Sections 1603 and 1604. If Section 1604 provides more than one test method that may be used, the manufacturer shall identify which method was used.

(B) The name and address and, if available, telephone number, fax number, URL (web site) address, and e-mail address of the laboratory or other institution where the testing required by Sections 1603 and 1604 was performed.

(C) For commercial refrigerators, commercial refrigerator-freezers, commercial freezers, large storage water heaters, and plumbing fittings, the test reports upon which the manufacturer relies in filing information pursuant to paragraph (D) immediately below.

(D) The applicable information listed in Table V; provided, however, that submittal of information marked with "[1]" is voluntary. Where there is text in the "Permissible Answers" column, the information provided must be one of the answers shown.

Exception 1. To Section 1606(a)(3)(D):

This subsection (D) does not apply to any water heater:

(1) that is within the scope of 42 U.S.C. sections 6292(a)(4) or 6311(1)(F),

(2) that has a rated storage volume of less than 20 gallons, and

(3) for which there is no federal test method applicable to that type of water heater.

Exception 2. To Section 1606(a)(3)(D):

If an appliance has an alternative test procedure pursuant to Section 1603(c)(1), or an alternative assessment method specified pursuant to Section 1603(c)(2)(A), then the statement shall include:

(1) the following information from Table V: Manufacturer's Name, Brand Name, Model Number, and Regulatory Status; and

(2) all information from Table V that is applicable to the appliance and that is produced during the alternative test procedure or the alternative assessment method; and

(3) all other energy performance information produced during the alternative test procedure or the alternative assessment method.

Exception 3. To Section 1606(a)(3)(D):

If the Executive Director has specified that there is no test method for an appliance pursuant to Section 1603(c)(2)(B), then the statement shall include the following information from Table V: Manufacturer's Name, Brand Name, Model Number, and Regulatory Status.

(E) How Tested Data Must Be Reported.

1. For any numerical value required by Table V that is produced by a test specified in Section 1604, the reported value shall be no higher for the value for which the consumer would prefer a high number, and no lower for the value for which the consumer would prefer a low number, than the values obtained by testing; unless different specific instructions are specified in the test method specified in Section 1604.

2. For any numerical value required by Table V that is produced by calculation from measured numerical test results, the reported value shall be no higher for the values where the consumer would prefer a high number than the exact result of the calculation, and no lower than the exact result of the calculation where the consumer would prefer a low number, than the values obtained by calculating, unless different specific instructions are specified in the test method specified in Section 1604.

3. Manufacturers may report:

a. numbers higher than tested values, where the consumer would, all other things being equal, prefer lower values (or is indifferent); and

b. numbers lower than tested values, where the consumer would, all other things being equal, prefer higher values (or is indifferent).

Example: An air conditioner is tested using the appropriate test method specified in Section 1604, and the test method does not include specific instructions about the precision of reporting.

- Cooling capacity is measured as: 36,014 Btu per hour.
- For cooling capacity, consumers prefer higher values.
- The manufacturer may not report any value over 36,014 Btu per hour.
- The manufacturer chooses to report 36,000 Btu per hour.

- Electrical energy use is measured at 3,487 watts.

- For electrical energy use, consumers prefer lower values.

- The manufacturer may not report any value under 3,487 watts.

- The manufacturer chooses to report 3,500 watts.

- Using the data the manufacturer chooses to report, EER = 36,000/3,500 = 10.285714.

- For EER, consumers prefer higher values.

- The manufacturer may not report any value of EER over 10.285714 (if EER is reported with only one decimal place, the maximum value would be 10.2).

- The manufacturer chooses to report EER = 10.2 Btu per watt hour.

- If the manufacturer had chosen to report the cooling capacity as 36,014 Btu per hour, and the electrical energy use as 3,487 watts, the calculated EER would have been 36,014/3,487 = 10.328076. In this case the manufacturer could not report any value of EER over 10.328076 (if EER is reported with only one decimal place, the maximum value would be 10.3).

Table V
Data Submittal Requirements

	Appliances	*Required Information*	*Permissible Answers*
	All Appliances	*Manufacturer's Name *Brand Name *Model Number	
		Regulatory Status	Federally-regulated consumer product, federally-regulated commercial and industrial equipment, non-federally-regulated
A	Non-Commercial Refrigerators Non-Commercial Refrigerator-Freezers Non-Commercial Freezers	*Style	Category In Table A-3 (specify).
		*Defrost System	Automatic, manual, partial-automatic
		*Type	Refrigerator, refrigerator-freezer, freezer
		Access[1]	Door, drawer, both door and drawer
		Kitchen Unit[1]	Yes, no
		Internal Freezer[1]	Yes, no

Appliances	*Required Information*	*Permissible Answers*
	Wine Chiller	Yes, no
	Chest Refrigerator[1]	Yes, no
	Refrigerator Volume	
	Freezer Volume	
	Total Volume	
	Height	
	Width	
	Depth	
	Annual Energy Consumption (low)	
	Annual Energy Consumption (high)	
	Annual Energy Consumption (mean)	
	Anti-sweat Heater Switch	Yes, no
	Refrigerator Type[1]	Ozone-depleting, non-ozone depleting
	Insulation Type[1]	Ozone-depleting, non-ozone depleting
Self-contained Commercial Refrigerators with doors. Self-contained Commercial Refrigerator-Freezers with doors, Self-contained Commercial Freezers with doors, Self-contained Commercial Refrigerators specifically designed for display and sale of bottled or canned beverages without doors	*Cabinet Style	Ice cream cabinet; milk or beverage cabinet; milk, beverage, or ice cream cabinet; undercounter cabinet; other reach-in cabinet; pass-through cabinet; roll-in or roll-through cabinet; preparation table; buffet table; work top table; wine chiller that is not a consumer product.
	*Defrost System	Automatic, manual, partial-automatic
	*Type	Refrigerator, refrigerator-freezer, with a single refrigerator system, refrigerator-freezer with two refrigeration systems, freezer
	*Door Style	Solid hinged, solid sliding, transparent hinged, transparent sliding, none.
	Refrigerator Volume	
	Freezer Volume	
	Total Volume	
	Height	
	Width	
	Depth	

Appliances	*Required Information*	*Permissible Answers*
	Daily Energy Consumption	
	Type of Illumination (reach-in cabinets, pass-through cabinets, roll-in or roll-through cabinets and wine chillers that are not consumer products only) (for those with transparent doors only)	T-8 fluorescent lamps with electric ballasts, slim line T-12 fluorescent lamps with electronic ballasts, slim line T-12 fluorescent lamps with magnetic ballasts, other (specify LPW), none.
	Efficacy LFW (where Type of Illumination is required and is not T-8 fluorescent lamps with electronic ballasts) (for units manufactured on or after March 31, 2003 only)	
	Illumination Wattage	
	Refrigerant Type	Ozone-depleting, non-ozone depleting
	Insulation Type	Ozone-depleting, non-ozone depleting
Automatic Commercial Ice-makers	*Equipment Type	Ice-making head, remote-condensing, self-contained, both remote-condensing and remote-compressor
	*Cooling Type	Air, water
	*Type of Ice Harvested	Cube, flake, other (specify)
	Harvest Rate	
	Energy Consumption	
	Water Consumption	
Water Dispensers	*Type	Bottle type; Bottle type with compartment; Pressure type, bubbler; Pressure type with compartment, bubbler; Pressure type, faucet; Pressure type with compartment, faucet, Point-of-Use
	*Condenser Cooling Medium	Air cooler; water cooled
	*Style	Free-standing; Flush-to-Wall; Wall Hung; Wall Hung semi-recessed; Remote; Recessed
	*Refrigerated Compartment	
	Temperatures delivered	Cold only, cook (ambient) and cold, hot and cold

Appliances	*Required Information*	*Permissible Answers*
	Cooling Capacity (gallons/hour)	Yes, no
	Heating Capacity (6-oz. cup per hour)	
	Standby Energy Consumption (kWh/day)	
Refrigerators without doors not specifically designed for the display and sale of bottled or canned beverages, Freezers without doors, Walk-in Refrigerators, and Walk-in Freezers	None	
Refrigerated Bottled or Canned Beverage Vending Machines	Multi-package	Yes, no
	Door Type	Glass front, closed front
	Machine use designation	Indoor, indoor/outdoor
	Daily Energy Consumption at 90° F. Ambient Temperature	
	Daily Energy Consumption at 75° F. Ambient Temperature (for models manufactured on or after January 1, 2006)	
	Type of Illumination	T-8 fluorescent lamps with electronic ballasts, other (specify design and LPW).
	Standard Vendible Product	Can (specify size in ounces), (Bottle specify size in ounces)
	Standard Vendible Capacity	
	Low Power State – lighting	True, false (if True, also include: Hard-wired controls OR software)
	Low Power State – refrigeration	True, false (if True, also include: Hard-wired controls OR software)
	Low Power State – whole machine	True, false (if True, also include: Hard-wired controls OR software)
	On-Site Adjustable by Operator or Owner	True, false (if True, also include: Hard-wired controls OR software)
	Refrigerant Type	Ozone-depleting, non-ozone depleting
	Insulation type	Ozone-depleting, non-ozone depleting
	Internal volume (multi-package units only)	

*"Identifier" information as described in Section 1606(e).
1 = Voluntary.

	Appliances	Required Information	Permissible Answers
B	Room Air Conditioners and Room Air-Conditioning Heat Pumps	*Voltage	
		*Electrical Phase	1,3
		*Type	Room air-conditioner, room air conditioning heat pump, casement-only room air conditioner, casement-slider room air conditioner.
		*Louvered Sides	Yes, no
		Cooling Capacity at 95° F Electrical Input at 95° F Energy Efficiency Ratio (EER) at 95° F	
		Heating Capability	Heat pump, electric resistance heating, heat pump and electric resistance heating, no heating capability
		Heating Capacity (for heat pumps only)	
		Electrical Input (for heat pumps only)	
		Coefficient of Performance (for heat pumps only)	
		Heating Capacity (for models with electric resistance heating only)	
		Electrical Input (for those with electric resistance heating)	
		Refrigerant Type[1]	Ozone-depleting, non-ozone-depleting
	Packaged Terminal Air Conditioners and Packaged Terminal Heat Pumps	*Voltage	
		*Electrical Phase	1, 3
		*Type	PTAC, PTHP
		Cooling Capacity at 95° Electrical Input at 95° F	
		Energy Efficiency Ratio (EER) at 95° F	
		Heating Capability	Heat pump, electric resistance heating, heat pump and electric resistance heating , no heating capability
		Heating Capacity (for models with heating capability only)	

	Appliances	Required Information	Permissible Answers
		Electrical Input (for models with heating capability only)	
		Coefficient of Performance (for models with heating capability only)	
		Refrigerant Type[1]	Ozone-depleting, non-ozone-depleting
		Indoor Fan Nominal Horsepower	
		Indoor Fan Motor Type	Premium, standard
		Outdoor Fan Nominal Horsepower[1]	
		Outdoor Fan Motor Type[1]	Premium, standard
		Compressor Power[1]	
C	All Central Air Conditioners and Central Air-Conditioning Heat Pumps	*Coil Model Number with which compressor was tested (for split systems only)	
		*Type	Air conditioner, heat pump (heating and cooling), heat pump(heating only), heat pump (cooling only)
		*Energy Source for Cooling	Electricity, natural gas
		*Energy Source for Heating	Gas, oil, electric heat pump, electric resistance, heat pump and electric resistance, none.
		*Computer Room Air Conditioner	Yes, no
		*ARI Classification	
		*Voltage	
		*Electrical Phase	1, 3
		Refrigerant Type[1]	Ozone-depleting, non-ozone-depleting
		Thermostatic Expansion Valve (for air-source or air-cooled models only)	Yes, no
		Thermostatic Expansion Valve (for air-source or air-cooled models only)[1]	Exception 1, Exception 2, Exception 3, [See Section 1605.2(c)(1)(B)], no exception
		Compressor Motor Design	Single-speed, dual-speed, multiple-speed, variable-speed
		Compressor Motor Horsepower	
		Compressor Motor Type[1]	Premium, standard

Appliances	*Required Information*	*Permissible Answers*
	Outdoor Fan Motor Design	Single-speed, dual-speed, multiple-speed, variable-speed
	Outdoor Fan Motor Nominal Horsepower	
	Outdoor Fan Motor Type[1]	Premium, standard
	Outdoor Fan Motor Power Factor (for models with variable speed motors only)[1]	
	Indoor Fan Motor Design	Single-speed, dual-speed, multiple-speed, variable-speed
	Indoor Fan Motor Nominal Horsepower	
	Indoor Fan Motor Type	Premium, standard
	Indoor Fan Motor Power Factor(for variable speed motors only)[1]	
Air-Cooled, Single Package CAC< 65,000 Btu/hour and Air-Cooled, Split System, CAC< 65,000 Btu/hour	Seasonal Energy Efficiency Ratio (SEER)	
	Cooling Capacity at 82° F	
	Electrical Input at 82° F	
	Degradation Coefficient at 82°F.	
	Cooling Capacity at 95° F	
	Electrical Input at 95° F	
	Energy Efficiency Ratio (EER) at 95° F	
	Cooling Capacity at 105° F (Voluntary)	
	Electrical Input at 105° F (Voluntary)	
	Energy Efficiency Ratio (EER) at 105° F (Voluntary)	
	Cooling Capacity at 115° F (Voluntary)	
	Electrical Input at 115° F (Voluntary)	

Appliances	*Required Information*	*Permissible Answers*
	Energy Efficiency Ratio (EER) at 115° F (Voluntary)	
	Space-constrained Product	Yes, no
Air-Source, Single Package HP< 65,000 Btu/hour and	Seasonal Energy Efficiency Ratio (SEER)	
	Cooling Capacity at 82° F	
	Electrical Input at 82° F	
	Degradation Coefficient at 82° F	
	Cooling Capacity at 95° F	
Air-Source Split System HP< 65,000 Btu/hour	Electrical Input at 95° F	
	Energy Efficiency Ratio (EER) at 95° F	
	Cooling Capacity at 105° F (Voluntary)	
	Electrical Input at 105° F (Voluntary)	
	Energy Efficiency Ratio (EER) at 105° F (Voluntary)	
	Cooling capacity at 115° F (Voluntary)	
	Electrical Input at 115° F (Voluntary)	
	Energy Efficiency Ration (EER) At 115° F (Voluntary)	
	Heating Seasonal Performance Factor (HSPF)	
	Heating Capacity	
	Electrical Input	
	Space-constrained Product	Yes, no

Appliances	*Required Information*	*Permissible Answers*
Air-Cooled, Single Package CAC > 65,000 and < 760,000 Btu/hour	Cooling Capacity at 95° F	
	Electrical Input at 95° F	
Air-Cooled Split System CAC > 65,000 and < 760,000 Btu/hour	Energy Efficiency Ratio (EER) at 95° F	
	Integrated Part Load Value (IPLV) If Applicable	
All Computer Room Air Conditioners	Heating System Type[1]	Gas, oil, electric resistance, none
Air-Source, Single Package HP > 65,000 Btu/hour and < 240,000 Btu/hour;	Cooling Capacity at 95° F	
	Electrical Input at 95° F	
	Energy Efficiency Ratio (EER) at 95° F	
and	Integrated Part Load Value (IPLV) If Applicable	
Air-Source, Split-System HP > 65,000 and < 240,000 Btu/hour	Heating Capacity at 47° F	
	Electrical Input at 47° F	
	Coefficient of Performance (COP) at 47° F	
	Heating Capacity at 17° F	
	Electrical Input at 17° F	
	Coefficient of Performance (COP) at 17° F	
Evaporatively-Cooled Single Package CAC < 240,000 Btu/hour and	Cooling Capacity at 95° F	
	Electrical Input at 95° F	
	Energy Efficiency Ratio (EER) at 95° F	
Evoporatively-Cooled Split System CAC < 240,000 Btu/hour	Integrated Part Load Value (IPLV) If Applicable	
	Heating System Type[1]	Gas, oil electric resistance, none
Water-Cooled Single Package CAC < 240,000 Btu/hour and	Compressor Electrical Input (for models ≥ 65,000 Btu/hour only)	
	Indoor Fan Electrical Input (for models ≥ 65,000 Btu/hour only)	

Appliances	*Required Information*	*Permissible Answers*
Water-Cooled Split System CAC < 240,000 Btu/hour	Outdoor Fan Electrical Input (for models ≥ 65,000 Btu/hour only)	
	Cooling Capacity at 85° F Entering Water Temperature	
	Electrical Input at 85° F Entering Water Temperature	
	Energy Efficiency Ratio (EER) at 85° F Entering Water Temperature	
	Low Temperature EER at 75° F Entering Water Temperature (for models < 65,000 Btu/hour only)	
	Heating System Type[1]	Gas, oil electric resistance, none
Water-Source, Single Package HP < 240,000 Btu/hour and	Compressor Electrical Input (for models ≥ 65,000 Btu/hour only)	
	Indoor Fan Electrical Input (for models ≥ 65,000 Btu/hour only)	
	Outdoor Fan Electrical Input (for models ≥ 65,000 Btu/hour only)	
Water-Source Split System HP< 240,000 Btu/hour	Cooling Capacity at 85° F Entering Water Temperature	
	Electrical Input at 85° F Entering Water Temperature	
	Energy Efficiency Ratio (EER) at 85° F Entering Water Temperature	
	Heating Capacity at 70° F Entering Water Temperature	
	Electrical Input at 70° F Entering Water Temperature	
	Coefficient of Performance (COP) at 70° F Entering Water Temperature	
	Low Temperature EER at 75° F Entering Water Temperature (for Models < 65,000 Btu/hour only)	

Appliances	*Required Information*	*Permissible Answers*
Ground Water-Source, Single Package HP (< 240,000 Btu/hour except as noted) and	Compressor Electrical Input (for models ≥ 65,000 Btu/hour only)	
	Indoor Fan Electric Input (for models ≥ 65,000 Btu/hour only)	
	Outdoor Fan Electrical Input (for models ≥ 65,000 Btu/hour only)	
Ground Water-Source Split System HP (< 240,000 Btu/hour except as noted)	Cooling Capacity at 70° F Entering Water Temperature (for models manufactured before October 29, 2003 only)	
	Electrical Input at 70° F Entering Water Temperature (for models manufactured before October 29, 2003 only)	
	Energy Efficiency Ratio (EER) at 70° F Entering Water Temperature (for models manufactured before October 29, 2003 only)	
	Cooling Capacity at 59° F Entering Water Temperature (for all sizes, including but not limited to models ≥ 240,000 Btu/hour; on or after October 29, 2003 only)	
	Electrical Input at 59° F Entering Water Temperature (for all sizes, including but not limited to models ≥ 240,000 Btu/hour; and for models manufactured on or after October 29, 2003 only)	
	Energy Efficiency Ratio (EER) at 59° F Entering Water Temperature (for all sizes, including but not limited to models ≥ 240,000 Btu/hour; and for models manufactured on or after October 29, 2003 only)	
	Heating Capacity at 70° F Entering Water Temperature (for all sizes, including but not limited to models ≥ 240,000 Btu/hour; and for models manufactured before October 29, 2003 only)	

Appliances	*Required Information*	*Permissible Answers*
	Electrical Input at 70° F Entering Water Temperature (for all sizes; including but not limited to models ≥ 240,000 Btu/hour; and for models manufactured before October 29, 2003 only)	
	Coefficient of Performance (COP) at 70° F Entering Water Temperature(for all sizes, including but not limited to models ≥ 240,000 Btu/hour; and for models manufactured before October 29, 2003 only)	
	Heating Capacity at 50° F Entering Water Temperature (for all sizes, including but not limited to models ≥ 240,000 Btu/hour)	
	Electrical Input at 50° F Entering Water Temperature (for all sizes, including but limited to models ≥ 240,000 Btu/hour)	
	Coefficient of Performance (COP) at 50° F Entering Water Temperature (for all sizes, including but not limited to models ≥ 240,000 Btu/hour)	
	Cooling Capacity at 50° F Entering Water Temperature (for models manufactured before October 29, 2003 only)	
	Electrical Input at 50° F Entering Water Temperature (for models manufactured before October 29, 2003 only)	
	EER at 50° F Entering Water Temperature (for models manufactured before October 29, 2003 only)	
Ground-Source, Closed-Loop, Single Package HP and	Compressor Electrical Input (for models ≥ 65,000 Btu/hour only)	
	Indoor Fan Electrical Input (for models ≥ 65,000 Btu/hour only)	

Appliances	*Required Information*	*Permissible Answers*
Ground-Source, Closed-Loop, Split System HP	Outdoor Fan Electrical Input (for models ≥ 65,000 Btu/hour only) Cooling Capacity at 77° F Entering Brine Temperature Electrical Input at 77° F Entering Brine Temperature Energy Efficiency Ratio (EER) at 77° F Entering Brine Temperature Heating Capacity at 32° F Entering Brine Temperature Electrical Input at 32° F Entering Brine Temperature Coefficient of Performance (COP) at 32° F Entering Brine Temperature	
Gas-Fired Air Conditioners and Gas-Fired Heat Pumps	Cooling Capacity – (cooling bin summary) Gas Input While Cooling–(cooling bin summary) Electric Input While Cooling - (cooling bin summary) Cooling COP – Gas Cooling COP – Electric Heating Output - (heating bin summary) Gas Input While Heating – (heating bin summary) Electric Input While Heating - (heating bin summary) Heating COP – Gas Heating COP – Electric	

	Appliances	*Required Information*	*Permissible Answers*
D	Spot Air Conditioners	*Type	Single package, air-cooled; single package, evaporatively-cooled; split system: air-cooled condensing unit, coil with blower; split system evaporatively-cooled condensing unit, coil alone; single package, air-cooled (FD); single package, evaporatively-cooled (FD); split system; air-cooled condensing unit, coil with blower(FD); split system; evaporatively-cooled condensing unit, coil alone (FD)
		Cooling Capacity	
		Total Electrical Input	
		Cooling Efficiency Ratio (CER)	
		Fan Electrical Input	
		Refrigerant Type	Ozone-depleting, non-ozone-depleting
	Evaporative Coolers	*Type	Direct, indirect, indirect/direct
		Evaporative Media Saturation Effectiveness (%) (for direct evaporative coolers only)	
		Media Type (for direct evaporative coolers only)	Expanded paper, woven plastic, aspen wood, rigid cellulose, other (specify).
		Cooling Effectiveness (for indirect evaporative coolers only)	
		Total Power (Watts)	
		Airflow Rate (CFM)	
		ECER	
	Ceiling Fans, Except Low- Profile Ceiling Fans	CFM (low, medium, high)	
		Watts (low, medium, high)	
		Efficacy (low, medium, high) [CFM/Watt]	
		Light Source Type	Compact fluorescent, incandescent, other (specify), None
	Low-Profile Ceiling Fans		

	Appliances	Required Information	Permissible Answers
	Whole House Fans and Residential Exhaust Fans	*Residential Exhaust Fan Type	Inline single-port, Inline multi-port, Range hood, Bathroom and utility room
		*Whole-house Fan Type	Belt-drive, single-fan, Belt-drive, dual-fan, Direct-drive single-fan, Direct-drive dual-fan
		Fan Motor Power (Watts)	
		Air Flow (CFM)	
		Air Flow Efficiency (CFM/Watt)	
E	All Space Heaters	*Energy Source	Natural gas, LPG, oil, combination (natural gas and oil)
		*Burner Type	Induced draft, luminous, injection type, power, pressure
		Constant burning pilot light, (for gas or oil models only)	Yes, no
		*Labeled for Outdoor Installation	Yes, no
		*Electrical Phase	1, 3, none
		Draft Equipment[1]	Draft hood, draft diverter, barometric regulator, none
		Off-Cycle Devices	Stack damper, electro-mechanical inlet damper, electro-mechanical flue damper, none
		Flue Gas	Condensing, non-condensing
		Control	Single-stage, two-stage modulating, step modulating
		Fan Motor Design (furnaces only)[1]	Single-speed, dual-speed, multiple-speed, variable-speed
		Total Nominal Fan Motor Horsepower (furnaces only)	
		Fan Motor Type (furnaces only)	Premium, standard
		Fan Motor Power Factor (furnaces with variable-speed motors only)[1]	
		Pump Motor Design (boilers only)	Single-speed, dual-speed, multiple-speed, variable-speed

Appliances	*Required Information*	*Permissible Answers*
	Total Nominal Pump Motor Horsepower (boilers only)	
	Pump Motor Type (boilers only)	Premium, standard
	Pump Motor Power Factor (boilers with variable-speed motors only)[1]	
	Nameplate Input Rating	
	Rated Output	
Central Furnaces	*Mobile Home	Yes, no
	*Air Flow Direction	Up, Down, Horizontal
	Fan Blower Capacity, High, at 0.5" W.C.	
	Fan Blower Capacity, Low, at 0.5" W.C.	
	Thermal Efficiency (for models ≥ 225,000 Btu/hour input and for three- phase equipment < 225,000 Btu/hour input for which the manufacturer chooses to test using ANSI Z21.47-2001)	
	Standby Watts [controls, not fan energy] (for models ≥ 225,000 Btu/hour input only)	
	Annual Fuel Energy Consumption (for models < 225,000 Btu/hour input only, except for three-phase equipment for which the manufacturer chooses to test using ANSI Z21.47-2001)	
	Annual Fuel Utilization Efficiency [AFUE] (for models < 225,000 Btu/hour input only, except for three-phase equipment for which the manufacturer chooses to test using ANSI Z21.47-2001)	

Appliances	*Required Information*	*Permissible Answers*
	Annual Auxiliary Electrical Energy Consumption (for models < 225,000 Btu/hour input only, except for three-phase equipment for which the manufacturer chooses to test using ANSI Z21.47-2001)	
	Thermal Efficiency at Minimum Capacity Provided and Allowed by the Controls (for models ≥ 225,000 Btu/hr input only)	
Room Heaters, Floor Furnaces, and Wall Furnaces	*Type	Room heater (vented fan); room heater (gravity); floor furnace (fan); floor furnace (gravity); wall furnace (direct vent fan); wall furnace (direct furnace (vented gravity) vent gravity); wall furnace (vented fan); wall furnace (vented gravity)
	Annual Fuel Utilization Efficiency (AFUE)	
	Auxiliary Electric Power (for fan-type heaters only)	
	Average Annual Auxiliary Electrical Energy Consumption (for fan-type heaters only)[1]	
Duct Furnaces and Unit Heaters	*Type	Duct furnace; low static unit heater; high static unit heater; floor-mounted unit heater
	Thermal Efficiency at Maximum Rated Capacity	
	Energy Consumption During Standby	
	Thermal Efficiency at Minimum Rated Capacity	
	Power-Venting (natural gas models only)	Yes, no
	Automatic Flue Damper (natural gas models only)	Yes, no

Appliances	*Required Information*	*Permissible Answers*
Infrared Gas Space Heaters	*Type	Patio heater, non-patio heater
	Intensity	High, low
	Radiant Tube Type	Yes, no
	Portable	Yes, no
	Vented	Yes, no
	Physically Possible to Measure Radiant Coefficient	Yes, no
	Combustion Efficiency (for models using ANSI test method only)	
	Radiant Coefficient (for models using ANSI test method only; for models or which it is physically possible to measure radiant coefficient only)	
	Effective Heating Area (for models using FSTC test method only)	
	Efficiency Index (for models using FSTC test method only)	
Combination Space-Heating and Water-Heating Equipment	*Primary Function	Primary function is space heating, secondary function is domestic water heating; primary function is domestic water heating, secondary function is space heating
	Volume (measured)	
	Volume (rated)	
	Energy Factor (for those models whose primary function is water heating)	
	Effective Space-Heating Efficiency (CA_{AFUE}) (for those models whose primary function is water heating)	
	Annual Fuel Utilization Efficiency (AFUE) (for those models whose primary function is space heating)	

	Appliances	*Required Information*	*Permissible Answers*
		Effective Water-Heating Efficiency (CA_{EF}) (for those models whose primary function is space heating)	
		Combined Annual Efficiency (CAE)	
	Boilers	*Type	Steam, hot water
		Design	copper, cast iron, other
		Input at Minimum Capacity[1]	
		Output at Minimum Capacity[1]	
		Combustion Efficiency (for models ≥ 300,000 Btu/hour input only)	
		Thermal Efficiency (for models ≥ 300,000 Btu/hour input and < 2,500,000 Btu/hour only)	
		Thermal Efficiency (for models ≥ 2,500,000 Btu/hour input only)[1]	
		Standby Loss (for packaged boilers > 300,000 Btu/hour input only)	
		Standby Loss (for Nonpackaged boilers > 300,000 Btu/hour input only)	
		Thermal Efficiency at Minimum Capacity Rating (for non-packaged boilers ≥ 300,000 Btu/hr input only)	
		AFUE (for models < 300,000 Btu/hour input only)	
F	All Water Heaters	*Energy Source	Natural gas, LPG, oil, electric resistance, heat pump
		Rated Volume (except booster heaters and hot water dispensers)	
		Measured Volume (large water heaters only)	
		Rated Input	

Appliances	*Required Information*	*Permissible Answers*
	Heat Traps (for storage models only)	Yes, no
	Ozone Depleting Substance In Insulation[1]	Yes, no
	Ozone Depleting Substance in Refrigerant (for heat pump water heaters only)[1]	Yes, no
	Constant burning pilot light(for large gas and oil models only)	Yes, no
	Mobile Home	Yes, no
Booster Heaters	Flow Capacity	
	Thermal Efficiency at 100% Capacity with 110° F Water Input Temperature	
Hot Water Dispensers	Standby Loss	
Mini-Tank Electric Water	First Hour Rating	
	Height	
	Width at the Point of Greatest Width	
	Depth at the Point of Greatest Depth	
	Recovery Efficiency	
	Standby Loss % per hour	
	Total Standby Loss	
	Annual Energy Consumption	
Other Small Electric Water Heaters	Annual Energy Consumption[1]	
	Tabletop Water Heater	Yes, no
	First Hour Rating	
	Energy Factor	
Large Electric Water Heaters	Thermal Efficiency (instantaneous models only)	
	Standby Loss, % per hour (except for those models > 140 gallons for which exemption from standby loss standard is claimed	

Appliances	*Required Information*	*Permissible Answers*
	Standby Loss, Watts (except for those models > 140 gallons for which exemption from standby loss standard is claimed)	
	R-value of Insulation (for models > 140 gallons) except those which comply with standby loss standard	
Small Gas Water Heaters and Small Oil Water Heaters	First Hour Rating (for storage models only)	
	Maximum Gallons Per Minute (for instantaneous models only)	
	Recovery Efficiency	
	Annual Energy Consumption[1] Energy Factor	
	Pilot Light Energy Consumption (for instantaneous models only)	
Large Gas Water Heaters and Large Oil Water Heaters	Thermal Efficiency	
	Standby Loss, %/hr (except for those models > 140 gallons for which exemption from standby loss standard is claimed)	
	Standby Loss, Btu/hr (except for those models > 140 gallons for which exemption from standby loss standard is claimed)	
	Electrical Power During Recovery	
	While Appliance is Heating (for storage models only)	
	Electrical Power During Standby	
	R-value of Insulation (for models >140 gallons only) for which exemption from standby loss standard is claimed	
	Flue Damper (for models > 140 gallons only)	Yes, no

	Appliances	*Required Information*	*Permissible Answers*
		Fan Assisted Combustion (for models >140 gallons only)	Yes, no
	Heat Pump Water Heaters	Current Rating	
		Voltage	
		Energy Factor (for models ≤ 24 amps current rating only)	
		Standby Loss (for models > 24 amps current rating only)	
		Thermal Efficiency (for models > 24 amps current rating and > 4,000 Btu/hour per gallon only)	
		R-value of Insulation (for models >24 amps current rating only)	
		Refrigerant Type[1]	Ozone-depleting, non-ozone-depleting
G	Heat Pump Pool Heaters	Heating Capacity at Standard Temperature Rating	
		Readily-accessible on-off switch	Yes, no
		Coefficient of Performance at Standard Temperature Rating	
		Heating Capacity at Low Temperature Rating	
		Coefficient of Performance at Low Temperature Rating	
		Heating Capacity at Spa Conditions Rating	
		Coefficient of Performance at Spa Conditions Rating	
		Refrigerant Type[1]	Ozone-depleting, non-ozone-depleting
	Other Pool Heaters	Energy Source	Natural gas, LPG, oil, electric resistance
		Readily-accessible on-off switch	Yes, no

Appliances	*Required Information*	*Permissible Answers*
	Constant burning pilot light (for gas models)	Yes, no
	Input	
	Thermal Efficiency	
Residential Pool Pumps	Motor Construction	PSC, Cap Start-Cap Run, ECM, Cap Start-induction run, split-phase
	Motor Design	Single-speed, dual-speed, multiple-speed, variable-speed
	Motor has Capability of Operating at Two or More Speeds with the Low Speed having a Rotation Rate that is No More than One-Half of the Motor's Maximum Rotation Rate	Yes, no
	Pool Pump Motor Service Factor	
	Motor Efficiency (%)	
	Rated Horsepower	
	Flow for Curve 'A' (in gpm)	
	Power for Curve 'A' (in Watts)	
	Energy Factor for Curve 'A' (in gallons per Watt-hour)	
	Flow for Curve 'B' (in gpm)	
	Power for Curve 'B' (in Watts)	
	Energy Factor for Curve 'B'(in gallons per Watt-hour)	
Portable Electric Spas	*Voltage	
	Volume (gallons)	
	Rated Capacity (number of people)	
	Insulation R-value of Spa Cover Provided with the Spa	
	Standby Power (watts)	

	Appliances	*Required Information*	*Permissible Answers*
		Spa Enclosure is Fully Insulated	Yes, no
		If Spa is Fully Insulated, R-value of Insulation	
H	Plumbing Fittings	*Type	Showerhead, lavatory faucet, kitchen faucet, metering faucet, lavatory replacement aerator, kitchen replacement aerator, wash fountain, lift-type tub spout diverter, turn-type tub spout diverter, pull-type tub spout diverter, push-type tub spout diverter
		Flow Rate	
		Pulsating (for showerheads only)	Yes, no
		Rim Space (for wash fountains only)	
		Tub Spout Leakage Rate When New	
		Tub Spout Leakage Rate After 15,000 Cycles	
	Commercial Pre-rinse Spray Valves	Flow Rate (gpm)	
I	Plumbing Fixtures	*Type	Blowout water closet, gravity tank type water closet, electromechanical hydraulic water closet, flushometer tank water closet, urinal, prison-type urinal, prison-type water closet, flushometer valve water closet, trough-type urinal, waterless urinal, vacuum type urinal, vacuum type water closet
		Water Consumption	
		Trough Length (trough-type urinals only)	
J	Fluorescent Lamp Ballasts	*Ballast Input Voltage	120, 277,other (specify)
		*Number of Lamps	
		*Type of Lamp	F40T12, F96T12, F96T12HO, other T12 (specify), T5, T8, other (specify)

	Appliances	Required Information	Permissible Answers
		Designed for Dimming	Continuous, stepped, no
		Designed for Dimming to 50% or Less of Maximum Output	Continuous, stepped, no
		Power Factor	
		Building Application	Designed but not labeled for use only in residential buildings, designed and labeled for use only in residential buildings, other
		Designed for Use in Ambient Temperatures of ≤ 0° F	Yes, no
		Designed for Use (a) at Ambient Temperatures ≤ -20° F and (b) in an Outdoor Sign (for models with two F96T12HO lamps only)	Yes, no
		Replacement Ballast as Defined in Section 1602(j)	Yes, no
		Total Nominal Lamp Watts	
		Ballast Efficacy Factor	
		Relative Light Output	
		Circuit Design	Cathode cut-out, electronic, magnetic
		Start	Instant, rapid
K	Federally-regulated general service fluorescent lamps and federally regulated incandescent reflector lamps	*Type	4-foot medium bi-pin general service fluorescent lamp, 2-foot U-shaped general service fluorescent lamp, 8-foot slim line general service fluorescent lamp, 8-foot high output general service fluorescent lamp, incandescent reflector lamp
		Lumens[1]	
		Nominal Lamp Wattage	
		Color Rendering Index (for general service fluorescent lamp models only)	
		Average Lamp Efficacy	

	Appliances	*Required Information*	*Permissible Answers*
	State-regulated general service incandescent lamps	Rated Lumens	
		Rated Lamp Wattage	
		Bulb Finish	Clear, frost, soft white
		Average Lamp Efficacy	
		ANSI-designated bulb Shape	A-15, A-19, A-21, A-23, A-25, PS-25, PS-30, BT-14.5, BT-15, CP-19, TB-19, CA-22
L	Emergency Lighting	Light Source Type	LED, electroluminescent, fluorescent, incandescent, other (specify)
		Height of Letters "E, X, T"	
		Width of Letters "E, X, T"	
		Height of Letter "I"	
		Width of Letter "I"	
		Battery Backup	Yes, no
		Number of Faces	
		Sign Format	Edge-lit, panel, matrix, stencil, other (specify)
		Input Power	
		Minimum Luminance of Face	
		Maximum Luminance of Face	
		Average Luminance of Face Maximum to Minimum Luminance Ratio	
		Luminance Contrast	
M	Traffic Signal Modules for Vehicle control	Module Color	Green, amber, red
		Module Type	circular, arrow, lane control-arrow, lane control- X, pedestrian, other (Specify)
		Module Size (circular, arrow only)	
		Power Consumption at 25° C	
		Power Consumption at 74° C	

	Appliances	*Required Information*	*Permissible Answers*
	Traffic Signal Modules for Pedestrian Control	Module Type	Hand, Walking Person, walk, don't walk, countdown (Specify)
		Power Consumption at 25° C	
		Power Consumption at 74°	
N	Torchieres	*Lamp Type of Upward-Facing Lamp(s)	Screw-based Incandescent, Halogen, Fluorescent Pin-based, Other (specify)
		*Lamps-Type of Side Lamp(s)	Screw-based Incandescent, Halogen, Fluorescent Pin-based, Other, None (specify)
		Total Number of Lamp Sockets	
		Maximum Possible Power Demand, All Sockets (watts)	
		Method of Insuring 190 Watt Maximum Power Consumption	Current-limiting Device, Thermal Switch, Other (specify)
	Metal Halide Luminaires	*Lamp Position (orientation)	Vertical Base-Up, Vertical Base-Down, Horizontal, Universal, Other (specify)
		Lamp Rating (watts)	
		Ballast-Type[only applies models manufactured on or after January 1, 2006]	Probe-start electronic, probe-start magnetic, pulse-start electronic, pulse-start magnetic, other (specify)
	Under-Cabinet Fluorescent Fixtures	Lamp Length (inches)	
		Number of Lamps for which Fixture is Designed	
		Ballast Efficacy Factor	
O	Dishwashers	*Type	Compact, standard
		*Number of place settings	
		Power Consumption Per Cycle	
		Water Heating Dishwasher	Yes, no
		Truncated Normal Cycle Capable	Yes, no
		Energy Factor	

	Appliances	*Required Information*	*Permissible Answers*
P	Clothes Washers that are federally regulated consumer products	*Type	Front-loading, top loading
		*Controls	Automatic, semi-automatic, other (specify)
		*Axis	Horizontal, vertical
		Suds-Saving	Yes, no
		Combination Washer/Dryer[1]	Yes, no
		Clothes Container Compartment Capacity	
		Power Consumption Per Cycle[1]	
		Water Consumption Per Cycle	
		Energy Factor	
		Water Factor	
		Remaining Moisture Content	
	Clothes Washers that are not federally regulated consumer products	*Type	Front-loading, top loading
		*Controls	Automatic, semi-automatic, other (specify)
		*Axis	Horizontal, vertical
		Suds-Saving	Yes, no
		Combination Washer/Dryer	Yes, no
		Clothes Container Compartment Capacity	
		Power Consumption Per Cycle	
		Water Consumption Per Cycle	
		Energy Factor	
		Water Factor	
		Remaining Moisture Content(required only on and after January 1, 2004)	

	Appliances	Required Information	Permissible Answers
Q	Clothes Dryers	*Energy Source	Gas, electric
		*Drum Capacity	
		*Voltage	120, 240, other (specify)
		Combination Washer/Dryer[1]	Yes, no
		Automatic Termination Control[1]	Yes, no
		Energy Factor	
		Constant Burning Pilot Light (Gas models only)	Yes, no
R	Consumer Product Cooking Products [filing requirements take effect only when there is a federal standard or federal reporting requirement for annual cooking energy consumption (or similar measure of energy performance)]	*Type	Conventional range, conventional cooking top, conventional oven, microwave oven, microwave/ conventional range, other(specify)
		*Energy Source	Gas, electric, microwave
		Electrical Supply Cord (for gas models only)	Yes, no
		Constant Burning Pilot Light	Yes, no
		Annual Cooking Energy Consumption	
		Annual Self-Cleaning Energy	
		Consumption (for conventional ovens only)	
		Total Annual Energy Consumption (for conventional ovens only)	
		Clock Power Consumption (for gas conventional ovens only)	
		Pilot Light Consumption (for gas conventional ovens only)	

	Appliances	*Required Information*	*Permissible Answers*
		Annual Secondary Energy Consumption (for gas conventional ovens only)	
	Commercial Convection Ovens	Energy Input Rate	
		Idle Energy Consumption Rate	
	Commercial Hot Food Holding Cabinets	Measured Interior Volume (cu. ft.)	
		Energy Input Rate	
		Idle Energy Consumption Rate	
	Commercial Range Tops	Energy Input Rate	
		Cooking Energy Efficiency	
		Test Cooking Vessel Diameter	
S	Electric Motors	Type	NEMA Design A, NEMA Design B, IEC Design N, other (specify)
		Voltage	230, 460, both 230 and 460
		Speed	Single, multiple
		Rated Horsepower	
		Power Consumption	
		Air Exchange	Open, enclosed
		Number of Poles	2, 4, 6, 8
		Nominal Full Load Efficiency	

	Appliances	*Required Information*	*Permissible Answers*
T	Distribution Transformers	*Phase	1, 3
		Rated Output Power	
		Output Power at 35% of the Rated Output Power	
		Total Loss Power at 35% of the Rated Output Power	
		Efficiency at 35% of the Rated Output Power	
U	Power Supplies	None	
	Consumer Audio and Video Equipment	Compact Audio Products	Power Usage in Audio Standby-Passive Mode for Models Without a Permanently-Illuminated Clock Display (watts)
			Power Usage in Audio-Standby-Passive Mode for Models With Permanently-Illuminated Clock Display (watts)
		Televisions	Power Usage in TV Standby-Passive Mode (watts)
		Digital Versatile Disc Players and Digital Versatile Disc Recorders	Power Usage in Video Standby-Passive Mode (watts)
		Digital Television Adapters	Power Usage in STB-Standby-Passive Mode (watts)
			Power Usage in STB On mode (watts)

*"Identifier" information as described in Section 1606(e).
1 = Voluntary

(4) Declaration.

(A) Each statement shall include a declaration, executed under penalty of perjury of the laws of California, that

1. all the information provided in the statement is true, complete, accurate, and in compliance with all applicable provisions of this Article;

2. if the statement is being filed electronically, that the requirements of Section 1606(g) have been and are being complied with;

3. for appliances for which there is an energy efficiency, energy consumption, energy design, water efficiency, water consumption, or water design standard in Section 1605.1, 1605.2, or 1605.3, that the appliance complies with the applicable standards;

4. the appliance was tested under the applicable test method specified in Section 1604, and, for the following appliances, was tested as follows:

a. for wine chillers that are consumer products, the appliance was tested to 10 CFR Section 430.23(a)(2005) with the modifications referenced in Table A-1;

b. for automatic commercial ice-makers, the appliance was tested to ARI 810- 2003, and the reported harvest rate is within 5% of the tested value;

c. for multi-package refrigerated bottled or canned beverage vending machines, the volume was measured using ANSI/AHAM HRF1-1979;

d. for other self-contained commercial refrigerators, refrigerator-freezers, and freezers both with and without doors, the appliance's volume was measured using ANSI/AHAM HRF1-1979 and the controls of all appliances were adjusted to obtain the product temperatures referenced in Table A-2;

e. for other self-contained commercial refrigerators, refrigerator-freezers, and freezers with doors that are pass-through and roll-through refrigerators and freezers, that the back (loading) doors remained closed throughout the test;

f. for all refrigerators, refrigerator-freezers, and freezers were tested using alternating current electricity only;

g. for all split system central air conditioners and compressor-containing units, these models were tested with the non-compressor containing unit most likely to represent the highest national sales volume for the combined equipment;

h. for all gas-fired air conditioners and gas-fired heat pumps, all appliances were tested to ANSI Z21.40.4-1996 as modified by CEC, Efficiency Calculation method for Gas-Fired Heat Pumps as a New Compliance Option (1996);

i. for evaporative coolers, all appliances were tested to the applicable test method referenced in Table D with the modifications appearing in Table D;

j. for whole house fans, all appliances were tested to HVI-916, and were tested with manufacturer-provided louvers in place;

k. for heat pump pool heaters, all appliances were tested using ANSI/ASHRAE 146-1998, as modified by the Addendum Test Procedure published by the Pool Heat Pump Manufacturers Association as referenced in Table G; and

l. for commercial pre-rinse spray valves, all appliances were tested to ANSI/ASTM F2324-03, provided that adjustable flow-rate units be tested at their maximum possible flow rate.

5. all units of the appliance are marked as required by Section 1607, and, for the following appliances, are marked as follows:

a. for all air conditioners, heat pumps, furnaces, boilers, and water heaters that are not subject to NAECA and that comply with the October 29, 2001 provisions in Tables 6.2.1 A through G of ASHRAE/IESNA Standard 90.1-1999, they are marked, permanently and legibly on an accessible and conspicuous place on the unit, with a statement that the equipment complies with the 2001 requirements of ASHRAE Standard 90.1;

b. for all other air conditioners, heat pumps, furnaces, boilers, and water heaters that are not subject to NAECA and that comply with the October 29, 1999 provisions (but not with the October 29, 2001 provisions) in Tables 6.2.1 A through G shall be marked, permanently and legibly on an accessible and conspicuous place on the unit, with a statement that the equipment complies with the 1999 requirements of ASHRAE Standard 90.1;

c. for all distribution transformers, each appliance complies with the labeling requirements of NEMA Standard TP3-2000;

d. for all illuminated exit signs meeting the criteria of Section 1605.3(l), each appliance is marked by the manufacturer with a block E inside a circle; the mark commonly referred to as "Circle E." The size of the mark shall be commensurate with other markings on the sign, but not smaller than 1/4 ";

e. for all torchieres, each unit of torchieres and each package containing a torchiere is marked, permanently and legibly on an accessible and conspicuous place on the unit, in characters no less than 1/8 " on the inner surface of the reflector bowl of the torchiere, and 1/4 " on the packaging, "LAMPS MUST TOTAL NO MORE THAN 190 WATTS-TORCHIERE IS NON-COMPLIANT IF IT IS ABLE TO DRAW MORE THAN 190 WATTS.";

f. for ceiling fans, each package containing a ceiling fan whose diameter exceeds 50 inches is marked, permanently and legibly on an accessible and conspicuous place on the unit's packaging, in characters no less than 1/4 ", the unit's airflow at high, medium, and low speed in CFM, and the unit's air flow efficiency in CFM/Watt at high, medium and low speed;

g. for commercial pre-rinse spray valves, each unit is marked, permanently and legibly on an accessible and conspicuous place on the unit, in characters no less than 1/8 ", the flow rate of the unit, in gallons-per minute (gpm) at 60 psi;

h. for residential pool pumps, each pool pump is marked permanently and legibly on an accessible and conspicuous place on the unit, in characters no less than 1/4", with both the rated horsepower of the pump and the total horsepower of the motor.

(B) If the manufacturer is a corporation, partnership, or other business entity, the declaration shall be signed by an individual authorized to make the declaration and file the statement on behalf of the business entity, and the declaration shall contain an affirmation that the individual signing is so authorized.

(C) The declaration shall be submitted and maintained as follows:

1. Statements filed on paper.

a. If the statement is filed by a manufacturer, then the manufacturer shall file a wet-signed paper declaration with the Executive Director and the Executive Director shall keep the declaration.

b. If the statement is filed by a third party under Section 1606(f), then the manufacturer shall file a wet-signed paper declaration with the third party and the third party shall keep the declaration and shall provide it to the Executive Director on request.

2. Statements filed electronically.

a. If the information is filed by a manufacturer, then either:

(i) the manufacturer shall file a wet-signed paper declaration with the Executive Director and the Executive Director shall keep the declaration;

(ii) if the Executive Director has approved the use of a unique digital identifier for this purpose, the manufacturer shall include in the statement a declaration digitally signed under Government Code 16.5 and Title 2, California Code of Regulations, Division 7, Chapter 10 (beginning with Section 22000); or

(iii) the manufacturer shall execute a wet-signed paper declaration, electronically scan and copy the declaration, include the electronic copy of the declaration with the statement filed with the Executive Director, and keep the wet-signed paper declaration and provide it upon request to the Commission; and the Commission shall keep the electronic copy of the declaration.

b. If the information is filed by a third party under Section 1606(f), then either:

(i) the manufacturer shall file a wet-signed paper declaration with the third party and the third party shall keep the declaration and shall provide it to the Executive Director on request;

(ii) if the Executive Director has approved the use of a unique digital identifier for this purpose, the manufacturer shall execute a declaration digitally signed under Government Code 16.5 and Title 2, California Code of Regulations, Division 7, Chapter 10 (beginning with Section 22000), and provide the electronic declaration to the third party; and the third party shall keep a copy of the electronic declaration and shall provide it to the Executive Director on request; or

(iii) the manufacturer shall execute a wet-signed paper declaration, electronically scan and copy the declaration, include both the wet-signed paper declaration and the electronic copy of the declaration with the electronic information provided to the third party; the third party shall include the electronic copy with information filed with the Executive Director, shall keep an electronic copy, and shall provide the wet-signed paper declaration to the Executive Director upon request; and the Executive Director shall keep a copy of the electronic declaration.

(b) Review of Statements by the Executive Director.

In this subsection, "manufacturer" also includes a third party filing a statement under Section 1606(f).

(1) Determination. The Executive Director shall determine whether a statement is complete, accurate, and in compliance with all applicable provisions of this Article, and whether

the appliance for which the statement was submitted complies with all applicable standards in Sections 1605.1, 1605.2, and 1605.3.

(2) Informing Manufacturer of Determination.

(A) The Executive Director shall inform the manufacturer of the determination within these time limits: if the statement was filed electronically, within 14 calendar days after receipt by the Executive Director; if the statement was filed on paper, within 21 calendar days after receipt by the Executive Director.

(B) The Executive Director's determination shall be sent to the manufacturer electronically if the statement was filed electronically and either electronically or on paper if the statement was filed on paper.

(3) Nature of Determination.

(A) Statement is Incomplete. If the Executive Director determines that a statement is not complete, or that the statement does not contain enough information to determine whether it is accurate or whether the appliance complies with an applicable standard, the Executive Director shall return the statement to the manufacturer with an explanation of its defects and a request for any necessary additional information. The manufacturer shall refile the statement with all information requested by the Executive Director and with any other information it wants to file. The Executive Director shall review the refiled statement according to the time limits in Section 1606(b)(2).

(B) Statement is Inaccurate or Appliance Does Not Comply. If the Executive Director determines that the statement is inaccurate or that the appliance does not comply with an applicable standard, the Executive Director shall reject the statement and return it to the manufacturer with an explanation of its defects. The manufacturer may submit a revised statement for the appliance at any time.

(C) Statement is Complete and Accurate and Appliance Complies. If the Executive Director determines that the statement is complete and accurate and that the appliance complies with all applicable standards, the Executive Director shall immediately include the appliance in the database and shall so inform the manufacturer. (Section 1608(a) states that no appliance within the scope of these regulations may be sold or offered for sale in California unless the appliance is in the database.)

(c) Database of Appliance Models.

(1) Creation of Database. The Executive Director shall maintain a database. The database shall consist of two parts:

(A) "Active Database." The active database shall contain, at least, information on all appliances that are currently in production, for which complete and accurate statements have been received pursuant to Section 1606(a), and that have not been removed from the database pursuant to Sections 1606(d)-(h), or 1608(b)-(e).

If basic models are certified using an alternate test procedure established pursuant to Section 1603(c)(1) or for which the Executive Director has made a specification under either Section 1603(c)(2)(A) or Section 1603(c)(2)(B), the Active Database shall contain a second

section which shall contain only those basic models for which certification to an applicable alternate test procedure is made.

(B) "Historical Database." The historical database shall contain, at least, information on all appliances that (1) are no longer in production, for which complete and accurate statements have been received pursuant to Section 1606(a) or (2) have been removed from the active database pursuant to Sections 1606(d)- (h), Section 1608(b), or 1608(c).

(2) Status of Database. The database is the directory published by the Commission within the meaning of Title 24, California Code of Regulations, Part 6, Subchapter 1, Section 100(g). The database in existence on the effective date of this paragraph is the directory referred to in this paragraph, until that existing database is modified by the Executive Director pursuant to this Article.

(3) Confirmation of Database Listings. The Executive Director may, by writing to the most recent address filed pursuant to Section 1606(a)(2)(B), request each manufacturer of an appliance listed in the database to confirm the validity, or to correct in compliance with this Article, all of the information in each of its database listings, including but not limited to the appliance's compliance with any applicable standard adopted since the most recent filing by the manufacturer. If, within 30 days after the mailing, there is any appliance for which the Executive Director has not received a reply from the manufacturer that confirms the validity of, or corrects, all of the information in the database listing, the Executive Director shall write via certified mail (registered mail to non-U.S. destinations), to the same address. If within 30 days of the latter mailing there is no such reply, the appliance shall be removed from the Active Database and moved into the Historical Database, and it may be presumed that the appliance is no longer in production.

(d) Assessment of Completeness, Accuracy, and Compliance of Manufacturer Statements. Notwithstanding any other provision of these regulations, the Executive Director may at any time challenge the completeness, accuracy, and compliance with the requirements of this Article, of any statement or confirmation filed pursuant to this Section. If the statement is incomplete or inaccurate, or if the Executive Director determines that the statement otherwise fails to comply with any of the requirements of this Article (including but not limited to non-compliance with standards currently in effect, but not in effect when the statement was filed), then he or she shall, ten working days after providing written notice by certified mail (registered mail to non-U.S. destinations) to the person designated in Section 1606(a)(2)(B), remove the appliance from the database described in Section 1606(c).

(e) Modified and Discontinued Appliances.

(1) If any of the characteristics listed in Table V are changed, the manufacturer shall file a statement containing only the identifiers and the modified information for all the characteristics that have been changed for the appliance. Upon receipt of such a statement, the Executive Director shall review the statement under Section 1606(b). If the statement is complete, accurate, in compliance with all applicable standards, the Executive Director shall modify the database accordingly.

(2) After any appliance has ceased being sold or offered for sale in California the manufacturer shall file a statement so stating and only containing the identifiers shown in Table V for the appliance. Upon receipt of such a statement, the Executive Director shall review the statement under Section 1606(b). If the statement is complete, accurate, and in compliance with

all applicable provisions of this Article, the Executive Director shall move the appliance from the Active Database to the Historical Database.

(f) Filing by Third Parties.

(1) A third party may file on behalf of a manufacturer the information required by Sections 1606(a)(2), 1606(a)(3), 1606(a)(4), 1606(c)(3), or 1606(e) if:

(A) before or with its first submittal, and at least annually thereafter, the third party submits to the Executive Director, under penalty of perjury, persuasive evidence that:

1. the third party has read and understood all the provisions of this Article, of federal law, and of all other documents applicable to each appliance category in Subsections (a)-(u) of Section 1601 for which the third party will file information; and

2. the third party is financially and technically capable of complying with the applicable provisions of this Article;

(B) the manufacturer submits to the third party:

1. the information that is required;

2. a declaration under penalty of perjury, and where applicable pursuant to Section 1606(a)(4)(B),

a. that the information is true, complete, accurate, and in compliance with all applicable provisions of this Article, and,

b. for appliances for which there is an energy efficiency, energy consumption, energy design, water consumption, water efficiency, or water design standard in Section 1605.1, 1605.2, or 1605.3, that the model complies with the applicable standards; and

3. an authorization, filed with both the third party and the Commission, for the third party to submit the information to the Commission on behalf of the manufacturer.

(C) the third party submits to the Executive Director, in compliance with the requirements of this Article applicable to manufacturer-filed submittals:

1. the information that is required; and

2. a declaration under penalty of perjury, and where applicable pursuant to Section 1606(a)(4)(B), that:

a. to the best of the third party's knowledge and belief, the information submitted to the Commission is the same as the information submitted by the manufacturer to the third party; the information is true, complete, accurate, and in compliance with all applicable provisions of this Article; and, for appliances for which there is an energy efficiency, energy design, water consumption, or water efficiency standard in Section 1605. 1, 1605.2, or 1605.3, the appliance complies with the applicable standards; and

b. the requirements of Sections 1606(f)(1) are met;

(D) the third party has an agreement with the manufacturer that allows the third party to challenge the truth, accuracy, and completeness of information submitted by the manufacturer to the third party, and to refuse to submit to the Commission information that the third party believes is not truthful, accurate, or complete; and

(E) the third party provides, upon ten days' written notice from the Executive Director, all information provided by the manufacturer and all information relating to any challenges pursuant to Section 1606(f)(1)(D).

(F) This paragraph (F) applies only to the situation in which one manufacturer (designated Manufacturer A here) manufactures an appliance, and another manufacturer (designated Manufacturer B here) wants to be designated as the manufacturer pursuant to Section 1606(a)(2)(A), the first line of Table V, and Section 1607(b)(1). In that situation, Manufacturer A may file as a third party on behalf of Manufacturer B, if:

1. there is compliance with all of the requirements of paragraphs (A)-(E) of Section 1606(f)(1);

2. the names, addresses, telephone numbers, and e-mail addresses of each manufacturer are included in the filing;

3. the filing indicates which manufacturer is acting as Manufacturer A and which manufacturer is acting as Manufacturer B; and

4. within the 12 months before the filing, both manufacturers have jointly submitted to the Commission a statement that both want to make filings pursuant to this paragraph (F).

(2) Whether a manufacturer files information required by this Section by itself or via a third party, the manufacturer remains responsible for the truth, accuracy, completeness, and timeliness of all required filings.

(3) At any time the Executive Director may forbid a third party from making filings for a specified time, allow reinstatement subject to appropriate conditions, and remove affected appliances from the database, if he or she finds that there is noncompliance with an applicable provision of this Article.

(4) If the Executive Director has suspended or revoked the approval of a trade association directory under Section 1606(h)(2)(B), that trade association is prohibited from being approved as a third party until it has obtained re-approval under Section 1606(h)(2)(B).

(5) The provisions of this Article are applicable to all submittals and filings, whether made by a manufacturer directly or by a third party on behalf of a manufacturer.

(g) Electronic Filing.

(1) Unless otherwise stated in this Article, the statements and other submittals required or allowed by this Article shall be filed electronically by all third parties acting under Section 1606(f) so that:

(A) the electronic filing uses a format and characteristics, including without limitation appropriate formatting, that are specified by the Executive Director, and includes a declaration that complies with Section 1606(a)(4);

(B) within three days of the electronic filing being made, an exact paper copy of all declarations required by Sections 1606(a)(4) or 1606(f)(1)(C)(2) is executed by a person authorized under the appropriate section to execute it;

(C) for two years from the date of filing the person making the filing keeps the exact paper copies required by paragraph (B) immediately above and provides those copies to the Executive Director upon 10 days' written request.

(2) Any electronic filing constitutes a representation by the person making the filing that:

(A) all applicable requirements of this Article have been met;

(B) the person will electronically acknowledge receipt of all electronic communications concerning the filing from the Executive Director to the person;

(C) all electronic communications concerning the filing from the Executive Director to the person shall be deemed received by the person upon notification to the Executive Director, by the computer from which the Executive Director communication has been sent, that the communication has been sent; and

(D) all electronic communications concerning the filing from the person to the Executive Director shall be deemed received by the Executive Director only upon actual receipt.

(3) At any time the Executive Director may forbid electronic filings by any person, or generically, and may remove affected appliance models from the database, if he or she finds that an applicable requirement of this Article is not being met.

(h) Trade Association Directories.

(1) A paper or electronic directory, or a part thereof, published by an appliance trade association may be used for any purpose that the database established pursuant to Section 1606(c) is used for, if the Executive Director approves the directory, or part thereof, by determining and confirming that:

(A) the trade association is an approved industry certification program for each appliance listed in the directory;

(B) all of the applicable requirements of Section 1606(f) for third party submittals are met for the directory;

(C) the entity submits to the Executive Director:

1. all of the information in the directory, within three working days of the approval of the directory;

2. all of the information in the directory that has changed since the previous submittal, at the end of each month during which there has been any change;

3. a declaration, signed under penalty of perjury of the laws of California, that to the best of the trade association's knowledge and belief:

a. the information in the directory is the same as the information submitted by manufacturers to the trade association;

b. the information is true, complete, accurate, and in compliance with all applicable provisions of this Article;

c. each appliance complies with the applicable standards in Section 1605.1; and

d. for any appliance for which there is a standard in Section 1605.3, that the appliance meets all applicable standards unless the directory states, in a format approved by the Executive Director (including without limitation font, type size, and placement in the directory), that it is illegal in California to sell the appliance or offer it for sale.

(D) for each appliance that is listed in a trade association directory, the directory includes all of the following information, where applicable to the appliance:

manufacturer
brand
model number as it appears on the appliance
type
fuel type
voltage
electrical phase
capacity or other size measurement
input
output
standby consumption, loss, or other similar measurement; and energy efficiency, energy consumption, water efficiency, or water consumption;

(E) the directory contains no appliance in the following categories:

1. an appliance that fails to meet an applicable energy efficiency, energy consumption, energy design, water efficiency, or water consumption standard established in or pursuant to NAECA or EPAct;

2. an appliance for which the manufacturer has stated or certified that the appliance meets an energy efficiency, energy consumption, energy design, water efficiency, or water consumption standard not applicable to it; or

3. an appliance that does not, or an appliance whose manufacturer does not, meet an applicable requirement of this Article, unless the directory states, in a format approved by the Executive Director (including without limitation font, type size, and placement in the directory), that it is illegal in California to sell the appliance or offer it for sale; and

(F) each paper or electronic directory contains the following statement, in at least 20 point bolded type and on the front cover or first page, or in another format and with other characteristics as specified by the Executive Director:

"This directory [insert parts if appropriate] has been approved by the California Energy Commission (Commission) for determining compliance with its appliance efficiency regulations (Title 20, California Code of Regulations, Sections 1601-1608) and its building standards (Title 24, California Code of Regulations, Part 6). UNLESS INDICATED OTHERWISE, any appliance listed in this directory [insert parts if appropriate] may be sold, offered for sale, or installed in new construction in California. For appliances manufactured by manufacturers participating in this directory, but who have not given authorization for data submittal to the Commission, this directory cannot be used for determining compliance. For information about such appliances, appliances that are beyond the scope of this directory, or appliances produced by manufacturers who do not participate in this directory, please contact the Commission's Building Standards Hotline at 916-654-5106, 800-772-3300 (in California only), or <title24@energy.state.ca.us>. Manufacturers not granting authorization for data submittal to the Commission as of the publication date of this directory include [list all affected manufacturers]"; and

(G) at the end of each calendar quarter, the trade association mails, at no cost to recipients, a paper copy of the current directory or supplement or part thereof to the Executive Director and to all California building officials as specified by the Executive Director, and provides to the Executive Director a list of the building officials to whom the directory or supplement was sent.

(2) If the Executive Director at any time determines that an approved trade association directory does not comply with an applicable provision of this Article, or that any information in a trade association directory is substantially incomplete, inaccurate, or not in compliance with an applicable provision of this Article, then:

(A) upon written notice from the Executive Director the trade association shall immediately indicate in the directory, in a format approved by the Executive Director (including without limitation font, type size, and placement in the directory), that it is illegal in California to sell the appliance. In addition, the Executive Director shall remove the appliance from the Commission's database established under Section 1606(c) or indicate in the database that the appliance cannot legally be sold or offered for sale in California. The appliance shall be removed from, or indicated in, the Commission's database and the trade association directory, for at least sixty days, until the end of a proceeding held to consider the matter pursuant to Sections 11445.10-11445.60 of the California Government Code (or, at the third party or affected manufacturer's option, pursuant to Sections 11425.10-11425.60 of the California Government Code); and

(B) the Executive Director may suspend or revoke the approval of the trade association directory; if approval is revoked, the trade association may not seek re-approval for two years after the revocation.

(3) If the Executive Director takes action under Sections 1606(b)(3)(A) or (B), or 1608(c), (d), or (e), he or she shall direct that all trade association directories be modified accordingly.

(4) There may be more than one third-party directory for the same appliance.

(i) Retention of Records

Manufacturers, and third parties or trade associations acting under Sections 1606(a), 1606(f), and 1606(g), shall retain all data, forms, information, and all other records required by this Article concerning each appliance (1) for at least 2 years after the manufacturer informs the Executive Director, in writing, of the cessation of production of the appliance; and (2) in a manner allowing ready access by the Executive Director on request. The Executive Director shall retain all data, forms, information, and all other records required by this Article concerning each appliance for at least 10 years after the record is initially filed or reconfirmed.

Note: Authority cited: Sections 25213, 25218(e), 25402(a)-(c), 25553(b) and 25960, Public Resources Code. Reference: Sections 25216.5(d), 25402(a)-(c), 25553(b) and 25960, Public Resources Code.

§ 1607. Marking of Appliances.

(a) Scope of this Section.

Every unit of every appliance within the scope of Section 1601 shall comply with the applicable provisions of this Section. The effective dates of this section shall be the same as the effective dates shown in Section 1605.1, 1605.2 or 1605.3 for appliances for which there is an energy efficiency, energy consumption, energy design, water efficiency, water consumption, or water design standard in Section 1605.1, 1605.2, or 1605.3. For appliances with no energy efficiency, energy consumption, energy design, water efficiency, water consumption, or water design standard in Section 1605.1, 1605.2, or 1605.3, the effective date of this section shall be January 1, 2006.

(b) Name, Model Number, and Date.

Except as provided in subsection (c), the following information shall be permanently, legibly, and conspicuously displayed on an accessible place on each unit;

(1) manufacturer's name or brand name or trademark (which shall be either the name, brand, or trademark of the listed manufacturer specified pursuant to Section 1606(a)(2)(A) or, if applicable, the designated manufacturer specified pursuant to Section 1606(f)(1)(F));

(2) model number; and

(3) date of manufacture, indicating (i) year and (ii) month or smaller (e.g. week) increment. If the date is in a code that is not readily understandable to the layperson, the manufacturer shall immediately, on request, provide the code to the Energy Commission.

(c) Exceptions to Subsection (b).

(1) For plumbing fixtures and plumbing fittings, the information required by subsection (b) shall be permanently, legibly, and conspicuously displayed on an accessible place on each unit or on the unit's packaging.

(2) For lamps, the information required by subsection (b) shall be permanently, legibly, and conspicuously displayed on an accessible place on each unit, on the unit's packaging, or, where the unit is contained in a group of several units in a single package, on the packaging of the group.

(3) For fluorescent lamp ballasts, the date of manufacture information required by section 1607(b)(3) shall indicate (i) year and (ii) three-month or smaller increment. If the date is in a code that is not readily understandable to the layperson, the manufacturer shall immediately, on request, provide the code to the Energy Commission.

(d) Energy Performance Information.

(1) Federally-Regulated Consumer Products.

The marking required by 16 CFR Part 305 (2005) shall be displayed on all units of all federally-regulated consumer products of the following classes:

Refrigerators
Refrigerator-freezers
Freezers
Central air conditioners
Heat pumps
Dishwashers
Water heaters
Room air conditioners
Warm air furnaces
Pool heaters
Clothes washers
Clothes dryers
Fluorescent lamp ballasts
Showerheads
Faucets
Water closets
Urinals
General service fluorescent lamps
Incandescent reflector lamps
Direct heating equipment
Medium-base compact fluorescent lamps
Cooking equipment (kitchen ranges and ovens).

(2) Federally-Regulated Commercial and Industrial Equipment: Each unit of an appliance listed in Table W that is federally-regulated commercial and industrial equipment shall be marked, permanently and legibly on an accessible and conspicuous place on the unit, with the applicable energy performance information shown in Table W, and such information shall also be included on all printed material that is displayed or distributed at the point of sale.

Table W
Requirements for Marking of Federally-Regulated Commercial and Industrial Equipment

Class	*Energy Performance Information*
Split system central air conditioners (on printed material only)	Cooling capacity, SEER, EER
Single package central air conditioners	Cooling capacity, SEER, EER
Split system heat pumps (on printed material only)	Cooling capacity, heating capacity, SEER, EER, HSPF, COP
Single package heat pumps	Cooling capacity, heating capacity, SEER, EER, HSPF, COP
Package terminal air conditioners	Cooling capacity, EER
Package terminal heat pumps	Cooling capacity, heating capacity, EER, COP
Warm air furnaces	Input rating, thermal efficiency
Packaged boilers	Input rating, thermal efficiency, combustion efficiency
Water heaters	Input rating, rated storage volume, measured storage volume, thermal efficiency, standby loss (%/hr) standby loss (Btu/hr)
Hot water supply boilers	Rated input, rated storage volume, measured storage volume, thermal efficiency, standby loss

(3) Air Conditioners, Heat Pumps, Furnaces, Boilers, and Water Heaters. Each unit of air conditioners, heat pumps, furnaces, boilers, and water heaters that are not subject to NAECA and that comply with the October 29, 2001 provisions in Tables 6.2.1 A through G of ASHRAE/IESNA Standard 90.1-1999 shall be marked, permanently and legibly on an accessible and conspicuous place on the unit, with a statement that the equipment complies with the 2001 requirements of ASHRAE Standard 90.1. Each unit of other air conditioners, heat pumps, furnaces, boilers, and water heaters that are not subject to NAECA and that comply with the October 29, 1999 provisions (but not with the October 29, 2001 provisions) in Tables 6.2.1 A through G shall be marked, permanently and legibly on an accessible and conspicuous place on the unit, with a statement that the equipment complies with the 1999 requirements of ASHRAE Standard 90.1.

(4) Distribution Transformers. Each unit of distribution transformers shall comply with the labeling requirements of NEMA Standard TP3-2000.

(5) Illuminated Exit Signs. Each unit of illuminated exit signs meeting the criteria of Section 1605.3(l) that are sold in California (subject to the limitations of Section 1601) shall be marked by the manufacturer with a block E inside a circle; the mark commonly referred to as "Circle E." The size of the mark shall be commensurate with other markings on the sign, but not smaller than 1/4". Signs not meeting 1605.3(l) shall not be so marked.

(6) Luminaires. Each unit of torchieres and each package containing a torchiere shall be marked, permanently and legibly on an accessible and conspicuous place on the unit, in

characters no less than 1/8" on the inner surface of the reflector bowl of the torchiere, and 1/4"on the packaging, "LAMPS MUST TOTAL NO MORE THAN 190 WATTS - TORCHIERE IS NON-COMPLIANT IF IT IS ABLE TO DRAW MORE THAN 190 WATTS."

(7) Ceiling Fans. Each package containing a ceiling fan whose diameter exceeds 50 inches shall be marked, permanently and legibly on an accessible and conspicuous place on the unit's packaging, in characters no less than 1/4", the unit's airflow at high, medium, and low speed in CFM, and the unit's air flow efficiency in CFM/Watt at high, medium and low speed.

(8) Commercial Pre-Rinse Spray Valves. Each unit of commercial pre-rinse spray valve shall be marked, permanently and legibly on an accessible and conspicuous place on the unit, in characters no less than 1/8", the flow rate of the unit, in gallons-per minute (gpm) at 60 psi.

(9) External Power Supplies.

(i) Each power supply shall be marked on its nameplate with the appropriate numeral, specified below, if it meets or exceeds both the no-load and average active mode efficiency requirements associated with that numeral as specified below, at each test voltage and frequency value marked on its nameplate, when tested in accordance with the test method in Section 1604(u)(1).

a. "III" for those models certified under Section 1606 as complying with the standards effective July 1, 2006 in Table U-1 of this Article, but not as complying with the standards effective January 1, 2008 in Table U-2 of this Article.

b. "IV" for those models certified under Section 1606 as complying with the standards effective January 1, 2008 in Table U-2 of this Article.

(ii) The mark shall comply with the following:

a. Format. Roman numeral: III or IV.

b. Font. Preferred Times Roman (or other plain serif fonts).

c. Size. Legible.

d. Color. Text to contrast with the nameplate background

EXCEPTION To Section 1607(d)(9)(ii)d.:
If the marking required by these regulations is molded into the housing of the external power supply, the text need not contrast with the nameplate background.

e. Permanence. Indelible.

(10) Residential Pool Pumps.

(i) Each residential pool pump shall be marked, permanently and legibly on an accessible and conspicuous place on the unit, in characters no less than 1/4", the rated horsepower of the pump.

(ii) Each residential pool pump motor shall be marked, permanently and legibly on an accessible and conspicuous place on the unit, in characters no less than 1/4", the total horsepower of the motor.

The following standards are incorporated by reference in Section 1607.

Number	*Title*
FEDERAL MARKING REQUIREMENTS	
CFR, Title 16, Part 305 (2005)	
Copies available from:	Superintendent of Documents U.S. Government Printing Office Washington, D.C. 20402 www.access.gpo.gov/nara/cfr
AMERICAN SOCIETY OF HEATING,BREFRIGERATING AND AIR-CONDITIONING ENGINEERS (ASHRAE)	
ANSI/ASHRAE 90.1-1999	Energy Standard for Buildings Except Low-Rise Residential Buildings
Copies available from:	American Society of Heating, Refrigerating and Air-Conditioning Engineers 1791 Tullie Circle N.E. Atlanta, GA 30329 www.ashrae.org Phone: (800) 527-4723 (U.S./Canada) or (404) 636-8400 FAX: (404) 321-5478
NATIONAL ELECTRIC MANUFACTURERS ASSOCIATION (NEMA)	
NEMA TP3-2000	Standard for the Labeling of Distribution Transformer Efficiency
Copies available from:	National Electric Manufacturers Association 1300 N. 17th Street, Suite 1847 Rosslyn, VA 22209 www.nema.org Phone: (703) 841-3200 FAX: (703) 841-3300

Note: Authority cited: Sections 25213, 25218(e), 25402(a)-(c), 25553(b) and 25960, Public Resources Code. Reference: Sections 25216.5(d), 25402(a)-(c), 25553(b) and 25960, Public Resources Code.

§ 1608. Compliance, Enforcement, and General Administrative Matters.

(a) General Requirements for the Sale or Installation of All Appliances. Any unit of any appliance within the scope of Section 1601 may be sold or offered for sale in California only if:

(1) the appliance appears in the most recent database established pursuant to Section 1606(c), unless the only reason for the appliance's absence from the database is its failure to comply with an applicable standard in Section 1605.1;

(2) the manufacturer has:

(A) tested the appliance as required by Sections 1603 and 1604;

(B) marked the unit as required by Section 1607;

(C) for any appliance for which there is an applicable standard in Section 1605.2 or 1605.3, certified under Section 1606(a) that the appliance complies with the standard;

(3) the unit has the same components, design characteristics, and all other features that affect energy or water consumption or energy or water efficiency, as applicable, as the units that were tested under Sections 1603 and 1604 and for which information was submitted under Section 1606(a); and

(4) for any appliance for which there is an applicable standard in Section 1605.2 or 1605.3, the unit complies with the standard.

Exceptions: Subsections 1608(a)(1) and 1608(a)(2)(c) are not applicable to:

1. non-commercial cooking products until, as determined by the Executive Director, there takes effect a federal standard or a federal reporting requirement for annual cooking energy consumption or for a similar measure of energy performance, and

2. power supplies, and

3. refrigerators without doors and freezers without doors that are not specifically designed for display and sale of bottled or canned beverages, and

4. walk-in refrigerators and walk-in freezers, and

5. low-profile ceiling fans.

(b) Appliances Not in Database.

If the Executive Director determines that an appliance that is not in the database is being sold or offered for sale in California, he or she shall take appropriate legal action to restrain and discourage such sale or offering, including, but not limited to testing units of the appliance at the manufacturer's cost and seeking appropriate judicial action.

(c) All Appliances: Submittal of Reports of Manufacturers' Certification Testing.

(1) For any appliance, the Executive Director may at any time request from a manufacturer a copy of the test report that describes the results of the testing that was performed pursuant to Section 1604 and that provides the basis for the information submitted under Section 1606(a)(3)(D). The request shall be sent to the address or e-mail address designated in Section 1606(a)(2)(B). If the appliance is a commercial refrigerator, commercial refrigerator-freezer, commercial freezer, large storage water heater, or plumbing fitting, or if the Executive Director includes with the request information that, in his or her opinion, constitutes substantial evidence that the appliance or the manufacturer is not in compliance with an applicable provision of this Article, or that the energy or water performance of the appliance is not as certified under Section 1606(a)(3)(D) or is not as required by an applicable standard in Section 1605.1, 1605.2, or 1605.3, then the manufacturer shall provide a copy of the applicable test report to the Executive Director within 5 days of the manufacturer's receipt of the request.

(2) If the Executive Director does not receive the test report within the required time, the Executive Director shall remove the appliance from the database.

(3) If the test report indicates that the energy or water consumption of the appliance is greater than, or the energy or water efficiency of the appliance is less than, the consumption or efficiency certified by the manufacturer pursuant to Section 1606(a)(3)(D), the Executive Director shall, after providing written notice by certified mail (registered mail to non-U.S. destinations) to the person designated in Section 1606(a)(2)(B), modify the listing of the appliance in the database to reflect accurately the test report.

(4) If the test report indicates that the appliance model does not comply with an applicable standard in Section 1605.1, 1605.2, or 1605.3, the Executive Director shall, ten days after providing written notice by certified mail (registered mail to non-U.S. destinations) to the person designated in Section 1606(a)(2)(B), remove the model from the database.

(d) Inspection by the Executive Director of Appliances Subject to Energy Design and Water Design Standards, and Marking Requirements.

(1) The Executive Director shall periodically inspect appliances sold or offered for sale in the state, to determine whether they conform with the applicable energy design and water design standards of Sections 1605.1, 1605.2, and 1605.3, and with the applicable marking requirements of Section 1607.

(2) Inspection of an appliance shall consist of inspection of one unit.

(A) If the inspection indicates that the unit complies with the applicable energy or water design standards and marking requirements, the matter shall be closed.

(B) If the inspection indicates that the unit does not comply with an applicable energy or water design standard or as applicable marking requirement, the Commission shall undertake a proceeding pursuant to Sections 11445.10-11445.60 of the California Government Code (or, at the manufacturer's option, pursuant to Sections 11425.10-11425.60 of the California Government Code). If the Commission confirms the Executive Director's determination, then he or she shall remove the appliance from the database.

(e) Executive Director's Enforcement Testing of Appliances Subject to Energy Efficiency, Energy Consumption, Water Efficiency, and Water Consumption Standards.

The Executive Director shall periodically cause, at laboratories meeting the criteria of Section 1603(a), the testing of appliance units sold or offered for sale in the state, to determine whether the appliances conform with the applicable standards in Sections 1605.1, 1605.2, and 1605.3, and to determine whether their performance is as reported or certified by the manufacturer pursuant to Section 1606(a). Testing shall be performed as follows:

(1) Initial Test. The Executive Director shall perform an initial test on one unit, using the applicable test procedure specified in Section 1604. Upon completion of the initial test, the Executive Director shall make a determination as follows:

(A) Performance Is No Worse Than Required by Standards and Is No Worse Than as Certified by Manufacturer. If the initial test result indicates that the energy and water consumption of the unit is no greater than, and the energy and water efficiency of the unit is no less than, the consumption or efficiency that is permitted and required by all applicable standards in Section 1605.1, 1605.2, or 1605.3, and that was certified by the manufacturer pursuant to Section 1606(a), the matter shall be closed.

(B) Performance Is Worse Than Required by Standard or Is Worse Than as Certified by Manufacturer. If the initial test result indicates that the energy or water consumption of the unit is greater, or the energy or water efficiency of the unit is less, than the consumption or efficiency that is permitted or required by any applicable standard in Section 1605.1, 1605.2, or 1605.3, or that was certified by the manufacturer pursuant to Section 1606(a), the Executive Director shall perform a second test on a second unit, using the applicable test procedure specified in Section 1604.

(2) Second Test; Mean of Results. If a second test is performed, the Executive Director shall calculate the mean of the results of the initial test and the second test. Upon completion of the second test, the Executive Director shall inform the manufacturer of the results and shall make a determination as follows:

(A) Performance Is No Worse Than Required by Standards and Is No Worse Than as Certified by Manufacturer. If the two test results indicate that the mean energy and water consumption of the two units is no greater than, and the mean energy and water efficiency of the two units is no less than, the consumption and efficiency permitted or required by all applicable standards in Section 1605.1, 1605.2, or 1605.3, and that was certified by the manufacturer pursuant to Section 1606(a), the matter shall be closed.

(B) Performance is As Required by Standard but is Worse Than as Certified by Manufacturer. If the two test results indicate that the mean energy or water consumption of the two units is greater than, or the mean energy or water efficiency of the two units is less than, the consumption or efficiency that was certified by the manufacturer pursuant to Section 1606(a), but that the mean result nevertheless complies with all applicable standards in Section 1605.1, 1605.2, or 1605.3, the Commission shall undertake a proceeding pursuant to Sections 11445.10-11445.60 of the California Government Code (or, at the manufacturer's option, pursuant to Sections 11425.10-11425.60 of the California Government Code). If the Commission determines that the two test results indicate that (1) the mean energy or water consumption of the two units is greater than, or the mean energy or water efficiency of the two units is less than, the consumption or efficiency as reported or certified by the manufacturer pursuant to Section 1606(a), and (2) the mean result nevertheless complies with all applicable standards in Section 1605.1, 1605.2, or 1605.3, then the Executive Director shall modify the listing of the appliance in the database to reflect accurately the Commission's determination.

(C) Performance is Not As Required by Standard. If the two test results indicate that the mean energy or water consumption of the two units is greater than, or the mean energy or water efficiency of the two units is less than, any applicable standard in Section 1605.1, 1605.2, or 1605.3, the Commission shall undertake a proceeding pursuant to Sections 11445.10-11445.60 of the California Government Code (or, at the manufacturer's option, Sections 11425.10-11425.60 of the California Government Code). If the Commission determines that the mean energy or water consumption of the two units is greater than, or the mean energy or water efficiency of the two units is less than any applicable standard, the Executive Director shall remove the appliance from the database established pursuant to Section 1606(c).

(3) Optional Method of Determining Energy or Water Performance. If, at any time before a Commission determination under Section 1608(e)(2)(B) or 1608(e)(2)(C), the manufacturer so chooses, instead of using the mean-of-two-units approach set forth in Sections 1608(e)(1) and 1608(e)(2), the Executive Director shall test the appliance using the sampling method set forth in 10 CFR Part 430, Appendix B to Subpart F (2005) or 10 CFR Part 431, Appendix A to Subpart K (2005), and shall make the determinations under Sections 1608(e)(1) and 1608(e)(2) based on those test results. The manufacturer shall pay for all such testing.

(f) Costs.

Except as otherwise provided in this Article, all costs of initial tests showing results as described in Section 1608(d)(2)(A) shall be borne by the Commission. All costs of all other tests shall be paid by the manufacturer.

(g) Federally-Regulated Appliances.

If:

(1) the appliance tested is a federally-regulated consumer product or federally-regulated commercial and industrial equipment; and

(2) either:

(A) the test results show that the appliance does not comply with an applicable federal standard or other applicable federal requirement; or

(B) the test results are at variance with the results reported by the manufacturer to the U.S. Department of Energy or the U.S. Federal Trade Commission; then, in addition to taking the applicable actions described in Sections 1608(e)(1) and 1608(e)(2), the Executive Director shall inform the appropriate federal agency.

(h) Forms and Formats Specified by Executive Director.

The Executive Director may specify, and require the use of, any particular form or format for the submittal of any data, reports, or other information required by this Article, including but not limited to computer programs or formats.

(i) Executive Director Determinations.

Whenever this Article refers to a finding, conclusion, or other determination by the Executive Director, any person seeking such a determination shall submit to the Executive Director a written request. Within 10 days of receipt of a request, the Executive Director shall either find the request is complete and so inform the applicant, or return the request to the applicant with a statement of what additional information is necessary to make it complete. Within 21 days of receipt of a complete request, the Executive Director shall make a determination, which shall be within the discretion of the Executive Director acting on the basis of the entire record, which shall be assembled and made publicly available by the Executive Director. Within 10 days of a determination, whether made in response to a request or made on the Executive Director's own initiative, any affected person, including but not limited to the person, if any, who made a request for the determination, may appeal the determination to the Commission in writing. At the same time that the appeal is filed, the appellant shall file all the evidence the appellant wishes the Commission to consider. The Commission Staff and any affected person shall file all the evidence they wish the Commission to consider within 20 days after the appeal is filed. The Commission shall hear and decide the appeal at the next regularly-scheduled business meeting that is at least 30 days after the appeal is filed. At the hearing the Commission may require the filed evidence to be presented under oath and may allow questions and cross-examination from participants.

The following standards are incorporated by reference in Section 1608.

Number	*Title*
FEDERAL SAMPLING METHOD	
CFR, Title 10, Part 430, Appendix B to Subpart F (2005) CFR, Title 10, Part 431, Appendix A to Subpart K (2005)	
Copies available from:	Superintendent of Documents U.S. Government Printing Office Washington, DC 20402 www.access.gpo.gov/nara/cfr

Note: Authority cited: Sections 25213, 25218(e), 25402(a)-(c), 25553(b) and 25960, Public Resources Code. Reference: Sections 25216.5(d), 25402(a)-(c), 25553(b) and 25960, Public Resources Code.

Article 5. Load Management Standards

§ 1621. General Provisions.

(a) Purpose. This article establishes electric load management standards pursuant to Section 25403.5 of the Public Resources Code.

These standards establish cost-effective programs which will result in improved utility system efficiency, will lessen or delay the need for new electrical capacity, reduce fuel consumption, and will thereby lower the long-term economic and environmental costs of meeting the State's electricity needs.

(b) Application. Each of the standards in this article applies to the following electric utilities: Los Angeles Department of Water and Power, San Diego Gas and Electric Company, Southern California Edison Company, Pacific Gas and Electric Company, and Sacramento Municipal Utility District.

The California Energy Commission has found these standards to be technologically feasible and cost effective when compared with the costs for new electrical capacity for the above-named electric utilities.

(c) Definitions. In this article, the following definitions apply:

(1) "Utility" means those electric utilities to which the sections of this article apply, as specified in subsection (b).

(2) "Service area" is the geographic area in which the utility supplies electricity to retail customers.

(3) "Rate-approving body" means the California Public Utilities Commission in the case of investor-owned utilities, such as the San Diego Gas and Electric Company, the Southern California Edison Company, and the Pacific Gas and Electric Company. It means the governing body of publicly owned utilities such as the Los Angeles Department of Water and Power, and the Sacramento Municipal Utility District.

(4) "Residential" means any family dwelling within the utility's service area which uses electricity for noncommercial purposes as defined in the utility's terms and conditions of service.

(5) "Water heater" means any residential electric water heater except those which provide hot water to heat space or those which operate within electric dishwashers.

(6) "Central air conditioner" means any residential electric air conditioner which delivers cooled air through ducts to rooms.

(7) "Marginal cost" is the change in current and committed future utility cost that is caused by a customer initiated change in electricity usage. Total marginal cost may be divided into the commonly known categories of marginal energy, marginal capacity, and marginal customer costs, or any other appropriate categories.

(8) "Commercial customers" means those customers of a utility who run any business described in Standard Industrial Classification Groups 40 through 86, and 89 through 99, and which do not treat sewage or manufacture goods or provide other process-oriented services.

(i) "Large commercial customers" are those businesses whose demand for electricity equals or exceeds 500 kilowatts.

(ii) "Small commercial customers" are those businesses whose demand for electricity is less than 500 kilowatts.

(9) "Building type" means the classification of a non-residential building in accordance with the following table:

Building Type	*Description*
1	Office
1.1	Small (0-30,000 sq. ft.)
1.2	Med (30,000-200,000 sq. ft.)
1.3	Large (200,000 + sq. ft.)
1.3.1	Lowrise (two or less stories)
1.3.2	Highrise (three or more stories)
2	Retail
2.1	Retail –General
2.1.1	Small (1-9,000 sq. ft.), detached
2.1.2	Small (1-9,000 sq. ft.), attached
2.1.3	Med (9,000-20,000 sq.ft.), detached
2.1.4	Med (9,000-20,000 sq. ft.),attached
2.1.5	Med (9,000-20,000 sq. ft.), enclosed mall
2.1.6	Large (20,000 + sq. ft.), detached
2.1.7	Large (20,000 + sq. ft.), attached
2.1.8	Large (20,000 + sq. ft.), enclosed mall
2.1.9	Highrise department store (three or more stories)
2.2	Retail –Food
2.2.1	Small (1-5,000 sq. ft.)
2.2.2	Large (5,000 + sq. ft.)
3	Restaurants
3.1	Fast Food
3.2	Sit-down
4	Storage Buildings
4.1	Conditioned
4.2	Unconditioned
5	Hotels and Motels
5.1	Large (50,000 + sq. ft.)
5.2	Small (less than 50,000 sq. ft.)
6	Schools
6.1	Elementary/pre-schools
6.2	Jr. high/high schools
6.3	Jr. colleges/trade schools
6.4	Colleges/universities
7	Public assembly buildings
7.1	Auditoriums
7.2	Theaters
7.3	Sports arenas
8	Health care facilities
8.1	General hospitals
8.2	Research hospitals
8.3	Mental hospitals
8.4	Convalescent hospitals/homes
9	Computer facilities
10	Auto repair and service stations
11	Miscellaneous

(10) "Conditioned Space" means the space, within a building which is provided with a positive heat supply or positive method of cooling.

(d) Review and Approval of Utility Submittals. These load management standards require utilities to submit various plans to the Executive Director. All such submittals shall be reviewed by the Executive Director, and shall be subject to approval by the full Commission. The Executive Director shall complete his review of such submittals and shall report to the Commission within thirty calendar days after receipt as to whether the submittal is consistent with the provisions of this article. Within thirty calendar days after the Executive Director renders his report, the Commission shall, following a public hearing, approve or disapprove the submittal. The Commission may also approve a submittal on condition that the utility make specified changes or additions to the submittal, within a reasonable period of time set by the Commission. A conditional approval shall not take effect until the utility makes the specified changes or additions to the submittal under review. The Commission shall approve submittals which are consistent with these regulations and which show a good faith effort to plan to meet program goals for the standards.

If the Commission disapproves a submittal, the utility shall be notified of the specific reasons for such disapproval, and the utility shall submit a revised submittal for review by the Executive Director in accordance with the provisions of this subsection.

(e) Information Requests. In order to facilitate his review of a utility's compliance with the provisions of this article, the Executive Director may request a utility to furnish copies of any information in the utility's possession which is relevant to its implementation of these standards, including any tariff proposals and associated information which it submits to its rate-approving body. The Executive Director may set a reasonable period of time within which the utility must supply the requested information.

If any document which is requested by the Executive Director contains proprietary information or trade secrets, the utility shall only be required to furnish the document to the Executive Director, if the Commission has established procedures, after a public hearing, for the protection of such proprietary information or trade secrets.

(f) Revisions of Approved Plans. Each time a utility significantly revises any plan or part of a plan required by this article, that was previously approved by the Commission, it shall submit this revised plan for review and approval pursuant to subsection (d) above. Such revised plan shall not be valid until it is approved by the Commission.

If the Executive Director believes that new technologies, the state of the economy or other new information warrant revisions to plans which have already been approved, he shall request the utilities to make the appropriate revisions as part of their next annual report or within 90 days, whichever comes later. If the Executive Director issues such a request, the utility shall submit a revised plan for review and approval pursuant to subsection (d) above.

(g) Modifications to Program Goals. If, during the planning or execution of any program required by this article, a utility, despite its best good faith efforts, believes that it cannot achieve one or more of the program goals set forth in the various sections of this article or that a program is not cost-effective, the utility may submit a report to the Commission explaining the reasons therefore, and indicating when the utility believes that it could achieve the program goal or goals, or suggesting alternative goals. If based upon the utility report, or its own studies, the Commission finds that there are good and sufficient reasons for the utility not being able to achieve the goal or goals, the Commission shall modify any previously approved goal for that utility to one that is feasible and cost-effective for the utility to achieve.

(h) Utility Request for Exemptions.

(1) A utility may, at any time after the effective date of this article, apply to the Commission for an exemption from the obligation to comply with any or all of these standards. Any such application shall set forth in detail the reasons why a denial of the application by the Commission would result in extreme hardship to the utility, or in reduced system reliability and efficiency, or why the standard or standards from which the exemption is sought would not be technologically feasible or cost-effective for the utility to implement. The application shall also set forth the period of time during which the exemption would apply, and shall indicate when the utility reasonably believes the exemption will no longer be needed.

(2) Within 30 days after receipt of any such application, the Commission shall hold a hearing to consider whether there is sufficient information contained in the application to justify further hearings on the merits. If the Commission finds that the application does not contain sufficient information, it shall dismiss the application, and notify the utility f the specific reasons for the dismissal. The utility may thereafter submit a revised application in good faith.

(3) If the Commission finds that the application does contain sufficient information, it shall schedule such further hearings as may be necessary to fully evaluate the application.

(4) If, after holding hearings, the Commission decides to grant an exemption to a utility, the Commission shall issue an order granting exemption. The order shall set forth findings and specific reasons why the exemption is being granted.

(i) Noncompliance. The Executive Director may, after a review of the matter with the utility, file a complaint with the Commission, alleging that the utility is not in compliance with the provisions of this article:

(1) If the utility is not conducting a program in conformance with the provisions of its approved plan;

(2) If the utility fails to provide a required submittal in a timely manner; or

(3) If the utility fails to make requested changes or additions to any such submittal within a reasonable time.

(j) Recovery of Program Costs. In its rate applications, each utility shall seek to recover the full costs associated with conducting each program required by this article from the class of customers which the program most directly affects. The utility shall not be required to commence implementation of any program required by this article until the utility's rate-approving body has approved the tariffs which are a part of any such program and a method for recovering the costs of the program.

(k) Notwithstanding Section 2231 of the Revenue and Taxation Code, there shall be no reimbursement to local government entities (i.e., the Los Angeles Department of Water and Power and the Sacramento Municipal Utility District) for the costs of carrying out the programs mandated by these standards, because the Commission has found these standards to be cost-effective. The savings which these entities will realize as a result of carrying out these programs will outweigh the costs associated with implementing these programs.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25403.5, Public Resources Code.

§ 1622. Residential Load Management Standard.

(a) Application. The provisions of this section are applicable to residential electric water heaters and electric central air conditioners.

(b) Peak Load Cycling Program. The utility shall carry out a peak load cycling program, if such a program has been found to be cost effective for the utility. Under this program, the utility shall offer to install remote load switches in those identified residences in the utility's service area which contain electric water heaters or central air conditioners. The switches shall allow the utility to cycle any of these electric appliances.

(c) Program Implementation. The utility's peak load cycling program shall consist of three phases as follows:

(1) Peak Load Cycling Plan Development Phase. The purpose of this phase is to allow the utility to develop a Peak Load Cycling Plan which will accomplish the program goals set forth in subsection (d) below. The requirements for the plan are specified in subsection (e) below. The utility may conduct experimental Peak Load Cycling Programs prior to approval of its Peak Load Cycling Plan by the Commission. Any such program shall, to the maximum extent feasible, be consistent with the provisions of the Peak Load Cycling Plan which is being developed by the utility or which has been submitted pursuant to Section 1621(d). Any expenditure which the utility makes in connection with any such experimental program prior to the approval of its Peak Load Cycling Plan shall be subject to the approval of the utility's rate-approving body.

(2) Testing and Evaluation Phase. The purpose of this phase is to allow the utility to conduct detailed testing and evaluation of alternative technologies for peak load cycling, of customer acceptance of peak load cycling, and of the benefits of peak load cycling in terms of reduced peak demand, at a low level of implementation. The testing and evaluation phase shall commence as soon as the Commission has approved the utility's Peak Load Cycling Plan and the utility's rate-approving body has approved program-related tariffs and a method for recovering the cost of the program. Once this phase has commenced, it shall last for 28 months.

(3) Systemwide Implementation Phase. The purpose of this phase is to achieve the maximum feasible level of system load reduction in the utility's peak load cycling program. This phase shall commence after the Commission takes action pursuant to subsection (h) below.

While the utility is carrying out these phases of its peak load cycling program, it shall cooperate on an ongoing basis with the Commission Staff in evaluating the relative merits of alternative hardware systems, in determining the optimal approaches for obtaining maximum customer participation in peak load cycling programs, and in improving and refining methodologies for calculating the cost-effectiveness of peak load cycling programs and other load management programs.

(d) Program Goal. The utility's peak load cycling program shall be designed and carried out to achieve the following goals:

(1) By the end of the testing and evaluation phase, the utility shall have installed remote load switches on approximately 8 percent of the total of all identified residential central air conditioners in the utility's service area, except that a utility may install switches on a greater or lesser percentage of those appliances, if, in its peak load cycling plan, the utility provides information which demonstrates that a program goal of more or less than eight percent will be more cost-effective for the utility to implement, and if the Commission approves the utility's plan. The utility shall maintain a level of implementation according to an approved Peak Load Cycling Plan.

(2) By the end of the testing and evaluation phase, the utility shall have installed remote load switches on a sufficient number of residential electric water heaters in the utility's service area to allow the Commission to determine whether it would be cost-effective for the utility to implement a peak load cycling program for residential electric water heaters on a system-wide basis. The utility shall indicate the number of residential electric water heaters which will be subject to this experimental program in its peak load cycling plan as well as the test program methodology for determining cost effectiveness. In carrying out its peak load cycling program for such appliances, the utility shall maintain the level of implementation set forth in its peak load cycling plan.

(e) Peak Load Cycling Plan. No later than eight months after this article becomes effective, the utility shall submit a Peak Load Cycling Plan. This Plan shall show how the utility intends to meet the goal set forth in subsection (d) above. This plan shall, as a minimum, include the following elements of a peak load cycling program.

(1) Objectives -The plan shall describe, in detail, the utility's objectives in pursuing the peak load cycling program. The Plan shall include an assessment of the impact of the peak load cycling program on system reliability, need for new capacity, fuel efficiency, and overall costs.

(2) Organization -The plan shall describe how the utility will organize and manage the peak load cycling program. It shall include organization charts, qualifications for each position and the reporting relationship of the effort to the President or General Manager of the utility. The plan shall describe how the utility intends to recruit and hire the personnel needed to staff the proposed organization.

(3) Schedule and Budget -The plan shall include a detailed schedule for each of the program elements during the testing and evaluation phase. The schedule shall indicate each task required to complete each element, the level of effort assigned to each task, and the beginning and ending dates of each task. The plan shall include the utility's detailed budget for carrying out all elements of the peak load cycling program. It shall display dollars budgeted over time, by task, for personnel, equipment, and outside contractors.

(4) Customer Identification -The plan shall describe how the utility intends to identify those residences in its service area which are equipped with electric water heaters and central air-conditioners. The plan shall also set forth the utility's determinations as to which segment or segments of its customers, and which locations will be selected for inclusion in the testing and evaluation phase of the utility's peak load cycling program. Such determinations shall be based on an analysis of the mix of appliances and those locations for which the peak load cycling program carried out during the testing and evaluation phase will provide the most cost-effective reductions in peak system load. This analysis shall utilize a sampling technique which assumes that the results of the testing and evaluation phase will serve as an adequate basis for

identifying the probable effects of systemwide implementation. The results of this analysis shall be submitted with the plan.

(5) Customer Acceptance -The plan shall describe how the utility intends to assess customer attitudes toward participation in the peak load cycling program. It shall describe how the utility will use this information to tailor both the peak load cycling program and the public education element to encourage customer participation. The plan shall describe how the utility intends to estimate the various levels of customer participation that will occur with various levels of interruptible tariff. This element of the plan shall draw upon the experiences of other utilities in similar programs as well as any primary research that the utility may propose.

(6) Interruptible Tariffs -The plan shall describe how the utility intends to develop and propose interruptible tariffs which will encourage its residential customers to participate in the peak load cycling program. The value of the customer incentives contained in such tariffs shall not exceed the et cost savings to the utility from the customer's participation in the program. These tariffs shall prescribe alternative rates which correspond to different cycling schedules. In addition, the plan shall indicate how the utility, during the testing and evaluation phase, intends to investigate and evaluate alternative methods for recovering the costs associated with the installation of remote load switches on a systemwide basis. Interruptible tariffs which are offered to customers who participate in the program should reflect the differences, in terms of costs to the utility, of any such alternative methods. When the utility submits its Peak Load Cycling Plan, it shall also include its proposed interruptible tariff schedule.

(7) Public Education -The plan shall describe how the utility will inform the public about the peak load cycling program.

(8) Equipment Selection -The plan shall describe how the utility intends to select the equipment needed to carry out the peak load cycling program. It shall describe how the utility will review and evaluate the various types of equipment that are available and how a selection will be made. It shall describe how the utility intends to stay abreast of the state-of-the-art and incorporate technological improvements and cost reductions into its equipment system as these become available. The plan shall describe the steps that the utility will take to assure that the selected equipment is delivered in time to meet specified program goals.

(9) Customer Sign-Up -The plan shall describe the procedures which the utility intends to utilize to solicit customer participation in the peak load cycling program. The plan shall describe how these procedures are reasonably related to the specified program goals.

(10) Equipment Installation and Maintenance -The plan shall describe how the utility intends to install and maintain equipment (including remote load switches) in an economical and professional manner that causes minimum inconvenience and disruption to customers.

(11) Program Operations -The plan shall describe how the utility intends to use remote load switches to meet the purposes in Section 1621(a). It shall describe how the switches will coordinate with system dispatching procedures and equipment. The plan shall describe how the utility intends to respond to customer questions, problems, or complaints about the program.

(12) Program Evaluation -The plan shall describe how the utility intends to evaluate, on an ongoing basis, the quality and performance of each element of the peak load cycling program. It shall describe how evaluations will be made and the results fed back into each

element to improve the program on a regular basis. The plan shall include an outline of the reporting formats that the utility intends to use for progress reports to the Commission, and it shall show how the Commission will be notified, in a timely manner, of unexpected delays or difficulties in implementing the program.

(13) Other Information -The plan shall include any other information that the utility deems appropriate for Commission consideration in relation to the peak load cycling program.

Review and approval of Peak Load Cycling Plans shall be carried out in accordance with the provisions of Section 1621(d).

The utility's peak load cycling program shall be carried out in accordance with the provisions of an approved Peak Load Cycling Plan. No later than one month after the Commission has approved a utility's Peak Load Cycling Plan, the utility shall ask its rate-approving body to grant the proposed interruptible tariffs and to approve a method for recovering the costs of the program.

(f) Progress Reports. Within 18 months and within 30 months after the testing and evaluation phase commences pursuant to Section 1622(c)(2), the utility shall submit Progress Reports to the Executive Director. These Reports shall specify the number of appliances subject to this standard, the number of appliances with remote load switches, and the number of appliances on each peak load cycling schedule, and it shall include an evaluation of the technical performance of the remote load switches, an evaluation of the observed impacts, if any, of the use of these switches on utility system operations and on the appliances to which they are connected. These Reports shall indicate the impact of this program on the utility's load duration curve for the previous 12-month period. For each day of the previous year, these reports shall also indicate at what times, how often, and for how long the utility used remote load switches. The second of the two Progress Reports shall recommend to the Commission how the utility's peak load cycling program should be modified, for the purposes of systemwide implementation, in terms of hardware systems, alternative tariff schedules, the mix of appliances subject to this standard, the implementation schedule, long-term program goals, and any other appropriate considerations. The second Progress Report shall also analyze the anticipated impact of systemwide implementation of peak load cycling on the utility's resource plan.

(g) Executive Director's Report. Within two months of receipt of the utility's second Progress Report, the Executive Director shall submit to the Commission a Report on that utility's peak load cycling program, which contains the following information:

(1) His evaluation of the information contained in the utility's two Progress Reports, including the recommendations set forth in the second Progress Report; and

(2) His recommendations with respect to the expanded implementation or termination of remote load switching for each of the two kinds of appliances which are subject to this standard.

(h) Long Range Programs. Within two months after it receives the Executive Director's Report on a utility's peak load cycling program, the Commission shall hold a public hearing to review the utility's two Progress Reports and the Executive Director's Report. Following this hearing, the Commission shall undertake one or more of the following actions:

(1) Expand the level of implementation of remote load switching for one or both of the kinds of appliances subject to this standard to a level which the Commission determines to be feasible and cost-effective;

(2) Terminate the remote load switching program for one or both of these kinds of appliances; or

(3) Undertake such additional actions which the Commission determines to be necessary and practical to implement the utility's peak load cycling program.

(i) Compliance. A utility shall be in compliance with this standard if:

(1) The Commission has approved the utility's Peak Load Cycling Plan;

(2) The utility is conducting a peak load cycling program in conformance with the provisions of its approved Peak Load Cycling Plan and the provisions of subsection (d) above; and

(3) The utility submits all reports required by this section in a timely manner.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25403.5, Public Resources Code.

§ 1623. Load Management Tariff Standard.

(a) This standard requires that a utility develop marginal cost rates, using a recommended methodology or the methodology approved by its rate-approving body, when it prepares rate applications for retail services, and that the utility submit such rates to its rate-approving body.

(b) Marginal Cost Methodologies and Rates. Within six months after the Marginal Cost Pricing Project Task Force (which is jointly sponsored by the CEC and CPUC under an agreement with the Federal Department of Energy) makes its final report available to the public, and the Commission approves it by resolution, a utility submitting a general rate filing to its rate-approving body shall include marginal cost based rates in such filing which have been developed by using at least one methodology recommended by the Task Force, except that if a utility's rate-approving body has approved a marginal cost methodology, a utility may substitute the approved methodology for one recommended by the Task Force.

If at any time subsequent to the Commission's approval of the Task Force report, the utility's rate-approving body approves a marginal cost methodology which is substantially different from any of the methodologies recommended by the Task Force, the utility shall so inform the Commission, and shall explain the nature of and the reasons for these differences.

In addition to marginal cost based rates which it develops using a methodology recommended by the Task Force report for that utility or approved by its rate-approving body, the utility may also submit marginal cost based rates which it develops using any alternative methodology that it deems appropriate.

The utility may also submit other rates or tariffs which it deems appropriate.

Nothing in this section shall prevent the Commission from recommending the approval of marginal cost methodologies different from those used by a utility to any rate-approving body.

(c) Public Information Program. As soon as a utility's rate-approving body has adopted a tariff in accordance with a recommended or approved marginal cost methodology, the utility shall conduct a public information program which shall inform the affected customers why marginal cost based tariffs are needed, exactly how they will be used and how these tariffs can save the customer money. (d) Compliance. A utility shall be in compliance with this standard if all of the utility's rate applications are prepared in accordance with the provisions of subsection (b) above, and the utility provides informational copies of its applications to the Commission.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25403.5, Public Resources Code.

§ 1624. Swimming Pool Filter Pump Load Management Standard.

(a) Application. The provisions of this section are applicable to electric filter pumps which routinely circulate water through private residential inground or aboveground swimming pools within the utility's service area. It does not apply to pumps used to circulate swimming pool water heated by active solar collectors.

(b) Program. The utility shall undertake a program to encourage its customers to restrict the use of swimming pool filter pumps as follows:

(1) Off-Peak Hours. Customers should operate filter pumps during off-peak hours as determined by the utility for its service area. Customers should run their filter pumps outside of the suggested hours only if the noise from their pumps violates a local noise ordinance, or because their pumps cannot circulate enough water within the suggested hours to properly filter or heat the pool.

(2) Operating Time. Customers should restrict filter pump operation to only two hours daily in winter and four hours daily in summer. However, if the pool water does not remain clear or in proper chemical balance, the customer may increase filter operation time by successive half-hour periods until the water remains clear and properly balanced chemically.

(3) Time Clock. The utility shall encourage its customers to buy time clocks if they do not already have them. The utility may provide time clocks to those of its customers who do not already have them. The utility shall offer its assistance to any customer who seeks aid in setting time clocks.

(c) Program Goals. Within 12 months after the Commission approves a utility's Swimming Pool Filter Pump Plan and the utility's rate-approving body approves a method for recovering the costs of the program, the utility shall have contacted 100 percent of those identified customers to whom the standard applies.

(d) Swimming Pool Filter Pump Plan. No later than six months after this article becomes effective, the utility shall submit a Swimming Pool Filter Pump Plan. This plan shall indicate how the utility intends to contact, within 12 months after the Commission approves the plan and the rate-approving body approves the program-related expenditures, 100 percent of those identified customers to whom the standard applies and the measures to be undertaken

for system wide implementation following the contact period. This plan shall, as a minimum, include the following elements of a filter pump program:

(1) Objectives -The plan shall describe, in detail, the utility's objectives in pursuing the swimming pool filter pump time clock reset program. It shall also include an assessment of the impact of the program on system reliability, need for new capacity, fuel efficiency, and overall costs.

(2) Organization -The plan shall describe how the utility will organize and manage the time clock reset program. It shall include organization charts, qualifications for each position and the reporting relationship of the effort to the President or General Manager of the utility. The plan shall describe how the utility intends to recruit and hire the personnel needed to staff the proposed organization.

(3) Schedule and Budget -The plan shall include a detailed schedule for each of the program elements. The schedule shall indicate each task required to complete each element, the level of effort assigned to each task, and the beginning and ending dates of each task. The plan shall include the utility's detailed budget for carrying out all elements of the time clock reset program. It shall display dollars budgeted over time, by task, for personnel, equipment, education and surveys.

(4) Customer Contact -The plan shall describe how the utility intends to identify those residences in its service area which have in-ground or above-ground pools subject to this standard. The plan shall also describe how the utility intends to contact 100 percent of its identified swimming pool customers, within 12 months after the Commission approves the plan and the utility's rate-approving body approves a method for recovering the costs of the program, in order to solicit their participation in the time clock reset program. In its initial contact with each customer, the utility will provide all pertinent information on the timing and duration of swimming pool filter pump use as well as the benefits of using an automatic time clock to run the pump. The plan shall show how the activities of this element are reasonably related to the program goal.

(5) Public Education -The plan shall describe how the utility expects to inform the public regarding the use of filter pumps and the cost-effectiveness of purchasing or resetting time clocks.

(6) Program Operations -The plan shall describe how the utility intends to cause time clocks to be reset, how resetting will be recorded, and how the utility will provide assistance to any customer who seeks aid in setting or resetting time clocks. If the utility plans personal visits, it shall describe what information will be obtained from each visit. The plan shall describe how the utility expects to determine and demonstrate the cost-effectiveness of purchasing time clocks by pool owners who do not have time clocks. In addition, the plan may describe how the utility will provide time clocks to those of its customers who do not already have them. The plan shall describe how the utility intends to respond to customer questions, problems, or complaints about the program.

(7) Program Evaluation and Reporting -The plan shall describe how the utility intends to conduct annual surveys which will enable the utility to determine when and for how long its customers actually use their swimming pool filter pumps. Surveys must use generally accepted and statistically valid survey methods. These surveys shall indicate the percentage of the utility's customers to whom the standard applies that are taking part in the filter pump program.

The plan shall show how evaluations, including the program's impact on the load duration curve, will be made and the results fed back into each element to improve the program on a regular basis. The plan shall describe how the utility will report progress in implementing the time clock reset program to the Commission. It shall show how the Commission will be notified, in a timely manner, of unexpected delays or difficulties. The plan shall include an outline of the reporting formats that the utility intends to use for annual reports.

(8) Other Information -The plan shall include any other information that the utility deems appropriate for Commission consideration in relation to the time clock reset program.

Review and approval of Swimming Pool Filter Pump Plans shall be carried out in accordance with the provisions of Section 1621(d).

As soon as the Commission has approved a utility's Swimming Pool Filter Pump Plan and the utility's rate-approving body has approved a method for recovering the cost of the program, the utility shall begin its swimming pool filter pump program.

(e) Progress Report. Within 15 months after commencing the program, the utility shall submit a Progress Report to the Commission. This Report shall describe how the utility has conducted its program of 100 percent customer contact. This Report shall also specify the level of voluntary customer participation which the utility has been able to achieve as a result of this program, the extent to which the utility has conducted follow-up contacts with its customers, and shall provide any other relevant information which the utility has obtained as a result of its contact program.

In addition, the Report shall recommend whether this program should be continued or whether it should be discontinued. Within 60 days after its receipt of a utility's Progress Report, the Commission shall hold a public hearing to determine whether the program should be continued or whether it should be discontinued.

(f) Annual Reports. If the Commission determines that the program should be continued, the utility shall submit a report to the Executive Director within 12 months after such determination, and annually thereafter. These Reports shall describe the utility's ongoing program efforts, shall provide the results of annual surveys which will enable the utility to determine when and for how long its customers actually use their swimming pool filter pumps, and shall indicate the impact of this program on the previous year's load duration curve.

(g) Compliance. The utility shall be in compliance with this standard if:

(1) The utility is carrying out its program in accordance with the provisions of an approved Swimming Pool Filter Pump Plan;

(2) Within 12 months after the Commission has approved the utility's Swimming Pool Filter Pump Plan and the rate-approving body has approved a method for recovering the costs of the program, the utility shall have contacted 100 percent of those identified customers to whom the standard applies; and

(3) The utility submits all required reports on time.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 24503.5, Public Resources Code.

§ 1625. Non-Residential Load Management Standard.

(a) Program Goals. The utility's Nonresidential Load Management program shall be designed to achieve, by 1985, a twenty (20) percent improvement in energy efficiency in the following segments of the nonresidential sector and in the following manner:

(1) Large Commercial: The utility shall make its best good faith efforts to conduct energy conservation surveys of 100 percent of its large commercial customers within 36 months after the Commission has approved the utility's Plan for Large Commercial Customers and the utility's rate-approving body has approved a method for recovering the costs of the program.

(2) Small Commercial: Within 24 months after the Commission approves a utility's Plan for Small Commercial Customers, the utility shall have made its best good faith efforts to contact 100 percent of its small commercial customers individually or through trade and community organizations. The utility shall not be required to conduct energy conservation surveys of all such customers.

(b) Plans for Commercial Customers. No later than one year after this standard becomes effective, the utility shall submit an Energy Conservation Plan for Small Commercial Customers, and, no later than six months after this standard becomes effective, the utility shall submit an Energy Conservation Plan for Large Commercial Customers. In these plans, the utility shall describe in detail how it intends to implement commercial load management programs, shall provide a schedule for implementation of these programs, and shall indicate how it intends to report on the success of these programs. Review and approval of these Plans shall be carried out in accordance with the provisions of Section 1621(d). The utility shall implement its Plans in accordance with the schedules contained in the Plans, as soon as the Commission has approved the plans and the rate-approving body has approved a method for recovering the costs of these programs.

(1) Plan for Large Commercial Customers. With the exception of paragraphs (iv), (v) and (vi), which are optional, the plan shall contain all of the elements described below. It shall also contain the service area inventory, the service area energy index and a priority sequence, or it shall contain an alternative method for determining the order in which the utility will conduct Energy Conservation Surveys. Any such alternative method shall be described in detail in the Plan and shall indicate how either the least energy-efficient customers or the customers with the greatest energy-saving potential are surveyed first.

(i) Objectives -The plan shall describe, in detail, the utility's commercial load management program. It shall also include an assessment of the impact of the program on system reliability, need for new capacity, fuel efficiency, and overall costs.

(ii) Organization -The plan shall describe how the utility will organize and manage the commercial load management program. It shall include organization charts, qualifications for each position and the reporting relationship of the effort to the President or General Manager of the utility. The plan shall describe how the utility intends to recruit and hire the personnel needed to staff the proposed organization, and how the utility intends to coordinate its survey work with outside energy management consultants.

(iii) Schedule and Budget -The plan shall include a detailed schedule for each of the program elements. The schedule shall indicate each task required to complete each element, the level of effort assigned to each task, and the beginning and ending dates of each task. The plan shall include the utility's detailed budget for carrying out all elements of the commercial load management program. It shall display dollars budgeted over time, by task, for personnel, equipment, and outside contractors.

(iv) Service Area Inventory -A service area inventory shall provide data on conditioned space, total energy use for all forms of energy supplied by the utility, building type, and SIC code. For each building, the inventory shall identify the area, in square feet, of conditioned space. For each building, the inventory shall identify annual total energy use, in British thermal units (at gross thermal value) per square foot of conditioned space, for all forms of energy which the utility provides the customer. The inventory shall identify each building according to the appropriate Standard Industrial Classification Groups and by building type.

(v) Service Area Energy Index -Using the data obtained in the service area inventory, the utility will calculate the service area energy index for each Standard Industrial Classification Group and building type. This index is the median annual total energy use for buildings of a given Standard Industrial Classification Group or building type.

(vi) Priority Sequence -The utility shall determine the order in which it will conduct Energy Conservation Surveys. It shall utilize a method that considers how efficiently a customer uses energy, or it shall multiply each large commercial customer's conditioned space (in square feet) by the number of Btu's per square foot (if any) by which the customer exceeds his service area energy index. The utility shall then rank, in descending order of excess, those customers which exceed the index. It shall rank customers whose energy use does not exceed the index in descending order of their gross energy use. This ranking establishes the priority sequence.

(vii) Public Education -The plan shall describe how the utility expects to inform commercial customers about the commercial load management program.

(viii) Program Operations -The plan shall describe how the utility intends to carry out the day-to-day operations of the commercial program in accordance with (d) and (e) below. It shall describe how the utility intends to make arrangements with commercial customers to make surveys.

(ix) Program Evaluation and Reporting -The plan shall describe how the utility intends to evaluate, on an ongoing basis, the quality and performance of each element of the commercial load management program. It shall describe how evaluations will be made and the results fed back into each element to improve the program on a regular basis. The plan shall also describe how the utility intends to report progress on implementing the commercial load management program to the Commission. It shall indicate how the Commission will be notified, in a timely manner, of unexpected delays or difficulties. The plan shall include an outline of the reporting formats that the utility intends to use for its annual reports.

(x) Other Information -The plan shall include any other information that the utility deems appropriate for Commission consideration in relation to the commercial load management program.

(2) Plan for Small Commercial Customers. The plan shall contain elements (i), (ii), (iii), (vii), (viii), (ix), and (x) referred to in Subsection (b)(1) above.

(c) Plan for Industrial Customers. The utility may, at its option, expand its commercial load management program to include its industrial customers. If it chooses to do this, the utility shall submit a Plan for Industrial Customers. This plan shall contain the utility's assessment of the potential energy and capacity savings in the industrial sector of its service area on an industry-by-industry basis. This plan shall also describe the steps which the utility will take, by means of surveys or other programs, to achieve these savings, and the time frame in which these steps would be carried out. To the extent applicable, this plan shall contain information similar to that required by elements (i), (ii), (iii), (vii), (viii), (ix), and (x) referred to in subsection (b)(1) above. The Commission shall review any Plan for Industrial Customers to determine whether the proposals set forth in that plan will be cost-effective in achieving the estimated energy and/or capacity savings. If the Commission determines that the plan would be cost-effective to implement, it shall approve the plan.

(d) Energy Conservation Surveys for Large Commercial Customers. The utility or its contractor shall conduct Energy Conservation Surveys for large commercial customers cooperating in the program in descending order of priority sequence. The utility shall begin the surveys as soon as the Commission has approved its Plan for such customers and the utility's rate-approving body has approved a method for recovering the costs of the program. It shall complete these surveys within 36 months after it begins the surveys.

Each Survey shall review the end-uses of electricity at a specific site. It shall identify ways by which the customer can reduce both his total electricity use and his electricity demand during the peak period. Each survey shall as a minimum consider lighting, hot water, heating-ventilating, and cooling-ventilating.

(e) Survey Report. Within 30 days after it has completed an Energy Conservation Survey, the utility or its contractor shall provide the customer with a written report.

This report shall recommend ways in which the customer can shift loads to non-peak hours and save energy, and shall estimate how much money the customer would save should he implement the recommendations. The report shall indicate how the customer might take part in existing or potential utility-conducted load cycling programs, and how he may use solar energy techniques, cogeneration, or other load shifting or load diminishing measures. The report shall also show where further study by other experts might help him save still more energy and money.

The utility will retain a copy of the report, related papers and forms. It will keep these records available for review by the Executive Director, pursuant to Section 1621(e). The Executive Director shall conduct an annual review of quality of utility Surveys.

(f) Resurveys. Each year, the utility or its contractor shall recalculate annual total energy use for any large commercial customer surveyed during the previous year. It shall reenter into its priority sequence those customers which still exceed their service area energy index or it shall determine the order for resurveying its customers in accordance with an approved alternative method. In proper priority sequence, it shall resurvey such customers.

(g) Annual Report. On March 31 of each year, the utility shall submit to the Executive Director its annual report on Energy Conservation Surveys for customers affected by this section covering the previous calendar year. The Executive Director shall prescribe the format for these reports. In its first annual report, the utility shall describe how it initiated the surveys.

In each subsequent report, the utility shall provide the service area inventory or an update thereof, and the service area energy index and the priority sequence or their equivalent based on an approved alternative method. In addition, the report shall include, but need not be limited to, the following:

Number of customers surveyed;

Total energy used by the surveyed customers by Standard Industrial Classification Group and by building type in the 12 months covered by the annual report and 12 months prior to the period of the annual report;

Total kilowatt-hour, kilowatt demand, and coincident kilowatt demand by Standard Industrial Classification Group and by building type of the surveyed customers in the 12 months covered by the annual report and 12 months prior to the period of the annual report;

Net conditioned space of the surveyed customers at the time of the survey and 12 months prior to the survey; and

Expense data for all personnel, overhead, equipment and other items attributed to the survey program.

Each annual report shall describe the status of the utility's program for small commercial customers, and of any optional approved program for industrial customers.

Each annual report shall also indicate the impact of each program covered by this section on the utility's load duration curve for the previous 12 months.

(h) Compliance. The utility will be in compliance with this standard if:

(1) It submits all plans and reports required by this section in a timely manner;

(2) Within 36 months after the Commission has approved the utility's Plan for Large Commercial Customers and the rate-approving body has approved a method for recovering the costs of the program, the utility shall have made its best good faith efforts to conduct energy conservation surveys of 100 percent of its large commercial customers; and

(3) Within 24 months after the Commission has approved the utility's Plan for Small Commercial Customers and the rate-approving body has approved a method for recovering the costs of the program, the utility shall have made its best good faith efforts to contact 100 percent of its small commercial customers individually or through trade and community organizations.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25403.5 and 25406, Public Resources Code.

Article 6. Energy Conservation Assistance Act Regulations

§ 1650. Purpose.

These regulations specify the eligibility criteria and allocation procedures to be followed by the Energy Commission in implementing the Energy Conservation Assistance Act (ECAA), Public Resources Code Sections 25410-25421.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25419, Public Resources Code.

§ 1651. Definitions.

As used in this article:

(a) "Certified energy auditor" is a person who has successfully completed an energy auditor training course cosponsored by the Commission and the California Community Colleges, or who is otherwise certified by the Commission. The Commission shall maintain a current list of such auditors. All energy audits for this program shall be conducted by certified energy auditors.

(b) "Construction completion" is the date of issuance of an occupancy permit.

(c) "ECAA" is the Energy Conservation Assistance Act, Public Resources Code Sections 25410-25421.

(d) "Energy cost savings" is the difference between the amount of a loan recipient's utility bill after an energy conservation project is implemented and the amount of the utility bill had the project not been implemented.

(e) "Energy Use Index" is the value obtained by dividing a building's total annual energy use in Btus by the gross square feet of the building.

(f) "Committee" is the committee of the Commission, designated pursuant to Section 25211 of the Public Resources Code, which shall review all loan applications submitted under the ECAA.

(g) "Gross square feet" is the sum of all heated and cooled floor areas enclosed in a building, calculated from the outside dimensions, or from the centerline of common walls.

(h) "Institutional Conservation Program" is the Energy Conservation Measures and Energy Audits Grant Program for Schools and Hospitals and Buildings Owned by Units of Local Government and Public Care Institutions, administered by the Department of Energy pursuant to 42 U.S.C. Sections 6371-6372i.

(i) "Long-term care institution" is a facility (including a skilled nursing or intermediate care facility) providing in-patient care for convalescent or chronic disease patients who require skilled nursing or intermediate care and related medical services:

(1) which is a hospital (other than a hospital primarily for the care and treatment of mentally ill or tuberculosis patients) or is operated in connection with a hospital; or

(2) in which such care and medical services are prescribed by, or are performed under the general direction of, persons licensed to practice medicine or surgery in the state.

(j) "Rehabilitation institution" is a facility which is operated for the primary purpose of assisting in the rehabilitation of disabled persons through an integrated program of:

(1) medical evaluation and services; and

(2) psychological, social, or vocational evaluation and services, undercompetent professional supervision, and in the case of which the major portion of the required evaluation and services is furnished within the facility; and either the facility is operated in connection with a hospital, or all medical and related health services are prescribed by, or are under the general direction of, persons licensed to practice medicine or surgery in the state.

(k) "Residential child care center" is an institution (other than a foster home) operated by a public or nonprofit institution, which is primarily intended to provide full-time residential care with an average length of stay of at least 30 days for at least 10 minor persons who are in the care of such institution as a result of a finding of abandonment or neglect or of being persons in need of treatment or supervision.

(l) "Simple payback" is the time it takes to recover the cost of an energy conservation project by the resulting energy cost savings. This payback is calculated by dividing the amount of the loan including the interest and other costs associated with the loan, by the estimated annual energy cost savings based upon utility rates in effect at the time of application.

(m) "Streetlight conversion project" is the whole of a proposal to convert a streetlighting system or portion thereof, as provided for by Section 25412.5 of the Public Resources Code.

(n) "Technical audit" is a "technical assistance program," as used in the ECAA.

(o) "Technical auditor" is a person eligible to perform technical audits of this program. The technical auditor must:

(1) Be an engineer registered in the State of California;

(2) Be free from any financial interest which may conflict with the proper performance of the auditor's duties. This qualification includes, but is not limited to, the requirement that the auditor not have a financial interest in or be employed by a vendor or manufacturer of products which a technical audit could recommend.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Sections 25211, 25411(b), (m)(1), (m)(2), (m)(4), (r), 25413 and 25419, Public Resources Code.

§ 1652. Loan Cycles.

(a) Scheduling. A loan cycle shall take place when the Commission determines that there are sufficient funds in the Energy Conservation Assistance Account. The Commission shall provide potential applicants with a minimum of 90 days notice to submit applications, unless the purpose of the cycle is to make matching loan monies available to eligible institutions which have received Institutional Conservation Program energy conservation

measure grants. In such case, the Commission shall give the maximum notice possible under the Institutional Conservation Program schedule.

(b) Loan Monies Available. When the Commission gives notice of a loan cycle it shall also announce the types of loans for which it will be accepting applications, loan minimums and maximums, cents per square foot limits for energy audit and energy audit/technical audit loans, and the total loan monies expected to be available for the cycle.

(c) Loan Approval. The committee shall review all loan applications and shall recommend to the Commission applications for approval.

(d) Loan Disapproval. If the committee proposes to recommend disapproval of any loan application, the committee shall advise the applicant in writing of the specific reasons why the application was disapproved.

(e) Appeals. An applicant may appeal a proposed disapproval by filing a petition for appeal with the Commission Docket Unit within 15 days of receiving notification of the proposed disapproval. All appeals shall explain the grounds therefore. All appellants shall be notified of the Commission business meeting at which the Commission shall consider the committee's recommendations for loan approvals and shall have an opportunity to make oral comments at that meeting.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Sections 25214 and 25419, Public Resources Code.

§ 1653. Energy Audit and Energy Audit/Technical Audit Loans.

(a) Application Requirements. Energy audit and energy audit/technical audit loan applications shall contain:

(1) A description of the building(s) to be audited, including the gross square feet and date of construction completion for each;

(2) A budget summary for the project(s), including funds budgeted for materials and contracts (including engineering consultant fees);

(3) A proposed project schedule, including dates for project commencement and completion;

(4) Copies of utility bills for the previous twelve consecutive months, or data supplied by the utility(ies) summarizing this information.

(b) Scoring of Applications. Loan applications with the highest Energy Use Index shall be given the highest ranking. Such ranking shall not include any project deemed to be unreasonable because of its cost, economic viability, or technical feasibility.

(c) Audit Report. Within 90 days of the conclusion of an energy audit or energy audit/technical audit financed in whole or in part by ECAA funds, the loan recipient shall submit to the Commission an energy or technical audit report for each building audited with ECAA funds. Such report(s) shall contain the information required by federal law for the Institutional

Conservation Program, and an estimate of the energy and cost savings the recommended changes in maintenance and operating procedures will achieve.

(d) Implementation. Before receiving a loan for an energy audit or energy audit/technical audit, applicants shall promise in good faith to implement all feasible changes to existing maintenance and operating procedures as set forth in the energy audit, so that the loan will be repaid out of energy cost savings.

(e) Repayment. Energy audit and energy audit/technical audit loans shall be repaid within two years, unless the recipient can demonstrate to the Commission that it will not have recovered the amount of the loan through energy cost savings within that time. In such case, the repayment period shall be extended as necessary so that the recipient can repay the loan out of energy cost savings.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Sections 25412, 25413, 25417(a) and 25419, Public Resources Code.

§ 1654. Energy Conservation Measure Loans.

(a) Application Requirements. An application for an energy conservation measure loan shall contain:

(1) An energy audit and technical audit report for each building in the application, except that an energy audit report shall not be required for a loan not involving a building. If either report has been previously submitted, the applicant need only update relevant information;

(2) A budget for the project, including funds budgeted for

(A) labor;

(B) engineering;

(C) construction;

(D) material;

(E) equipment;

(F) inspection;

(G) demolition (if applicable); and

(H) removal (if applicable); less equipment salvage value (if applicable).

(3) A proposed project schedule, including dates for project commencement and completion.

(4) A statement that all energy conserving changes to maintenance and operating procedures which are identified in the energy audit or technical audit reports have been or will

be implemented by a specified date, or a written justification for not implementing any procedures so identified;

(5) A statement that the applicant has no intention to close or otherwise dispose of the building within the simple payback of any energy conservation measure for which an ECAA loan is sought.

(b) Scoring of Applications. Energy conservation measure loan applications with the lowest simple paybacks shall be given the highest ranking. Such ranking shall not include any project deemed to be unreasonable because of its cost, economic viability, or technical feasibility.

(c) Central Plants. If an energy conservation measure loan is sought only for a building which is a central plant, separate energy audits must be done on the central plant and each building it serves, but the technical audit need only be conducted for the central plant building.

(d) Preferred Energy Conservation Measures. At the commencement of a loan cycle, the Commission may designate specific energy conservation measures for which, because of their proven energy savings, applicants need only submit an energy audit report for the building(s) involved and a breakdown of the estimated costs and savings for the proposed measures.

(e) Loans to Supplement Project Funding. The Commission may make energy conservation measure loan monies available to eligible institutions for the purpose of supplementing funds secured from other public and private sources.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Sections 25412, 25413 and 25419, Public Resources Code.

§ 1655. Streetlight Conversion Project Loans.

(a) Application Requirements. An application for a streetlight conversion loan shall contain the information necessary to demonstrate compliance with the criteria set forth in Public Resources Code Section 25412.5, including:

(1) Whether the applicant purchases its electricity from a utility or operates its own electrical system;

(2) The number, type, wattage, and ballast wattage, if applicable, of all luminaires proposed for conversion;

(3) Estimated conversion costs for each luminaire;

(4) Existing annual operating hours, kilowatt hours, and operating costs for each;

(5) Estimated annual operating hours, kilowatt hours, and operating costs for each, after conversion;

(6) The simple payback of the project;

(7) A budget for the project, including funds budgeted for

(A) labor;

(B) engineering;

(C) construction;

(D) material;

(E) equipment;

(F) inspection; and

(G) removal (if applicable); less equipment salvage value (if applicable).

(8) A proposed schedule including dates of project commencement and completion.

(b) Scoring of Applications. Loan applications with the lowest simple paybacks shall be given the highest ranking. Such ranking shall not include any project deemed to be unreasonable because of its cost, economic viability, or technical feasibility.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Sections 25412, 25412.5, 25413 and 25419, Public Resources Code.

Article 7. Regulations for the Geothermal Grant and Loan Program for Local Jurisdiction

§ 1660. Purpose.

This article specifies the criteria and procedures to be followed by the State Energy Resources Conservation and Development Commission in administering the Geothermal Grant and Loan Program for Local Jurisdictions under Sections 3822 and 3823 of the Public Resources Code.

Note: Authority cited: Sections 3822, 25213 and 25218(e), Public Resources Code. Reference: Sections 3820, 3822, 3823 and 25216(c), Public Resources Code.

§ 1661. Definitions.

In this article:

(a) "Committee" means the committee of the commission, appointed under Section 1204 of these regulations and authorized to approve members of the Technical Advisory Committee and to review geothermal grant and loan applications.

(b) "Contingent Award" means financing provided through this program for high-risk resource development activities conditioned upon the outcome of the proposed project. If the project is successful, the contingent award will become a loan and the terms for repayment will be based on the resulting revenues or energy savings. If the project is not successful, the contingent award will become a grant.

(c) "Eligible Applicant" means a local jurisdiction as defined in Public Resources Code Section 3807 that has geothermal resources or is impacted by geothermal development as specified in Public Resources Code Section 3800.

(d) "Eligible activity" means any one of the eleven purposes listed in Public Resources Code Section 3823.

(e) "GRDA" means the Geothermal Resources Development Account established by Public Resources Code Section 3820.

(f) "Mitigation project" means an eligible activity that identifies the adverse environmental or public service impacts of geothermal energy development, or implements measures to reduce or eliminate those impacts.

(g) "Planning project" means an eligible activity that regulates or guides the development and use of geothermal resources.

(h) "Resource development project" means an eligible activity that assesses, develops, or converts a geothermal resource for direct use or electrical generation.

(i) "Technical Advisory Committee" or "TAC" means the group approved by the Committee and composed of staff members, representatives from other state agencies, and representatives from the geothermal industry who review and score all final applications before they are considered by the Committee.

Note: Authority cited: Sections 3822, 25213 and 25218(e), Public Resources Code. Reference: Sections 3800, 3807, 3808, 3820, 3822, 3823, 25211, 25216(c) and 25218(e), Public Resources Code.

§ 1662. Types of Financial Assistance.

(a) The Commission shall distribute funds as a grant, loan, or a contingent award.

(b) Eligible applicants seeking funds for planning projects, mitigation projects, or resource development projects that will not produce revenue or result in energy savings may apply for a grant or loan award.

(c) Eligible applicants seeking funds for resource development projects that may produce revenue or result in energy savings may apply for a contingent award.

(d) The Committee shall review the results of each project funded with a contingent award to determine if the recipient is capable of repaying a loan from the expected revenue or energy savings. The Committee shall review the results when the project is complete; that is, when the resource is developed or when the system is operational after a reasonable test period, which shall include such time as is necessary for the staff to calculate the expected revenues or energy savings.

(1) The Staff shall calculate the expected revenue or energy savings based on actual resource temperatures, flow rates and quality.

(2) The Committee shall submit its recommendations to the Commission for approval.

Note: Authority cited: Sections 3822, 25213 and 25218(e), Public Resources Code. Reference: Sections 3822, 3823 and 25216(c), Public Resources Code.

§ 1663. Terms for Loan Payment.

(a) The Committee shall recommend to the Commission for approval the interest rate at the beginning of each funding cycle, which shall not exceed eight percent.

(1) All loan awards made in any one funding cycle shall bear the same interest rate published in the program opportunity notice for that cycle.

(2) A contingent award that becomes a loan shall carry the interest rate published in the program opportunity notice for the funding cycle during which the contingent award was made.

(b) The Committee shall recommend to the Commission for approval the repayment term for each loan, which shall not exceed six years.

(1) For a loan award, the repayment term shall be determined when the award is made.

(2) For a contingent award that becomes a loan, the repayment term shall be determined when the project is complete. After repayment begins, the Committee may renegotiate the term for Commission approval if revenues or energy savings become insufficient to repay the original loan.

(c) The Committee shall recommend to the Commission for approval the principal for each loan which shall not exceed 80 percent of the project cost.

(1) For a loan award, the principal shall be determined when the award is made.

(2) For a contingent award that becomes a loan, the principal shall be determined when the project is complete. After repayment begins, the Committee may renegotiate the principal for Commission approval if revenues or energy savings become insufficient to repay the original loan.

(d) The Committee shall recommend to the Commission for approval the number of installments for each loan, which shall include at least one annual payment.

(1) For a loan award, the installments shall be determined when the award is made.

(2) For a contingent award that becomes a loan, the installments shall be determined when the project is complete.

Note: Authority cited: Sections 3822, 25213 and 25218(e), Public Resources Code. Reference: Sections 3822, 3823 and 25216(c), Public Resources Code.

§ 1664. Funding Cycle; Schedule.

(a) The funding cycle is the annual period of time during which the Commission solicits applications and makes awards.

(b) The Committee shall initiate the funding cycle by mailing a program opportunity notice to all interested persons on a list established by the Committee in consultation with the Public Adviser.

(c) The Committee shall include in the program opportunity notice the due dates for preapplications and final applications, and the interest rate for loans to be awarded during the funding cycle. Preapplications shall be due no earlier than 45 days after the program opportunity notice is mailed. Final applications shall be due no earlier than 45 days after the due date for preapplications. The Committee may change previously established due dates for preapplications and final applications.

Note: Authority cited: Sections 3822, 25213, 25218(e), Public Resources Code. Reference: Sections 3820, 3822, 3822.1, 25216(c), Public Resources Code.

§ 1665. Application and Award Procedures.

(a) Preapplication Requirements. An applicant shall submit a preapplication for each project proposed under this article. The preapplication shall contain:

(1) a cover page with the applicant's name and mailing address; the names and telephone numbers of the project director, the budget officer, and the project manager; and an abstract of the project.

(2) a budget including estimates for personnel services, operating expenses, professional and consultant services, and construction expenses.

(3) a project narrative describing:

(A) the purpose or objective of the proposed project;

(B) the need for the project;

(C) related activities undertaken;

(D) the benefit to the local community;

(E) other funding sources investigated or secured for the project; and

(F) the anticipated effect of the project on geothermal energy development in the area; and

(G) the products that will result from the project.

(4) A work statement listing and describing the tasks to be undertaken.

(b) Preapplication Review. The purpose of the preapplication is to allow the staff early review of a proposed project. This review shall be used to determine the eligibility of the applicant, to make a preliminary evaluation of the proposed project, and to provide specific direction to improve the project proposal.

(1) The staff shall review all preapplications submitted by the deadline published in the program opportunity notice and shall provide written comments addressing the adequacy of the information.

(2) Any applicant may request a meeting to discuss staff's comments concerning the proposed project.

(c) Final Application Requirements. The final application is the formal submittal to the Commission. The final application shall contain all the matter listed in Section 1665(a) and:

(1) a work schedule showing personnel requirements and a timeline for completing the projects;

(2) a description of all products to be submitted to the commission;

(3) a resolution from the local jurisdiction's governing body authorizing submittal of the application;

(4) evidence of compliance with the California Environmental Quality Act; and

(5) for resource development projects that will directly result in revenue or energy savings, a feasibility study. The study shall include:

(A) a summary of conclusions;

(B) a description of the geothermal project;

(C) a discussion of the quality and availability of the geothermal resource, based on, but not limited to published information, water samplings, temperature and other logs, or flow tests;

(D) a schematic drawing including, but not limited to, well locations, distribution piping, structures, and end use equipment and controls;

(E) a table including, but not limited to a description of any new equipment, itemized capital costs (in current dollars), annual operating costs for the new geothermal system, and annual energy savings (in current dollars and energy units); and a cash flow analysis table including, but not limited to, year-by-year estimates (in current dollars) of the energy cost of existing nongeothermal system, the energy cost associated with the proposed geothermal system, operation and maintenance costs associated with the proposed geothermal system, net energy savings, debt service, and net cash flow.

(d) Final Application Review and Scoring. Staff shall separate all final applications into one of three following project categories: (1) resource development, (2) planning, or (3) impact mitigation. The Technical Advisory Committee shall review and score all final applications using the applicable criteria set forth in Appendix A.

(1) The TAC shall rank the applications based on their scores.

(2) The TAC shall recommend for funding those applications receiving at least 80 out of the maximum 120 points.

(e) Modifications. The TAC, with the approval of the applicant, may modify the application's work statement, schedule, product description, or budget, but may not change the intent of the proposed project. The TAC shall rescore the application without requiring a resubmittal. Any modification shall:

(1) avoid the duplication of work or research;

(2) break the project down into logical steps of development;

(3) reduce administrative requirements;

(4) include tasks that are necessary for the success of the project or to prepare for potential contingencies during project development; or

(5) bring the costs of the project within the bounds of past and current projects of a similar nature and extent.

(f) Committee Review. The TAC shall submit all final applications and its recommendations to the Committee. The TAC's recommendations are not binding on the Committee or on the Commission. The Committee shall review all applications and submit its recommendations to the Commission for approval.

(g) Commission Allocation of Funds. The Commission shall fund at least one project in each category and shall allocate at least 25 percent of the funds available to each project category. The Commission may allocate the remaining funds available to any project category.

(h) Declined Awards. If an applicant declines all or part of an award, the amount declined may be used to supplement an existing award or fund an application rejected because of a lack of funds during the given funding cycle.

(i) Notification. The Staff shall notify all final applicants in writing regarding the TAC's evaluation and scoring before the Commission acts on the Committee's recommendations. For each final application, a scoresheet showing the number of points received from the TAC shall be available to the applicant upon request. Nothing shall prevent an unsuccessful eligible applicant in one funding cycle from submitting an application for an eligible activity in another funding cycle.

Note: Authority cited: Sections 3822, 25213 and 25218(e). Public Resources Code. Reference: Sections 3822, 3823 and 25216(c), Public Resources Code.

Appendix A

Final Application Evaluation Criteria

1. Resources Development Project
a. Economic and Employment Benefit ..... (15 points)
b. Demonstration Value ..... (15 points)
c. Payback and Cost Effectiveness ..... (15 points)
d. Proven Extent of the Resource ..... (15 points)
e. Likelihood of Success ..... (15 points)
f. Match Contribution ..... (15 points)
g. Overriding Issue ..... (30 points)
2. Planning Project
a. Demonstrated Need ..... (15 points)
b. Stimulation of Geothermal Energy Development ..... (15 points)
c. Proven Extent of the Resource ..... (15 points)
d. Public Involvement ..... (15 points)
e. Implementation ..... (15 points)
f. Match Contribution ..... (15 points)
g. Overriding Issues ..... (30 points)
3. Impact Mitigation Project
a. Documented Impact ..... (15 points)
b. Demonstrated Need ..... (15 points)
c. Availability of Alternatives for Mitigating the Impact ..... (15 points)
d. Match Contribution ..... (15 points)
e. Timeliness ..... (15 points)
f. Likelihood of Success ..... (15 points)
g. Overriding Issues ..... (30 points)

Article 8. California Home Energy Rating System Program

§ 1670. Scope.

These regulations establish the California Home Energy Rating System Program pursuant to Public Resources Code Section 25942, including procedures for the training and certification of raters, and a certification program for home energy rating system organizations (herein referred to as providers) and for home energy rating services (herein referred to as rating systems). These regulations apply only to field verification and diagnostic testing services pursuant to Chapter 7 of the ACM Manual for demonstrating compliance with Title 24 building energy performance standards. Regulations for other home energy rating services will be addressed in a subsequent rulemaking proceeding. Until the subsequent rulemaking is concluded, home energy rating system services other than field verification and diagnostic testing are not required to be certified.

Note: Authority cited: Sections 25213 and 25942, Public Resources Code. Reference: Sections 25213 and 25942, Public Resources Code.

§ 1671. Definitions.

For the purposes of these regulations, the following definitions shall apply:

ACM Manual means *the Low-Rise Residential Alternative Calculation Method Approval Manual* (Energy Commission Publication No. P-400-98-003) adopted in Section 10-109(b)(2) of Title 24, Part 1 of the California Code of Regulations.

Certified, as to a provider and rating system, means having successfully completed the certification requirements as specified by Section 1674.

Commission means the State of California Energy Resources Conservation and Development Commission, commonly known as the California Energy Commission.

Financial Interest means an ownership interest, debt agreement, or employer/employee relationship. Financial interest does not include ownership of less than 5% of the outstanding equity securities of a publicly traded corporation.

Independent Entity means having no financial interest in, and not advocating or recommending the use of any product or service as a means of gaining increased business with, firms or persons specified in Section 1673(i).

Note: The definitions of "independent entity" and "financial interest," together with Section 1673(i), prohibit conflicts of interest between providers and raters, or between providers/raters and builders/subcontractors.

Provider means an organization that administers a home energy rating system in compliance with these regulations (referred to as a "home energy rating service organization" in Section 25942 of the Public Resources Code).

Rater means a person performing the site inspection and data collection required to produce a home energy rating or the field verification and diagnostic testing required for demonstrating compliance with the Title 24 energy performance standards, who is listed on a registry in compliance with Section 1673(c).

Rating means a representation on a 0 to 100 scale of the annual source energy efficiency of a home, as specified in Section 1672(c).

Rating System means the materials, analytical tools, diagnostic tools and procedures to produce home energy ratings and provide home energy rating and field verification and diagnostic testing services (referred to as "home energy rating services" in Section 25942 of the Public Resources Code).

Service Water Heating means service water heating as defined in Section 101(b) of Title 24, Part 6 of the California Code of Regulations.

Source Energy means source energy as defined in Section 101(b) and calculated as specified in Section 102 of Title 24, Part 6 of the California Code of Regulations.

Note: Authority cited: Sections 25213 and 25942, Public Resources Code. Reference: Sections 25213 and 25942, Public Resources Code.

§ 1672. Requirements for Rating Systems.

(a) Rating Site Inspections and Diagnostic Testing. Each rating shall be based on a site inspection of the home, and diagnostic testing as specified by the rating system. Each rating system shall have documented procedures for site inspection and diagnostic testing of rated homes.

(b) Energy Uses Rated. Each rating system shall rate the total combined energy efficiency of the following energy uses of each home rated:

(1) space heating;

(2) space cooling; and

(3) service hot water.

(c) Rating Scale. Each rating system shall rate the annual source energy efficiency of homes on a scale of 0 to 100. The rating shall be for the combined total of the three energy uses described in Section 1672(b).

(d) Field Verification and Diagnostic Testing. The provider and rater shall provide field verification and diagnostic testing of energy efficiency improvements as a condition for those improvements to qualify for Title 24 building energy performance standards compliance credit, as required by Chapter 7, Appendix F, and Sections 3.8.3 and 3.9 of the ACM Manual. Providers and raters shall not knowingly provide untrue, inaccurate or incomplete field verification or diagnostic testing information or report field verification or test results that were not conducted in compliance with these regulations. Providers and raters shall not knowingly accept payment or consideration in exchange for reporting a rating or field verification and diagnostic test result that was not in fact conducted and reported in compliance with these regulations.

Note: Authority cited: Sections 25213 and 25942, Public Resources Code. Reference: Sections 25213 and 25942, Public Resources Code.

§ 1673. Requirements for Providers.

(a) Training and Certification Procedures for Raters. Each provider shall conduct the following rater training and certification procedures.

(1) Each provider's training program shall include classroom and field training for rater applicants in analysis, theory and practical application in at least the following areas:

(A) home energy consumption and efficiency data collection, organization and analysis;

(B) principles of heat transfer;

(C) building energy feature design and construction practice, including construction quality assurance and "house as a system" concepts;

(D) safety practices relevant to home energy auditing procedures and equipment;

(E) home energy audit procedures;

(F) energy efficiency effects of building site characteristics;

(G) types and characteristics of space heating, space cooling, service hot water and hard wired lighting systems;

(H) mathematical calculations necessary to utilize the rating system;

(I) the function and proper use of diagnostic devices including but not necessarily limited to: duct leakage testing equipment, blower doors and air flow and pressure measurement devices;

(J) construction types, equipment types and their associated energy efficiency ramifications;

(K) field verification and diagnostic testing requirements of Chapter 7, Appendix F, and Sections 3.8.3 and 3.9 of the ACM Manual; and

(L) California Home Energy Rating System Program requirements specified in these regulations.

(2) The training shall include thorough instruction in the use of the provider's rating system.

(3) The training shall require rater applicants to satisfactorily perform field verification and diagnostic testing for at least two homes in the presence and under the direct supervision of the provider's trainer. The provider shall review and approve this field verification and diagnostic testing for accuracy and completeness.

(4) The provider shall require each rater applicant to take a written and practical test that demonstrates his or her competence in all subjects specified in Section 1673(a)(1). The provider shall retain all results of these tests for five years from the date of the test.

(5) Each provider may establish a Commission-approved challenge test that evaluates competence in each area addressed by the provider's training program. If a rater applicant successfully passes this challenge test, the provider may waive the classroom training requirement and the written and practical test requirements for that applicant. An applicant who passes this challenge test must also successfully meet the requirements specified in Section 1673(a)(3).

(b) Rater Agreements. As a condition of rater registry under Section 1673(c), each provider shall ensure that a rater applicant who has met the requirements of Section 1673(a) has entered into an agreement with the provider to provide home energy rating and field verification and diagnostic services in compliance with these regulations. The agreement shall require raters to:

(1) provide home energy rating and field verification services in compliance with these regulations;

(2) provide true, accurate, and complete ratings, field verification and diagnostic testing; and

(3) comply with the conflict of interest requirements as specified in Section 1673(i).

(c) Rater Registry. As a condition of rater registry, each provider shall certify to the Commission that a rater applicant has met the requirements of Section 1673(a) and entered into an agreement meeting the requirements of Section 1673(b). The provider shall maintain a registry of all raters who meet these requirements, provide an electronic copy of the registry to the Commission, and make that registry available in printed or electronic form upon written request.

(d) Field Verification and Diagnostic Testing Data Collection. Each provider shall collect and maintain for a period of five years, the following information for each home for which field verification and diagnostic testing service is provided:

(1) *Certificates of Field Verification and Diagnostic Testing*;

(2) Certificates of Compliance;

(3) Installation Certificates; and

(4) Other reports made pursuant to Chapter 7 of the ACM Manual.

Alternatively, the information contained in these documents may be collected and stored electronically as long as all of the content and certification signatures from the specified documents are retained.

(e) Field Verification and Diagnostic Testing Evaluation. Providers shall maintain a database of the information specified in Section 1673(d) for a minimum 10% random sample of the homes actually field verified and diagnostically tested annually, or 500 such homes annually, whichever is less. Each provider shall provide this information annually in electronic form to the Commission for evaluating the effectiveness of field verification and diagnostic testing. To the extent that the Commission makes this information public, it will do so only in aggregated form. All of this information shall be organized according to climate zones as defined in Section 101(b) of Title 24, Part 6 of the California Code of Regulations.

(f) Data Submittal. Upon the Commission's request, but not more frequently than annually, a provider shall submit to the Commission the total of the number of homes for which field verification and diagnostic testing services were provided since the last data submittal, and a report of the following information for each home for which field verification and diagnostic testing service was provided:

(1) the energy efficiency improvements field verified and diagnostic tested;

(2) whether or not the builder chose to include the home in a sample for field verification and diagnostic testing as specified in Section 7.4 of the ACM Manual;

(3) whether or not initial field verification and testing as specified in Section 7.4.1 of the ACM Manual was conducted on the home;

(4) whether or not the home in a sample was actually selected and field verified and diagnostically tested as specified in Section 7.4.2 of the ACM Manual;

(5) whether or not the home in a sample was actually selected for resampling and field verified and diagnostically tested after a sampling failure was found in the sample as specified in Section 7.4.3 of the ACM Manual;

(6) whether or not the home in a sample was field verified and diagnostically tested and corrective action was taken after a resampling failure was found in the sample as specified in Section 7.4.3 of the ACM Manual;

(7) whether or not the homeowner declined to have field verification, diagnostic testing and corrective action taken after occupancy as specified in Section 7.4.3 of the ACM Manual.

All of this information shall be organized according to climate zones as defined in Section 101(b) of Title 24, Part 6 of the California Code of Regulations. To the extent the Commission makes this information public, it will do so only in an aggregated form.

(g) Training Materials Retention. Each provider shall retain for at least five years after the last date they are used at least one copy of all materials used to train raters.

(h) Quality Assurance. Each provider shall have a quality assurance program that provides for at least the following:

(1) Initial review. The provider shall review and approve for accuracy and completeness the field verification and diagnostic testing documentation for at least the first five homes which a rater performs after completion of the requirements specified in Section 1673(a)(1), (2) and (3), not including those homes field verified and diagnostically tested under the provider's direct supervision as specified in Section 1673(a)(3).

(2) Field checks of raters. For each rater, the provider shall annually evaluate the greater of one home or one percent of the rater's annual total of homes for which field verification and diagnostic testing services were provided. The provider shall independently repeat the field verification and diagnostic testing to check whether field verification and diagnostic testing was accurately completed by the rater, and determine whether information was completely collected and reported as required by Chapter 7 of the ACM Manual.

(3) Complaint response system. Each provider shall have a system for receiving complaints. The provider shall respond to and resolve complaints related to ratings and field verification and diagnostic testing services and reports. Providers shall ensure that raters inform purchasers and recipients of ratings and field verifications and diagnostic testing services about the complaint system. Each provider shall retain all records of complaints received and responses to complaints for five years after the date the complaint is presented to the provider.

(i) Conflict of Interest.

(1) Providers shall be independent entities from raters who provide field verification and diagnostic testing.

(2) Providers and raters shall be independent entities from the builder and from the subcontractor installer of energy efficiency improvements field verified or diagnostically tested.

Note: Authority cited: Sections 25213 and 25942, Public Resources Code. Reference: Sections 25213 and 25942, Public Resources Code.

§ 1674. Certification of Providers and Rating Systems.

(a) Application. A person or entity wishing to be certified as a provider and wishing to have a rating system certified shall submit four copies of an application to the Commission. The application shall contain:

(1) a complete copy of all field verification and diagnostic testing procedures, manuals, handbooks, rating system descriptions, and training materials;

(2) a detailed explanation of how the rating system meets each requirement of Section 1672;

(3) a detailed explanation of how the provider meets each requirement of Section 1673;

(4) the name, address, and telephone number of the provider and a statement of where its principal place of business is and where and upon whom service of legal process can be made;

(5) upon Commission request, if the provider is a corporation, a copy of the articles of incorporation and the current by-laws;

(6) if the provider is a partnership, the names, addresses, telephone numbers, and partnership status (for example, general, managing) of all the partners, and a copy of the current partnership agreement;

(7) the names, addresses, telephone numbers, and business relationships of all the provider's owners, parents, subsidiaries, and affiliates;

(8) a statement that ratings are accurate, consistent and uniform, utility bill estimates are reasonable, and recommendations on cost-effective energy efficiency improvement measures are reliable;

(9) a statement that the provider understands and will not knowingly fail to comply with the requirements of these regulations; and

(10) a statement under penalty of perjury that all statements in the application are true, provided in the form specified by Section 2015.5 of the Code of Civil Procedure.

(b) Confidentiality of Information. Any provider who submits the required application information and wishes to have that information treated as confidential in order to limit its disclosure shall, at the time of submitting the information, apply for a confidential designation as specified in Section 2505 of Title 20 of the California Code of Regulations.

(c) Commission Consideration.

(1) The Commission's Executive Director may request additional information from the applicant necessary to evaluate the application.

(2) The Executive Director shall provide a copy of its evaluation to interested persons.

The Executive Director may convene a workshop to receive comments from interested persons.

(4) Within 90 days of receiving the complete application, the Executive Director shall send to the Commission and to the applicant a written recommendation that the Commission certify the provider and its rating system or deny that certification.

(5) The Executive Director shall recommend certifying the provider and rating system if it finds the following:

(A) the rating system meets all of the requirements of Section 1672; and

(B) the provider meets all of the requirements of Section 1673.

(6) The Commission shall act on the recommendation at its next regularly scheduled Business Meeting that is at least fifteen days after the date that the recommendation was mailed to the applicant.

(7) The Commission shall certify the proposed provider and rating system if it confirms the Executive Director's findings in Section 1674(c)(5).

(8) Upon certification the Commission shall assign the provider a three-digit identification number.

(d) Re-certification. A certified provider shall notify the Commission whenever any change occurs in any of the information, documentation, or materials, the provider submitted to the Commission under Section 1674(a), and shall submit the changed information to the Commission. Where this changed information could affect the provider's compliance with these regulations, the Commission may require that the provider and the rating system be re-certified under the process described in Section 1674. The Executive Director may waive re-certification for non-substantive changes. The Commission may also require that providers and rating systems be re-certified if the requirements of these regulations are amended or modified.

Note: Authority cited: Sections 25213 and 25942, Public Resources Code. Reference: Sections 25213 and 25942, Public Resources Code.

§ 1675. Review by the Commission.

(a) Annual Review. The Commission may annually review the performance of providers certified under Section 1674 to determine whether the providers comply with the requirements of these regulations. This review may include interviewing recipients of ratings and field verification and diagnostic testing services and reports on a voluntary basis.

(b) Complaint Proceedings. Any person or entity may file a complaint concerning any violation of these regulations as provided for in Section 1230 et. seq. of Title 20 of the California Code of Regulations. The Commission may, for good cause, conduct an investigation and, if

necessary, hearing, under the procedures established in Section 1230 et. seq. of Title 20 of the California Code of Regulations.

Each provider shall provide all information requested by the Commission regarding any annual review or complaint proceeding.

(c) Commission Determination. If the Commission determines there is a violation of these regulations or that a provider is no longer providing rating, field verification and diagnostic testing services, the Commission may revoke the certification of the provider pursuant to Section 1230 et. seq. of Title 20 of the California Code of Regulations.

Note: Authority cited: Sections 25213 and 25942, Public Resources Code. Reference: Sections 25213 and 25942, Public Resources Code.

Chapter 5. Site Certification

Article 1. General Provisions Applicable to Notices and Applications

A. Scope and Definitions

§ 1701. Scope of Regulations.

(a) Unless otherwise stated, the provisions of Article 1 of this chapter shall apply to the consideration of all notices and applications for any site and related facility within the jurisdiction of this commission.

(b) The provisions of Article 2 of this chapter shall apply to the consideration of all notices except as provided in Article 4.

(c) The provisions of Article 3 of this chapter shall apply to the consideration of all applications for certification except as provided in Article 4.

(d) The provisions of Article 4 of this chapter shall apply to the consideration of all geothermal notices and applications for certification.

(e) The provisions of Article 5 of this chapter shall apply to the consideration of all applications for a Small Power Plant Exemption.

(f) The provisions of Article G of this chapter shall apply to the consideration of all powerplant and transmission line jurisdictional determinations.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Section 25541.5, Public Resources Code.

§ 1702. Definitions.

For purposes of this subchapter and unless otherwise indicated, definitions found in Public Resources Code Section 25100 as well as the following definitions shall apply:

(a) "Administrative record" means all materials that have been entered into the docket on the proceeding. The administrative record includes but is not limited to the hearing record (as defined below).

(b) "CEQA" means the California Environmental Quality Act of 1970 commencing with Section 21000 of the Public Resources Code.

(c) "Committee" means the committee of the commission appointed pursuant to Section 1204 of these regulations to conduct proceedings on a notice or application.

(d) "Environmental documents" means draft environmental impact reports (draft EIR), final environmental impact reports (final EIR), initial studies, negative declarations, notices of preparation, notices of determination, notices of exemption and statements of findings and overriding considerations, and the documentation prepared by the Commission or its Staff for a certified regulatory program in compliance with Section 21080.5 of the Public Resources Code.

(e) "Feasible" means capable of being accomplished in a successful manner within a reasonable period of time, taking into account economic, environmental, legal, social, and technological factors.

(f) "General counsel" means the general counsel of the commission.

(g) "Hearing officer" means any person designated pursuant to Section 1205 of these regulations to assist the presiding member in conducting the proceeding.

(h) "Hearing record" means the materials that the committee or commission accepts at a hearing. While the committee or commission may rely in part on any portion of the hearing record in making a finding, only those items properly incorporated into the hearing record pursuant to Section 1212 or 1213 are sufficient in and of themselves to support a finding. The hearing record includes:

(1) Written and oral testimony presented at a hearing, including direct and cross-examination of a witness.

(2) Supporting documentary evidence or exhibits submitted with testimony.

(3) Public comment offered at a hearing or entered into the record at a hearing.

(4) Public agency comment offered at a hearing or entered into the record of a hearing.

(5) Matters of which official notice has been taken.

(6) Other evidence that the committee accepts at a hearing.

(i) "Intervenor" means any person who has been granted leave to intervene in notice or application proceedings pursuant to Section 1712 of these regulations.

(j) "Party" means the applicant, the staff of the commission, and any intervenor.

(k) "Presiding member" means the presiding member of the committee appointed to conduct proceedings on a notice or application.

(l) "Filing" means submission of any document to the commission docket. A document is filed on the day it is received by the commission docket.

(m) "Acceptance" means a formal determination by the commission, pursuant to Public Resources Code, sections 25516.6, 25522, or 25540.1 that a notice or application for certification is complete.

(n) "Related Facility" means a thermal powerplant, electric transmission line, or any equipment, structure, or accessory dedicated to and essential to the operation of the thermal powerplant or electric transmission line. These facilities include, but are not limited to, transmission and fuel lines up to the first point of interconnection, water intake and discharge structures and equipment, access roads, storage sites, switchyards, and waste disposal sites. Exploratory, development, and production wells, resource conveyance lines, and other related equipment used in conjunction with a geothermal exploratory project or geothermal field development project, and, absent unusual and compelling circumstances, the thermal host of a cogeneration facility, are not related facilities.

(o) "Application" means either an Application for Certification or an application for a Small Power Plant Exemption, unless otherwise indicated.

(p) "Local agency" means any local or regional governmental authority within the state, including but not limited to, any city, county, air pollution control or air quality management district, or Native American government.

(q) "Areas of critical concern" means special or unique habitats or biological communities that need protection from potential adverse effects resulting from project development and which may be identified by local, state, or federal agencies with resource responsibility within the project area, or by educational institutions, museums, biological societies, or special interest groups with specific knowledge of resources within the project area. This category includes, but is not limited to, wildlife refuges, wetlands, thermal springs, endangered species habitats, and areas recognized by the California Natural Area Coordinating Council and the Governor's Office of Planning and Research.

(r) "Performance criteria" means performance goals for which the applicant proposes to design the facilities.

(s) "MCE" means Maximum Credible Earthquake as defined by the United States Geological Survey.

(t) "MPE" means Maximum Probable Earthquake as defined by the United States Geological Survey.

(u) "Impact area" means the area which is potentially affected by the construction, modification, or operation of a site and related facilities.

(v) "Species of special concern" means candidate rare, threatened, or endangered species that may need protection from potential adverse effects resulting from project development and which may be identified by local, state, or federal agencies with resource responsibility within the project area or by educational institutions, museums, biological societies, and special interest groups with specific knowledge of resources within the project

area. In addition to species designated pursuant to state or federal law, this category includes, but is not limited to, those rare and endangered plant species recognized by the Smithsonian Institution or the California Native Plant Society.

Note: Authority cited: Sections 25213, 25218(e) and 25541.5, Public Resources Code. Reference: Sections 21061.1, 25502, 25519, 25540, 25540.1, 25540.2 and 25541.5, Public Resources Code; and Title 14, California Code of Regulations, Section 15364.

B. Filing and Information Requirements for Notices and Applications

§ 1703. Requirement to File.

Note: Authority cited: Sections 25216.5,25218, 25539, Public Resources Code. Reference: Sections 25502, 25517, 25519, Public Resources Code.

§ 1704. Information Requirements for Notices and Applications.

(a) General Requirements. All notices and applications shall conform to the following requirements:

(1) Except where otherwise indicated, any descriptions, statements, analyses, and discussions required in the notice or application shall extend to the site and related facilities.

(2) An applicant may incorporate by reference any information developed or submitted in any previous commission proceeding, provided that the notice or application contains a summary of the referenced material, identifies the proceeding in which it was submitted, and explains the relevance of the material to the information requirement. To the extent possible, the applicant should rely on findings, conclusions, analyses, policies, and other guidelines adopted or established in the most recent Biennial Report in order to satisfy the information requirements.

(3) The notice or application shall include or reference the following:

(A) Descriptions of all significant assumptions, methodologies, and computational methods used in arriving at conclusions in the document;

(B) Descriptions, including methodologies and findings, of all major studies or research efforts undertaken and relied upon to provide information for the document; and a description of ongoing research of significance to the project (including expected completion dates); and

(C) A list of all literature relied upon or referenced in the document, along with brief discussions of the relevance of each such reference.

(4) Each principal subject area covered in a notice or application shall be set forth in a separate chapter or section, each of which shall identify the person or persons responsible for its preparation.

(b) The informational requirements for notices, applications for certification, and applications for a small powerplant exemption are contained in this section and in appendices to this Chapter. Maps required in this section and in the appendices shall be provided at the scale specified in the appendices, except that applicants may provide maps at a different scale

if the maps are legible and if a written explanation of why this different scale is more appropriate is included in the notice or application. The term region means a geographic area that is normally contiguous and exhibits similar geographic characteristics. The term vicinity means both that area in close proximity to the project site and which receives a preponderance of the direct impacts of the project. The area referred to by the terms vicinity and region will overlap, although, in most circumstances, the vicinity will be part of the region. The size of the region and vicinity that should be discussed in the filing will vary depending on the project's location (e.g., rural, urban, coastal), its technology (e.g., nuclear, coal, geothermal), and by technical area. Applicants should use their professional judgment in determining the appropriate size of the region and vicinity to be discussed in the application. A statement explaining the extent of the area described for each technical area shall be included.

(1) The notice of intention shall contain all the information specified in Appendix A to this chapter for a nongeothermal site and related facilities, and Appendix C for a geothermal site and related facilities.

(2) The application for certification shall contain all information specified by Appendix B of this chapter and the commission decision approving the notice, if any.

(3) Except where otherwise indicated, any descriptions, statements, analyses, and discussions required in a geothermal notice or application shall extend to the geothermal power plant and associated geothermal field, including, but not limited to, wells that supply the power plant or re-inject geothermal fluids, resource conveyance lines, major access roads, storage sites, switchyards, waste disposal sites, and all other structures or improvements which are related to the power plant. Information and data concerning the associated geothermal field are required to the extent that they relate to the environmental impacts of the entire project or to the reliability of the proposed power plant. Absent new information or changed circumstances, incorporation of environmental impact reports on the geothermal field will fulfill the requirements for field information.

(4) Where required information on any aspect of the proposed geothermal power plant is unavailable, the geothermal notice may contain typical operating data or projections representative of the size and type of the facilities proposed, together with a discussion of the applicability of the data to the proposed facilities, an identification of limitations inherent in the representative data, an explanation for the unavailability of the required information, and an estimate of when such information will be available. The substitution of representative or projected information for the information requested in Appendix C is intended to allow and encourage the filing of a notice prior to the discovery or confirmation of commercial resources.

(5) The application for small powerplant exemption shall contain all the information specified by Appendix F.

(c) Information requirements for applications. The application for certification shall contain all the information required by Appendix B of this article (for nongeothermal projects) or Appendices B or C of Article 4 (for geothermal projects) and any information required by the decision on the notice (see Section 1805, Article 4 for geothermal requirements).

Note: Authority cited: Sections 25213, 25216.5(a), 25218(e) and 25541.5, Public Resources Code. Reference: Sections 21080.5, 25308.5, 25504, 25519(a), 25519(c), 25520, 25522(b), 25523(d)(1), 25540.1, 25540.2, 25540.6, 25541, Public Resources Code.

§ 1705. Form of Submissions.

Paper copies of notices and applications, ad any other documents attached thereto, submitted pursuant to this article, shall conform to the requirements of Section 1209 of these regulations and shall be submitted in a three-ring binder in a loose-leaf fashion, with pages numbered by chapter.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Sections 25502 and 25519, Public Resources Code.

§ 1706. Number of Copies.

(a) The applicant shall file with the commission one hundred fifty (150) copies of any notice and of all drawings, photographs, maps, diagrams, charts, graphs, and other documents attached to the notice or, alternatively, 100 paper copies and 50 copies in a CD-ROM medium and the format specified in Section 1209.5, unless otherwise specified by the Executive Director for the convenience of interested agencies, the parties, and the public.

(b) The applicant shall file with the commission one hundred twenty-five (125) copies of any application for certification and of all drawings, photographs, maps, diagrams, charts, graphs, and other documents attached to the application or, alternatively, 75 paper copies and 50 copies in a CD-ROM medium and the format specified in Section 1209.5, unless otherwise specified by the Executive Director for the convenience of interested agencies, the parties, and the public.

(c) The applicant shall file with the commission one hundred (100) copies of any application for a small powerplant exemption and of all drawings, photographs, maps, diagrams, charts, graphs, and other documents attached to the application or, alternatively, 75 paper copies and 25 copies in a CD-ROM medium and the format specified in Section 1209.5, unless otherwise required by the Executive Director for the convenience of interested agencies, the parties, and the public.

(d) The applicant shall also file the same number of copies, specified in subsection (a) or (b) above, of any subsequent documents required by the Commission for completeness under section 1709.

(e) In addition to the materials filed pursuant to subsection (a), (b), or (c) above, the applicant shall file five (5) copies of all documents cited in the notice or application which are not available at public libraries or other governmental agencies in the City or County of Sacramento. For each document which is so available, the filing shall state where the document can be found.

(f) The executive director may waive the requirement for filing the number of copies specified by this section for any document for which reproduction and filing of that number of copies would constitute an unreasonable burden to the applicant. A written request for a waiver may be submitted to the executive director at any time prior to the filing of a notice or application. The request shall include a description of each such document and a discussion of the reasons why reproduction and filing of that number of copies is unreasonable. An applicant may not file a notice or application while such request is pending. If a request is granted, the executive director shall specify the number of copies of the document to be filed. The executive director shall act on all such requests within 15 days.

(g) Upon filing a notice or application pursuant to this article, the executive director may require the filing of additional copies of the notice or application and associated documents, if necessary, to satisfy the requirements of interested agencies, the parties, and the public.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Sections 25502 and 25519, Public Resources Code.

§ 1707. Authority and Verification.

Every notice and application shall be dated and signed by each applicant attesting under penalty of perjury to the truth and accuracy of such notice or application. If any of the applicants are corporations or business associations, the notice or application shall be dated, signed, and attested to by an officer thereof. Where a notice or application is filed on behalf of a joint venture or proposed joint venture, all members of the joint venture or proposed joint venture shall date, sign, and attest to the notice or application; provided, however, that no more than one member of said joint venture or proposed joint venture need attest as to the entire notice or application, but that each joint venturer or proposed joint venturer shall attest to the notice or application with respect to the information required by Section 1704 regarding need for the project and financial impacts of the proposal.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Sections 25502 and 25520, Public Resources Code.

§ 1708. Fees

(a) A cashier's check in the amount required by Section 25802 of the Public Resources Code shall be prepared by the applicant and shall accompany the notice.

(b) Upon the demand of the executive director, the applicant shall pay additional fees to the commission in the amount of any reimbursement made to local agencies by the commission pursuant to Section 1715 of this article.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Sections 25538 and 25802, Public Resources Code.

§ 1709. Filing of Notices and Applications for Certification; Data Adequacy Review and Docketing.

(a) Upon the filing of any notice or application for certification, all documentation shall be reviewed by the executive director or a delegatee to determine whether the notice or application for certification contains the information required under section 1704 and is therefore complete. The executive director or a delegatee shall take into consideration the timely comments of the Air Resources Board, local air pollution control districts, other agencies, and members of the public prior to the determination of whether the notice or application for certification contains the information required under section 1704 and is therefore complete.

(b) No later than 30 days after the receipt of a non-geothermal notice or application and no later than 20 days after receipt of a geothermal notice or application for certification, the executive director shall file his or her recommendation on whether the notice or application for certification contains the information required under section 1704 and is therefore complete.

(c) No later than 45 days after receipt of a nongeothermal notice or application for certification, and no later than 30 days after receipt of a geothermal notice or application for certification, the commission shall act upon the executive director's recommendation as to whether the notice or application for certification contains the information specified in Section 1704 and is therefore complete. If the commission determines that the notice or application for certification is complete, the notice or application for certification shall be deemed accepted for the purpose of this section on the date that this determination is made. If the commission determines that the notice or application for certification is incomplete, the commission shall indicate, in writing, those parts of the notice or application for certification which fail to meet the information requirements and the manner in which it can be made complete.

(d) If the applicant files additional data to complete the notice or application for certification, the commission shall determine, within 30 days of the receipt of that data, whether the data is sufficient to make the notice or application for certification complete. The notice or application for certification shall be deemed filed on the date when the commission determines the notice or application for certification is complete if the commission has adopted regulations specifying the informational requirements for a complete notice or application for certification, but if the commission has not adopted regulations, the notice or application for certification shall be deemed filed on the last date the commission receives any additional data that completes the notice or application for certification.

(e) On or before acceptance of a notice or application for certification or upon filing of an application for a small powerplant exemption, a committee, a presiding member and a hearing officer shall be designated pursuant to Sections 1204(a) and 1205 to conduct proceedings on the notice or application.

Note: Authority cited: Sections 25213 and 25541.5, Public Resources Code. Reference: Sections 25211, 25502, 25504, 25516.6, 25520, 25522, 25540.1, 25540.2 and 25541, Public Resources Code.

§ 1709.5. Prefiling Review.

(a) A potential applicant may request the executive director to conduct a prefiling review of existing environmental and other documentation relevant to a proposed notice or application. The purpose of such a review shall be to determine the extent to which information contained in the existing documents is sufficient to meet the information requirements for a notice or an application.

(b) Any request pursuant to this section shall be in writing and shall be accompanied by at least twelve (12) copies of each document which the potential applicant requests to have reviewed. The executive director may recommend that additional documents known to the commission staff be included in the document review. Potential applicants may, and are encouraged to, file documents in the form of a draft or proposed notice or application.

(c) If the executive director determines that a prefiling review is appropriate, the executive director shall, by such time as may be mutually agreed upon by the potential applicant and the executive director, determine whether the information provided is sufficient to meet the information requirements of a notice or application and, where appropriate, shall provide the potential applicant with a list identifying the additional information necessary to comply with the information requirements.

(d) The potential applicant may request a workshop with the commission staff to discuss any matter relevant to the preparation of a notice or application. The public shall be notified at least 10 days in advance of any such workshop by the executive director in consultation with the public adviser. Nothing in this section shall prohibit a potential applicant from informally exchanging information or discussing procedural issues with the staff without a publicly noticed workshop.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Sections 25502, 25520 and 25540.3, Public Resources Code.

§ 1709.7. Informational Hearing, Site Visit, and Schedule.

(a) Within 45 days after the acceptance of a notice or application for certification or the filing of an application for small powerplant exemption, the committee shall hole one or more informational presentations and site visits in the county or counties in which the proposed sites and related facilities are proposed to be located. The place of the presentations shall be as close as practicable to the proposed sites. Notice of the first informational presentation shall be mailed to all owners of land adjacent to the proposed sites.

(b) At or before the first informational presentation, the commission staff shall file with the committee a written statement summarizing the major issues that the staff believes will be presented in the case. This summary shall not preclude the staff or any other party from raising additional issues later in the case.

(c) No later than 15 days after the last informational presentation, the presiding member shall issue an order establishing the schedule for the prehearing phase of the proceedings on the notice or application. The presiding member may change the schedule at any time upon motion by any party or upon his own motion.

(d) At each informational presentation, the applicant shall describe the proposed project, and the staff shall explain how the certification or exemption proceedings are conducted. These presentations shall allow for informal questions to the applicants and the staff from local residents and other interested persons regarding the proposed sites and facilities.

Note: Authority cited: Sections 25213 and 25541.5, Public Resources Code. Reference: Sections 25214, 25216.5 and 25509, Public Resources Code .

§ 1709.8. Withdrawal of Notice or Application.

(a) Any time after acceptance, the applicant may withdraw the notice or application by filing and serving on all parties written notice of withdrawal. The notice of withdrawal must be authorized and verified in the same manner as the original notice or application, as provided in Section 1707.

(b) Upon receipt of a properly executed withdrawal, the presiding member, or if there is none, the Chairman, shall immediately issue a written order to terminate the notice or application proceeding and close the docket. The records and documents of the proceeding shall continue to be maintained by the Docket Unit.

(c) If the applicant decides to go forward with a project after the notice or application proceeding is terminated, the applicant must file a new notice or application under Section 1709.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25216.5, Public Resources Code.

C. Public and Agency Rights and Responsibilities; Provisions Applicable to Notices and Applications

§ 1710. Noticing Procedures; Setting of Hearings, Presentations, Conferences, Meetings, Workshops, and Site Visits.

(a) All hearings, presentations, conferences, meetings, workshops, and site visits shall be open to the public and noticed as required by subsection (b); provided, however, these requirements do not apply to communications between parties, including staff, for the purpose of exchanging information or discussing procedural issues. Information includes facts, data, measurements, calculations and analyses related to the project. Discussions between the staff and any other party to modify the staff's position or recommendations regarding substantive issues shall be noticed. The staff may also meet with any governmental agency, not a party to the proceedings, for the purpose of discussing any matter related to the project without public notice.

(b) Except for the hearing conducted pursuant to Section 1809(a) and the workshop pursuant to Section 1709.5(d), notice of the initial public hearing on a notice or application shall be mailed or otherwise delivered fourteen (14) days prior to the first such hearing to the applicant, intervenors, and to all persons who have requested notice in writing. Except for continued hearings, notices shall, to the extent possible, be mailed at least fourteen (14) days in advance, and in no case less than ten (10) days in advance.

(c) The public adviser shall be consulted in the scheduling of locations, times, and dates for all noticed hearings, presentations, conferences, meetings, workshops, and site visits so as to encourage maximum public participation.

(d) Notice of hearings, conferences, and meetings shall be signed by a member of the committee or specific designee thereof.

(e) The public adviser shall be afforded a reasonable opportunity to review all notices of hearings, presentations, conferences, meetings, workshops, and site visits for timeliness, completeness, clarity, and adequacy of dissemination.

(f) Publicly noticed hearings, presentations, conferences, meetings, workshops, and site visits may be continued from the date, time, and place originally scheduled to a future date, time, and place, by posting notice at the door in the same manner as provided by Government Code section 11129. If the continuance is to a date ten days or more in the future, then notice shall also be provided by mail as provided in subdivision (b).

(g) Publicly noticed hearings, presentations, conferences, meetings, workshops, and site visits may be canceled for good reason, provided the following requirements are met:

(1) A notice of cancellation shall be posted at the door in the same manner as provided by Government Code section 11129.

(2) A notice of cancellation shall be mailed as provided in subdivision (b)

(3) If the notice of cancellation is mailed less than ten (10) days before the originally noticed date, then the staff shall work with the public adviser to ensure that notice is provided to all interested parties by the best means available.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 11129, Government Code; and Sections 25216.5 and 25222, Public Resources Code.

§ 1711. Right of Any Person to Comment.

Any person interested in a notice or application proceeding shall be given an opportunity to make oral or written comments on any relevant matter at any hearing or information meeting held on a notice or an application. The presiding member may specify such conditions on the right to comment as are reasonably necessary for the orderly conduct of the proceeding, and may request that written comments be submitted in advance of any hearing.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25214, Public Resources Code.

§ 1712. Right to Become a Party; Rights and Duties.

(a) Any person may petition to intervene pursuant to Section 1207 of these regulations. Any person whose petition is granted by the presiding member shall have all the rights and duties of a party under these regulations. No person who becomes a party shall be permitted to reopen matters or reopen discovery dealt with in the proceeding prior to the time when such person became a party, without a showing of good cause.

(b) Subject to the exercise of the lawful discretion of the presiding committee member as set forth in Section 1203(c), each party shall have the right to present witnesses, to submit testimony and other evidence, to cross-examine other witnesses, to obtain information pursuant to Section 1716, and to file motions, petitions, objections, briefs, and other documents relevant to the proceeding. Each party shall be provided with a copy of the notice or application. The rights set forth herein are in addition to such other rights as the parties may have as set forth in Chapters 2 and 5 of these Regulations, including Section 1212(c).

(c) Each party shall have the responsibility to comply with the requirements for filing and service of documents, the presentation of witnesses and evidence, and any other reasonable conditions which may be imposed by order of the presiding member.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Section 25214, Public Resources Code.

§ 1712.5. Staff as an Independent Party.

In carrying out its duties pursuant to this chapter, the staff of the commission shall be an independent party to all notice, application, and exemption proceedings. The staff is not required to petition to intervene in such proceedings.

Note: Authority cited: Section 25213, Public Resources Code. Reference: Section 25217(b), Public Resources Code.

§ 1713. Summary of Notice or Application; Distribution

(a) Upon filing of the notice or application, the executive director shall prepare a summary of such notice or application. The summary shall be concise and understandable, shall fairly describe the content of the notice or application using the applicant's own words whenever possible, and shall include a description of the commission's procedures concerning proceedings on the notice or application, as appropriate.

(b) As soon as practicable after its preparation, the executive director shall cause a copy of the summary to be mailed or otherwise delivered to public libraries in communities near the proposed sites, including the main branch of a public library in each county in which a facility is proposed to be located in whole or in part; to libraries in Eureka, Fresno, Los Angeles, San Diego, and San Francisco; and to all members, to the ex officio members, to the public adviser, to the hearing officer, to the general counsel, to the applicant, to any person who requests such mailing or delivery, and to all parties to the proceeding.

(c) As soon as practicable after its preparation, the executive director shall cause the summary to be published in a newspaper of general circulation in each county in which a site and related facility, or any part thereof, designated in the notice or application, are proposed to be located.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25505 and 25519(g), Public Resources Code.

§ 1714. Distribution of Copies to Public Agencies; Request for Comments.

(a) As soon as possible after receipt of the notice or application for a site and related facility requiring a certificate of public convenience and necessity, the executive director shall transmit a copy thereof to the Public Utilities Commission and shall request the Public Utilities Commission to perform an analysis and to offer comments and recommendations regarding the economic, financial, rate, system reliability, and service implications of the design, construction, operation, and location of the site and related facilities. For applications for a site and related facility which does not require a certificate of public convenience and necessity, the executive director shall transmit a notice of receipt of the application to the Public Utilities Commission.

(b) Within ten days after receipt of the application for a site and related facility that is proposed to connect to the California Independent System Operator-controlled grid, the executive director shall transmit a copy thereof to the California Independent System Operator and shall request the California Independent System Operator to perform an analysis and to offer comments and recommendations regarding the system reliability implications and identification of interconnection facilities required for connection to the California Independent System Operator-controlled grid. For applications which do not connect to the California Independent System Operator-controlled grid, the executive director shall transmit a notice of receipt to the California Independent System Operator.

(c) The executive director shall also transmit a copy of the notice or application to the Coastal Commission for any site located in the coastal zone, to the Bay Conservation and

Development Commission (BCDC) for any site located in the Suisun Marsh or the jurisdiction of the BCDC, to the California Department of Fish and Game, to the Air pollution Control District in which the project is located, to the Water Resources Control Board in which the project is located, to all federal, state, regional, and local agencies which have jurisdiction over the proposed site and related facility, or which would have such jurisdiction but for the commission's exclusive authority to certify sites and related facilities pursuant to Chapter 6 (commencing with # 25500) of Division 15 of the Public Resources Code, and to any other federal, state, regional, or local agency which has been identified as having a potential interest in the proposed site and related facility, and shall request analyses, comments, and recommendations thereon.

(d) The executive director shall transmit a copy of the notice or application to any Native American government having an interest in matters relevant to the site and related facilities proposed in the notice or application provided the Native American government has a governing body recognized by the Secretary of the Interior of the United States or the Native American government has otherwise requested in writing to receive a copy of the notice or application.

(e) The commission shall request any Native American government covered under subsection (c) to make comments and recommendations regarding the design, operation, and location of the facilities proposed in relation to the environmental quality, public health and safety, and other factors on which they may have expertise. To the extent that the Native American government has land use and related jurisdiction in the area of the proposed sites and related facilities, the commission shall request the Native American government to review and comment upon the land use and related aspects of the proposed sites and related facilities.

(f) Upon receiving a copy of the notice or application, each agency requested to file comments shall inform the presiding member (or the executive director if no committee has been appointed yet) of when such comments can be filed with the commission. Unless otherwise specified by law or by order of the presiding member, all such comments shall be filed prior to the conclusion of the evidentiary hearings held pursuant to Sections 1723, 1748, and 1944 on the notice or application.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25505, 25506, 25506.5, 25507 and 25519, Public Resources Code.

§ 1714.3. Agency Comments on a Notice; Purpose and Scope.

Any agency requested, pursuant to Section 1714 of this article, to transmit its comments and recommendations to the commission on a site and related facility proposed in the notice shall be requested to do each of the following:

(a) Identify each aspect of the proposed site and related facility for which the agency has land use or related jurisdiction or would have such jurisdiction but for the exclusive authority of the commission to certify sites and related facilities;

(b) List and summarize the nature of the laws, regulations, ordinances, or standards which the agency administers or enforces and which are applicable to the proposed site and related facility or would be applicable but for the commission's exclusive authority to certify sites and related facilities pursuant to Section 25500 of the Public Resources Code;

(c) Describe the nature and scope of the information requirements which the applicant must eventually meet in order to satisfy the substantive requirements of the agency; summarize the agency's procedures for resolution of such requirements and indicate the amount of time necessary to do so; describe any other studies, analyses, or other data collection which the applicant, agency, or commission should perform in order to resolve each substantive or permit requirement of the agency;

(d) Based upon available information, conduct a preliminary analysis and provide comments and recommendations to the commission regarding the design, operation, and location of the facilities proposed in the notice, in relation to environmental quality, public health and safety, and other factors on which the agency has expertise or jurisdiction. The preliminary analysis shall be limited to that necessary to advise the commission on whether there is a reasonable likelihood that the proposal will be able to comply with the agency's applicable laws or concerns. The analyses should identify aspects of the proposed site and facilities which are likely to disqualify a proposal as an acceptable site and related facility; and

(e) Submit to the commission, and upon request of the presiding member, present, explain, and defend in public hearings held on the notice, the results of the agency's analyses, studies, or other review relevant to the notice.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25506 and 25509.5, Public Resources Code.

§ 1714.5. Agency Comments on an Application; Purpose and Scope.

(a) Any agency requested, pursuant to Section 1714 of this article, to submit its comments and recommendations to the commission on any aspect of the application shall be requested to do each of the following:

(1) Update as necessary the information requested or submitted by the agency during the notice proceedings;

(2) Perform or conduct such analyses or studies as needed to resolve any significant concerns of the agency, or to satisfy any remaining substantive requirements for the issuance of a final permit by the agency which would have jurisdiction but for the commission's exclusive authority, or for the certification by the commission for the construction, operation, and use of the proposed site and related facilities; and

(3) Submit to the commission, and upon request of the presiding member, present, explain, and defend in public hearings held on the application, the results of the agency's analyses, studies, or other review relevant to the application. The agency may submit comments and recommendations on any aspect of the application, including among other things, the design of the facility, architectural and aesthetic features of the facility, access to highways, landscaping and grading, public use of lands in the area, and other aspects of the design, construction, or operation of the proposed site and related facility.

(b) Consistent with Section 1747, comments and recommendations submitted to the commission pursuant to this section regarding the project's conformance with applicable laws, ordinances, and standards under the agency's jurisdiction shall be given due deference by the commission staff.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Section 25519(f), (g), (j), Public Resources Code.

§ 1714.7. Air Quality Report on the Notice; Preparation; Contents; Testimony.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Section 25506, Public Resources Code.

§ 1714.9. Determination of Compliance; Preparation by Local Air Districts.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Section 25519(f), (g), (j), Public Resources Code.

§ 1715. Reimbursement of Local Agencies.

(a) Costs eligible for reimbursement.

(1) Local agencies shall be reimbursed for costs incurred in accordance with actual services performed by the local agency, provided that the local agency follows the procedures set forth in this section. These costs include:

(A) permit fees, including traffic impact fees, drainage fees, park-in-lieu fees, sewer fees, public facilities fees and the like, but not processing fees, that the local agency would normally receive for a powerplant or transmission line application in the absence of Commission jurisdiction, and

(B) the added costs of services performed directly in response to Commission requests for review that are not normally covered by the permit fee and for which a fee is normally charged.

(b) Costs ineligible for reimbursement. A local agency may not be reimbursed under this section for the following types of costs, even if actually incurred:

(1) expenses incurred by a local agency for the presentation or defense of positions not reasonably related to the matters which the agency is requested to review or not within the area of the agency's expertise;

(2) expenses for which it receives payment from other sources;

(3) expenses incurred in advocating a position as a formal intervenor to the proceeding, except for the local district and Air Resources Board presentations pursuant to Section 1744.5; or

(4) entertainment and first class travel expenses.

(c) Procedure for approving reimbursement budgets.

(1) To be eligible for reimbursement, a local agency must receive a request for review from the Chairman, Presiding Member, or Executive Director.

(2) To apply for reimbursement, a local agency shall, within 21 days of receiving a request for review from the commission, file an itemized proposed budget with the staff and the applicant estimating the actual and added costs that are likely to be incurred during such review. The proposed budget shall justify each line item amount and explain how each line item is reasonably related to the matters which the agency is requested to review. A local agency's failure to file a proposed budget within the time period specified herein shall not prevent it from receiving reimbursement; however, failure to use the approval process described in this section creates a risk that the local agency will not be reimbursed for work already performed.

(3) Within 10 working days of receiving a proposed budget, the staff shall notify the agency, in writing, whether the proposed budget is complete or incomplete. If the proposed budget is incomplete, the staff shall provide the local agency with a list of deficiencies that must be corrected to complete the proposed budget request.

(4) If neither the commission staff nor the project applicant files a written objection to the proposed budget within 10 working days after the proposed budget is determined to be complete, then the proposed budget is deemed approved.

(5) If a local agency reasonably incurs costs in responding to a commission request for review of a project before its proposed budget is approved, the local agency may include such costs in the budget retroactively.

(6) A local agency may apply for augmentations or other changes to an approved budget by filing a request for an amended budget. Requests for an amended budget shall also be processed in accordance with this subdivision.

(d) Procedure for approving reimbursement invoices.

(1) A local agency seeking reimbursement must receive approval of its proposed budget before it files an invoice for expenses actually incurred. Reimbursement may not exceed the approved budget.

(2) On either a monthly or quarterly basis, the local agency seeking reimbursement shall file with the commission staff and the project applicant an invoice for the expenses actually incurred during the past month or quarter.

(3) If the applicant does not object to the invoice within 10 days after receipt, then it shall pay the local agency the amount of the invoice within 14 days of the receipt of the invoice.

(e) Resolving disputes. If there is a dispute over a reimbursement budget under subdivision (c) above, or a reimbursement invoice under subdivision (d) above, which cannot be directly resolved between the applicant and the local agency, the staff shall notify the committee in writing of the dispute. The committee shall resolve the dispute by written order. The committee shall have discretion to determine whether and to what extent hearings are required to resolve the dispute.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25538, Public Resources Code.

§ 1716. Obtaining Information.

(a) The executive director or the general counsel shall have authority to request or otherwise obtain from the applicant such information as is necessary for a complete staff analysis of the notice or application.

(b) Any party may request from the applicant any information reasonably available to the applicant which is relevant to the notice or application proceedings or reasonably necessary to make any decision on the notice or application. All such requests shall include the reasons for the request.

(c) Any public agency which is not a party and which has been requested to provide comments on the notice or application shall have the same rights as a party to obtain information necessary to comply with the commission's request for comments. To the extent practicable, the staff shall coordinate requests from agencies to the applicant to avoid duplicative requests.

(d) Any party may request from a party other than the applicant information which is reasonably available to the responding party and cannot otherwise be readily obtained, and which is relevant to the proceeding or reasonably necessary to make any decision on the notice or application. All such requests shall state the reasons for the request.

(e) All requests for information shall be submitted no later than 180 days from the date the commission determines an application is complete, unless the committee allows requests for information at a later time for good cause shown.

(f) Any party requested to provide information pursuant to this section shall, within 10 days of receiving the request, notify the requesting party and the committee in writing if it is unable to provide or objects to providing the information requested of it. Such notification shall state the reasons for the inability or the grounds for the objection. Absent such an objection, the party shall provide the information requested within 30 days of the date that the request is made. The dates specified in this section may be changed by mutual agreement of the parties or by committee order.

(g) If the requesting party or agency is unable to obtain information as provided in this section, such party or agency may petition the committee for an order directing the responding party to supply such information. The committee may set a hearing to consider argument on the petition, and shall, within 30 days of the filing of the petition, either grant or deny the petition, in whole or in part. The committee may direct the commission staff to supply such of the information requested as is available to the staff.

(h) The committee shall have the authority to require from any electric utility, including any aggregator, scheduling coordinator, energy service provider, or independent power producer, information which is specific to the subject notice or application and reasonably necessary to make any decision on the notice or application; provided, however, that such information, or its equivalent, is not reasonably available from any party or from publicly available records. Applications for confidentiality may be filed pursuant to Title 20, California Code of Regulations, section 2501 et seq.

(i) All information requests and responses shall be served on all parties to the proceeding by the requesting and responding parties respectively; provided, however, that

requests for information made orally at a public meeting or hearing authorized by the presiding member need not be made in writing or served unless otherwise required by the presiding member. The presiding member may set reasonable time limits on the use of, and compliance with, information requests in order to avoid interference with any party's preparation for hearings or imposing other undue burdens on a party. No information requests shall be submitted by any party after release of the presiding member's hearing order except upon petition to the presiding member.

(j) Any witness testifying at a hearing shall to the extent that it does not unduly burden the witness, make available to any party on request copies of any work papers relied upon in the preparation of the testimony. If a witness for the applicant sponsors any portion of the notice or application for inclusion in the hearing record, the applicant shall make available, on request, all work papers relied upon in the preparation of the sponsored portion.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25210, 25502, 25519(b) and 25541, Public Resources Code; and Section 11181, Government Code.

§ 1716.5. Motions, Hearings, Decision.

Any party may file a motion or petition with the presiding member regarding any aspect of the notice or application proceeding. Responses to the petition by other parties shall be filed within 15 days of the filing of the petition unless otherwise specified by the presiding member. The presiding member may set a hearing to consider argument on the petition, and shall, within 30 days of the filing of the petition, act to grant or deny the petition, in whole or in part, or schedule further hearings or written responses on the petition.

Note: Authority cited: Sections 25213, 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25210, 25502, 25519(b) and 25541, Public Resources Code.

§ 1717. Distribution of Pleadings, Comments, and Other Documents.

(a) Any party or agency who submits petitions (except petitions to intervene), motions, briefs, comments, written testimony or exhibits, shall file twelve (12) copies with the Dockets Unit of the commission, or with the presiding member if presented during a hearing, as well as serve the document upon all parties and all other persons designated by the presiding member. Proof of service on such parties and other designated persons shall be filed with the twelve (12) copies provided to the commission. The presiding member may direct the executive director to provide such copies and their service upon all parties on behalf of any party for whom compliance with this section would impose an undue hardship.

(b) Upon receipt of any agency comments and recommendations, and unless such service is already provided by the agency, the executive director shall immediately serve such comments and recommendations on the applicant and all parties to the proceeding and to any other person who requests a copy of such comments and recommendations.

(c) During the course of the proceedings under this article, the presiding member shall, if requested by any party or member of the public, cause to be distributed, to all parties and to any persons so requesting, a list of all materials and documents introduced into the record of the proceeding. Such list shall be kept up to date on at least a weekly basis by the Dockets Unit and kept on file with the record of the proceeding.

(d) The executive director shall cause a copy or summary of materials and documents introduced into the record of the proceeding to be placed in a public document room in each county in which a proposed site and related facility or any portion thereof is located.

Note: Authority cited: Sections 25213, 25218(e) and 25541.5, Public Resources Code. Reference: Section 25216.5(a), Public Resources Code.

§ 1718. Staff Meetings; Purposes.

(a) At any time after a notice or application is filed, the staff may initiate informal, voluntary meetings with the applicant, other parties, interested agencies, or the public on matters relevant to the notice or application. Such meetings may include workshops, site visits, or other information exchanges.

(b) All meetings shall be noticed pursuant to Section 1710 of these regulations and shall be open to the public. The notice shall list the topics and purposes of the meetings. Where such meetings are intended to discuss social, economic, or other impacts on communities surrounding a proposed site, they shall, to the extent feasible, be held in or near the communities affected.

(c) Meetings initiated by staff may be held for any of the following purposes:

(1) To allow parties to solicit and exchange information relevant to the notice or application;

(2) To allow parties to identify areas of factual and legal agreement;

(3) To allow parties to identify areas of disagreement, to refine issues, and to develop the positions and contentions of the parties; or

(4) To allow members of the public to recommend areas of inquiry to the parties, to identify issues, and to ask questions of the applicant, staff and parties concerning each siting proposal, the commission's siting procedures, and possible positions of the parties.

(d) The public adviser, and in the adviser's absence, the staff counsel, shall ensure that all persons are provided a reasonable opportunity to participate in the discussions at each meeting.

(e) The presiding member may require the parties to report periodically on the scope, purpose, and progress of such meetings. Any person dissatisfied with the manner in which such meetings are being conducted may petition the presiding member to take remedial action.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25210 and 25216.5, Public Resources Code.

§ 1718.5. Prehearing Conferences; Hearing Order.

The committee shall hold one or more prehearing conferences with all parties and interested agencies to establish procedures, identify issues, and set schedules for adjudicatory or nonadjudicatory hearings on the notice or application.

(a) The presiding member shall request the applicant to indicate when it will be prepared to present its case or evidence in support of the notice or application, and shall request the staff and each participating agency to indicate when each will be prepared to present the results of its assessments to the commission.

(b) Parties who have agreed on statements of facts shall make such statements and lists of probable sponsoring witnesses available to all interested persons at the prehearing conference. To the extent practical, such statements should be served on all parties five days prior to the prehearing conference. Such statements shall not be binding on the committee and may be challenged by any person.

(c) Parties who have agreed on a statement of issues requiring adjudication shall submit such statements at the prehearing conference. The presiding member may direct the staff to present at the conference a statement of issues which the staff believes must be resolved in the applicant's favor before approval of the notice or the application is granted. The staff statement shall not be binding on the committee.

(d) The presiding member, in consultation with other committee members, shall prepare a hearing order to guide the hearings on the notice or application. The order shall set forth the schedule and procedures for hearings, indicate the order of presentation of the parties and interested agencies, and identify the issues to be addressed in the hearings.

(e) This section shall not preclude parties from agreeing to and offering additional statements of facts and issues during the hearings.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25211 and 25509.5, Public Resources Code.

§ 1719. Consolidation or Severance Proceedings.

(a) Upon motion of a member of a committee or of any party, and for good cause shown, the commission may order the consolidation of part or all of any notice or application proceeding with any other notice or application proceeding, or the severance of part of any notice or application proceeding, if reasonably necessary to ensure the complete, fair, or timely consideration of any siting proposal.

(b) A decision on any site and related facility shall not be delayed by reason of consolidation or severance unless agreed to by the applicant.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources code.
Reference: Sections 25516.6, 25540.2, Public Resources Code.

§ 1720. Reconsideration of Decision or Order

(a) For purposes of calculating deadlines pursuant to Section 25530 of the Public Resources Code, the date of adoption by the commission of a decision or order shall be the date that a written decision or order is docketed.

(b) The commission shall hold a hearing for the presentation of arguments on a petition to reconsider and shall act to grant or deny a petition for reconsideration within thirty (30) days

of the receipt of such petition. The chairman shall set the place, time, and date for the hearing. Decision on the substantive merits of any such petition shall occur, after public hearing, within thirty (30) days after the commission has granted consideration of such petition. The commission or chairman may consolidate for hearing petitions dealing with similar issues.

(c) The petition for reconsideration shall set forth with specificity the grounds for reconsideration, addressing any error in fact or law.

(d) In the absence of an affirmative vote of three members of the commission to grant the petition for reconsideration, the petition shall be denied. In the absence of an affirmative vote of three members of the commission to change a previously adopted final decision, the decision shall stand.

(e) The commission may stay the effective date of a decision or order pending reconsideration of the decision or order.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code.
Reference: Section 25530, Public Resources Code.

§ 1720.2. Termination of NOI, AFC, and SPPE Proceedings.

(a) The committee or any party may, based upon the applicant's failure to pursue an application or notice with due diligence, file a motion to terminate the notice or application proceeding. Within 30 days of the filing of such a motion, the committee may hold a hearing and provide an opportunity for all parties to comment on the motion. Following the hearing, the committee shall issue an order granting or denying the motion.

(b) A committee order terminating a proceeding must be approved by the full commission.

Note: Authority cited: Sections 25213, 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25210, 25216.5, 25519(b) and 25541, Public Resources Code.

§ 1720.3. Construction Deadline.

The deadline for the commencement of construction shall be five years after the effective date of the decision. Prior to the deadline, the applicant may request, and the commission may order, an extension of the deadline for good cause.

Note: Authority cited: Sections 25213, 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25210, 25216.5 and 25519(b), Public Resources Code.

§ 1720.4. Effective Date of Decisions.

Unless otherwise specified in the final decision on a notice or application, the effective date of the decision is the date that it is filed with the Docket Unit.

Note: Authority cited: Sections 25213, 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25210, 25216.5, 25502, 25519(b) and 25541, Public Resources Code.

§ 1720.5. Demand Conformance.

The criteria for Determining demand conformance in a particular siting case shall be established in the Electricity Report adopted most recently prior to acceptance of a notice or application or certification or prior to the first informational hearing in a small powerplant exemption case, unless the Commission by order determines otherwise.

Note: Authority cited: Sections 25213, 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25305(e), 25308.5, 25523(f), 25524 and 25541, Public Resources Code.

§ 1720.6. Demonstration Projects.

The criteria for determining whether a project is a demonstration project under Public Resources Code section 25540.6, subdivision(e), shall be established in the Electricity Report adopted most recently prior to acceptance of a notice or application for certification or prior to the informational hearing in a small powerplant case, unless the Commission by order determines otherwise.

Note: Authority cited: Sections 25213, 25218(e) and 25541.5, Public Resources Code. Reference: Section 25540.6(e), Public Resources Code.

Article 2. Procedures for Considering Notices of Intention to File an Application for Certification

§ 1721. Purpose of Notice and Notice of Intention Proceeding.

(a) The purpose of a notice, and such supporting documentation as may be filed concurrently with the notice, is to provide the commission, interested agencies, and interested members of the public with an informative document which does all of the following:

(1) Accurately describes the nature, size, and location of the sites and related facilities proposed by the applicant;

(2) Fairly identifies and explains the principal environmental, economic, and technological advantages and disadvantages of each siting proposal in the notice;

(3) Identifies measures which the applicant is considering to mitigate the principal disadvantages of each siting proposal in the notice;

(4) Explains the need for the proposed facilities;

(5) Describes the commercial availability of the generation technologies proposed in the notice (if not already determined to be commercially available by the commission); discusses the economic comparability of the proposals based upon comparative generation costs available to the applicant; and explains the impact of the proposed facilities on the overall reliability of the service area system;

(6) Specifies the measures proposed or being considered by the applicant to ensure public health, safety, and reliability during construction and operation of the proposed facilities at each site; and

(7) Indicates the degree to which the proposed facilities can be constructed and operated at each site in conformity with applicable federal, state, and local standards, laws, ordinances, and regulations, including any long-range land use plans or guidelines adopted by any federal, state, regional, or local planning agency.

(b) The purpose of notice of intention proceedings shall be to engage the applicant, the commission, interested agencies and members of the public in an open planning process designed to identify sufficient acceptable sites and related facilities to meet the need for electricity determined pursuant to Section 25309 of the Public Resources Code. To this end, each notice of intention proceeding shall be conducted in order to determine the technical, environmental, public health and safety, economic, and social and land use acceptability of alternative sites and related facilities, by accomplishing each of the following:

(1) To make findings on the need for the proposed facility in terms of its conformity with the forecast and assessment of electricity demand adopted pursuant to Section 25309 of the Public Resources Code;

(2) To provide information on the nature of the siting proposals to interested agencies and members of the public, and to actively solicit their assessments, comments, and recommendations on any aspect of the sites and related facilities proposed in the notice, including recommendations for modification in the location, design, construction or operation of the proposed facilities, or alternatives to the proposal;

(3) To determine whether there is a reasonable likelihood that the facilities will comply with applicable federal, state, regional and local standards, laws, ordinances, regulations, and plans;

(4) To attempt to resolve critical issues affecting the ability to employ the proposed technology at each of the sites and to determine the feasibility of any conditions or modifications necessary to make any site and related facilities proposed acceptable;

(5) To determine whether the proposed facilities can be designed, constructed, and operated in a manner which ensures public health, safety, and reliability, by evaluating the adequacy of the measures proposed by the applicant, assessing their conformity with applicable standards, and where appropriate, determining the necessity, feasibility, and relative costs and benefits of additional measures;

(6) To identify the most serious environmental impacts and assess the feasibility of mitigating such impacts;

(7) To consider alternatives to the proposal, including feasible alternative sites, facilities, or sites and related facilities which may substantially lessen any significant adverse effects which the applicant's proposals may have on the environment or which may better carry out the policies and objectives of the Act;

(8) To consider the economic, financial, rate, system reliability, and service implications of the proposed facilities, in coordination with the Public Utilities Commission (for facilities requiring a certificate of public convenience and necessity) or with the board of directors or other appropriate body of a municipal utility (for all other facilities); and

(9) To prevent any needless commitment of financial resources and regulatory effort prior to a determination of the basic acceptability of, and need for, the proposed facilities, and the suitability of proposed sites to accommodate the facilities; and to eliminate from further consideration and commitment of resources any site and related facility found to be unsuitable, unneeded, or otherwise unacceptable.

(c) In assessing the proposed sites and related facilities, the commission shall defer until the formal application stage (1) a detailed scrutiny of engineering and design aspects, (2) a detailed identification and analysis of significant adverse environmental impacts, or (3) a precise analysis of need for new generating facilities; provided, however, that issues relating to such matters may be considered where resolution of such issues will not unduly hinder or burden the parties and the proceeding and evidence for the resolution of such issues is readily available, or where resolution of such issues is necessary to determine the acceptability of one or more of the sites and related facilities proposed.

(d) It shall be the responsibility of the presiding member to ensure that the notice proceeding is conducted in a manner consistent with the purposes of this article and to ensure that the needless expenditure of time, effort, and financial resources in considering matters more appropriate for the formal certification stage is avoided.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25502-25516.6, Public Resources Code.

§ 1722. Public Information Presentations.

Note: Authority cited: Sections 25516.5 and 25518, Public Resources Code. Reference: Section 25509, Public Resources Code.

§ 1722.5. Air Quality Report on Notice; Preparation; Contents; Testimony.

(a) Upon filing of a notice, the local air district (or the Air Resources Board if the local district fails to participate) in which a site is located shall prepare and submit a report prior to the conclusion of the nonadjudicatory hearings held pursuant to Section 1723. Each agency submitting a report shall testify in support of the report at hearings on the notice. The report shall include, but not be limited to:

(1) A preliminary specific definition of best available control technology (BACT) for the proposed facility;

(2) A preliminary discussion of whether there is a substantial likelihood that the requirements of the applicable new source review rule and all other applicable air quality regulations can be satisfied by the proposed facility; and

(3) A preliminary list of conditions which the proposed facility must meet in order to comply with the applicable rules and regulations.

(b) The ARB shall review and submit written comments on each report. After considering each of the local air district reports, if the ARB is of the opinion that none of the proposed sites has a substantial likelihood of meeting the requirements of the applicable air quality regulations (including emission limitations), the ARB and commission staff, in consultation with the local districts and prior to the conclusion of the nonadjudicatory hearings,

shall propose an alternative site or sites, in or near the applicant's service area, which has a greater likelihood of meeting the applicable air quality regulations and which merits further study. The proposal shall include the reasons therefore. If such a proposal is filed, the presiding member may direct the applicant to evaluate major siting constraints of the proposed alternative for presentation at the adjudicatory hearings held pursuant to Section 1725. Each air district and the ARB shall supplement their reports as necessary in response to changes in the applicant's proposal which may occur during the notice proceeding.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Section 25506, Public Resources Code.

§ 1722.9. Prehearing Conferences; Hearing Order.

Note: Authority cited: Section 25218, Public Resources Code. Reference: Sections 25211, 25509, Public Resources Code.

§ 1723. Nonadjudicatory Hearings; Purposes and Procedures.

The committee shall commence nonadjudicatory hearings on the notice pursuant to the hearing order issued by the presiding member.

(a) The hearings shall be used to provide information on the proposed sites and facilities to the public. The presiding member shall reserve a portion of each hearing to permit members of the public to question the applicant and staff about the proposals or about each party's contentions. Both parties shall make qualified persons available to answer questions on the matters scheduled for consideration at each hearing. The presiding member shall limit questions to the applicant and staff to those necessary to identify issues or solicit relevant information on the proposals and shall defer adjudication of identified issues until hearings held under Section 1725.

(b) The hearings shall be used to develop an evidentiary basis for the findings and conclusions required for a decision on the notice. The applicant, staff, and other parties shall present evidence in the hearings pursuant to Section 1723.5 and the hearing order. Testimony or evidence based upon statements of facts agreed to by the applicant or staff which set forth the ultimate positions of either party on need, public health and safety, and environmental acceptability may be admitted into evidence without the necessity of reading the entire statements into the record only if a supporting witness presents an informative summary of the facts and evidence at the hearing and any person so requesting is provided a reasonable opportunity to ask relevant, nonrepetitive questions of the sponsoring witnesses. The presiding member may require oral summaries of other joint statements of facts offered into evidence.

(c) The hearings shall be used to solicit the views and comments of the public, parties, and governmental agencies on the environmental, public health and safety, economic, social, and land use impacts of the facilities at the proposed sites.

(d) The hearings shall be used to identify issues which require adjudication, issues which may be deferred to the certification stage, and issues which may be eliminated from the proceeding. Issues may be raised by submitting comments or testimony which dispute the contentions of the applicant or staff, or by asking questions of witnesses at hearings. The presiding member may permit a party to present evidence to show that an apparently disputed matter presents no issue of fact, or may defer such evidence until the adjudicatory hearings.

The presiding member shall determine whether the evidence presented on each matter is sufficient to raise a genuine, relevant, factual issue appropriate for adjudication in subsequent hearings.

(e) The presiding member shall conclude the hearings under this section whenever he or she is satisfied that the purposes of this section have been achieved and that the evidentiary record and issues are sufficiently developed to prepare the summary and hearing order required by Section 1724.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Section 25509.5, Public Resources Code.

§ 1723.5. Presentation of Evidence; Burdens of Producing Evidence; Burdens of Proof.

(a) The applicant has the burden of proof and of producing evidence on each of the following:

(1) The probable need for the proposed facilities;

(2) A reasonable likelihood that the principal adverse impacts on the environment can be mitigated or avoided;

(3) A reasonable likelihood that the facilities can be constructed and operated safely and reliably;

(4) The suitability of the sites to accommodate the facilities;

(5) The reasonableness of the likely financial impacts of constructing and operating the facilities; and

(6) A reasonable likelihood that the construction and operation of the proposed facilities will comply with the federal, state, regional, and local laws, standards, ordinances, and land use plans which are applicable to the proposals.

(b) The staff shall present its independent assessment of the need for the facilities and of the adequacy of the measures proposed by the applicant to protect environmental quality and to protect public health and safety. The staff may also present evidence on any other matter relevant to the proceeding and shall present evidence on such matters and issues as the presiding member directs.

(c) Any party or person may propose modifications in the design, construction, location, or other conditions to protect public health and environmental quality, to ensure safe and reliable operation, or to meet the standards, policies, and guidelines established by the commission. If the proponent of any such modification or condition demonstrates its apparent reasonableness, the presiding member may direct the applicant and/or staff to examine and present further evidence on the need for and feasibility of such modification or condition.

(d) The staff shall conduct an independent environmental assessment of the applicant's proposals and present a report on its findings at the hearings. The report shall summarize the principal adverse environmental effects of the applicant's siting proposals, evaluate the potential mitigation measures available to the applicant, and assess the feasibility of

reasonable alternative sites and facilities other than those proposed by the applicant, which the staff believes may substantially lessen or avoid the principal adverse effects of the applicant's proposal. Any person may suggest one or more of such alternatives to the staff and committee for consideration in the staff report.

(e) Any party or person may propose that the commission approve any alternative site and related facility in lieu of or in addition to the applicant's proposals. The proponent of such alternative siting proposal has the burden of presenting evidence to establish the suitability and acceptability of such proposal as set forth in subsection (a) of this section. The presiding member may also direct the staff to investigate any alternative siting proposal.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25509.5, 25511 and 25513, Public Resources Code.

§ 1724. Summary and Hearing Order; Preparation; Contents; Distribution.

(a) After the conclusion of the nonadjudicatory hearings, and no later than 150 days after acceptance of the notice, the presiding member shall prepare and publish a summary of the hearing record and a hearing order pursuant to Public Resources Code Sections 25512 and 25512.5 to guide subsequent adjudicatory hearings.

(b) The hearing order shall identify issues to be adjudicated in subsequent hearings, issues which have been eliminated, and issues which should be deferred to the certification proceeding. To the extent permitted by the record, the summary shall also include proposed findings on matters relevant to the final report and proposed conditions for filing an application.

(c) Based upon information presented in the hearings, the summary and hearing order shall briefly describe each siting proposal, shall summarize the principal significant environmental effects of each siting proposal, and shall describe reasonable alternatives and mitigation measures which could substantially reduce the adverse effects. The summary and hearing order shall list environmental issues regarding potential adverse effects, mitigation measures, and alternatives which require resolution in the subsequent adjudicatory hearings. The summary should briefly describe and discuss those environmental issues important to a decision on the notice.

(d) The presiding member shall publish notice of the availability of the summary and hearing order in a newspaper of general circulation for the county or counties where the sites are located.

(e) The presiding member shall provide all parties with a reasonable opportunity to submit comments, recommendations, and proposed findings and conclusions for the summary and hearing order prior to its preparation. The presiding member may hold a public conference to consider amendments to the hearing order after its publication.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25512 and 25512.5, Public Resources Code.

§ 1725. Adjudicatory Hearings.

Pursuant to the hearing order, the assigned committee shall conduct adjudicatory proceedings as provided in Public Resources Code Section 25513.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25513, Public Resources Code.

§ 1726. Final Report; Preparation; Distribution.

(a) The presiding member shall prepare a final report on the notice, as provided in Section 25514 of the Public Resources Code. The report shall propose such findings and conclusions as are warranted by the record of the proceeding; shall recommend either approval or disapproval of the notice and the reasonable conditions, if any, which must be satisfied before certification is granted; and shall contain a proposed decision on the notice.

(b) The final report shall contain the committee's responses to significant environmental points raised in the notice proceeding, including findings and conclusions on each of the environmental issues in the summary and hearing order or otherwise important to a decision on the notice. The report shall include findings on the need for and feasibility of any mitigation measures or alternatives considered in the hearings. The report shall include findings and conclusions on the relative merits and acceptability of each alternative site and related facility proposed and considered in the proceeding, and conditions for filing an application on each site and facility approved.

(c) The final report shall be distributed in the same manner as the summary and hearing order.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Section 25514, Public Resources Code.

§ 1726.5. Request for PUC Comments.

If the final report recommends any modifications, conditions or criteria for any site and related facility requiring a certificate of public convenience and necessity from the Public Utilities Commission, the presiding member shall request the comments of the PUC in accordance with Section 25514.3 of the Public Resources Code.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Section 25514.3, Public Resources Code.

§ 1727. Final Report and Proposed Decision Hearings.

(a) The Commission or the assigned committee may hold one or more hearings to consider any statements of the parties on the final report and on the proposed decision, and the comments and recommendations of interested agencies and members of the public. Such statements may contain recommendations for amendments to the final report and proposed decision.

(b) The chairman or the presiding member may require that all statements by parties and other persons be filed in writing in advance of the hearings. No new or additional evidence

shall be considered at the hearings under this section unless the commission or the assigned committee adopts a motion to reopen the evidentiary record. In such case, the commission or the assigned committee shall afford such notice to the parties as appears fair and reasonable under the circumstances, but in no event shall such notice be given less than ten days prior to the hearings.

(c) Any member may propose an alternative decision, including supporting findings and conclusions. Such proposed decision may also be considered at the hearings under this section but need not be acted upon until the commission makes its decision on the notice. The commission or the assigned committee shall provide any party with a reasonable opportunity in the hearings or prior to adoption of the final decision to comment on any proposed decision.

(d) The commission shall adopt, reject, or amend and adopt, any proposed decision considered in the hearing on the final report.

(e) The decision shall be based exclusively on the evidentiary record of the proceedings on the notice. The decision shall conform to the requirements of Sections 25516, 25516.1, 25516.5 and 25516.6 of the Public Resources Code.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25515, 25516.1, 25516.5 and 25516.6, Public Resources Code.

§ 1728. Decision.

Note: Authority cited: Sections 25213, 25218(e) and 25516.6, Public Resources Code.
Reference: Sections 25516, 25516.1, 25516.5, and 25516.6, Public Resources Code.

§ 1729. Nonapprovable Sites or Non-Certifiable Sites.

(a) The commission shall not find acceptable any site and related facility to which the provisions of Sections 25526 or 25527 of the Public Resources Code apply unless the finding required by the applicable section has been made.

(b) The applicant shall be required to comply with the following requirements of Sections 25526 and 25527 at the application stage:

(1) For a site in an area designated by the Coastal Commission, the applicant shall demonstrate to the Coastal Commission that the proposed facilities will cause no substantial adverse environmental effects on any designated area. The Coastal Commission shall submit its findings to the Energy Commission prior to the conclusion of the hearings held under Section 1748 of these regulations.

(2) For a site in an area designated by the BCDC, the applicant shall demonstrate to the BCDC that the proposed facility will cause no substantial adverse environmental effects on any designated area. The BCDC shall submit its findings to the Energy Commission prior to the conclusion of the hearings held under Section 1748 of these regulations.

(3) For a site in an area listed in Section 25527, the applicant shall demonstrate to the Energy Commission that the proposed facility will cause no substantial adverse environmental effects on any such area. The commission's findings shall be contained in the proposed decision on the application.

(4) For a site in any area covered by this section, the applicant shall demonstrate prior to the conclusion of hearings held under Section 1748 that the approval of any public agency having ownership or control of such lands has been obtained.

Note: Authority cited: Sections 25518(e) and 25541.5, Public Resources Code. Reference: Sections 25526 and 25527, Public Resources Code.

§ 1730. Approval; Required Finding for Air Quality.

The commission shall not approve any site and related facility unless it determines that there is a substantial likelihood that it will meet the applicable air quality regulations; provided, however, that if the commission determines that the facility is urgently needed, the applicant has made a good faith effort to find acceptable alternative sites and related facilities, and no otherwise approvable site has a substantial likelihood, it may approve the single site and related facility that is otherwise acceptable and that is most likely to meet all applicable air quality regulations. In such event, the commission shall request the ARB and local districts to appear at the hearings on the final report and advise the commission on which site is most likely to meet the requirements.

Note: Authority cited: Sections 25518, 25541.5, Public Resources Code. Reference: Sections 21081, 25516, Public Resources Code.

§ 1731. Environmentally Unacceptable Sites.

(a) If the commission finds that the construction and operation of a power plant and related facilities at a site would cause a significant adverse effect on the environment, the commission shall follow the provisions of this section.

(1) The commission may find the site and related facilities acceptable despite the probability of a significant adverse effect if the commission finds that there is a reasonable likelihood that the adoption of feasible mitigation measures could substantially reduce the significant adverse effect.

(2) If the commission finds that there is not a reasonable likelihood that feasible mitigation measures could substantially reduce the significant adverse effect, and that there is available a feasible alternative that could avoid or substantially reduce the significant adverse effect, the commission shall find the proposed site unacceptable.

(b) This provision shall not apply to any notice for which only one site and related facility is required.

(c) This provision shall not enlarge the scope of environmental review required by Sections 1723 through 1726.

Note: Authority cited: Sections 25218(e), and 25541.5, Public Resources Code. Reference: Sections 21080.5, and 25541.5, Public Resources.

Article 3. Procedures for Considering Applications for Certification

§ 1741. Application Proceeding; Purpose and Objectives.

(a) The purpose of an application proceeding is to ensure that any sites and related facilities certified provide a reliable supply of electrical energy at a level consistent with the need for such energy, and in a manner consistent with public health and safety, promotion of the general welfare, and protection of environmental quality.

(b) The application proceeding shall be conducted in order to accomplish all of the following objectives:

(1) To ensure that the applicant incorporates into the project all measures that can be shown to be feasible, reasonably necessary, and available to substantially lessen or avoid the project's significant adverse environmental effects, and to ensure that any facility which may cause a significant adverse environmental effect is certified only if the benefits of such facility outweigh its unavoidable adverse effects.

(2) To ensure that the applicant takes all measures that can be shown to be feasible, reasonably necessary, and available to comply with applicable governmental laws and standards; to ensure that any facility certified complies with applicable federal law; and to ensure that any facility which fails to comply with an applicable local or state law or standard is certified only if such facility is required for public convenience and necessity and there are not more prudent and feasible means of achieving such convenience and necessity.

(3) To ensure safe and reliable operation of the facility.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources code. Reference: Sections 21081, 25523 and 25525, Public Resources Code; and 14 California Code of Regulations, Sections 15091 and 15093.

§ 1742. Review of Environmental Factors; Staff and Agency Assessment.

(a) Information on the environmental effects of the proposed facility and mitigation measures proposed by the applicant shall be provided in the application as specified in the appropriate appendix.

(b) Upon acceptance of the application pursuant to Section 1709, the commission staff and all concerned environmental agencies shall review the application and assess whether the report's list of environmental impacts is complete and accurate, whether the mitigation plan is complete and effective, and whether additional or more effective mitigation measures and reasonably necessary, feasible, and available.

(c) The applicant shall present information on environmental effects and mitigation and the staff and concerned agencies shall submit the results of their assessments at hearings held pursuant to Section 1748. The staff's assessment shall focus on those environmental matters not expected to be considered by other agencies, in order to ensure a complete assessment of significant environmental issues in the proceeding.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources code. Reference: Sections 21081 and 25519, Public Resources Code.

§ 1742.5. Environmental Review; Staff Responsibilities.

(a) The staff shall review the information provided by the applicant and other sources and assess the environmental effects of the applicant's proposal, the completeness of the applicant's proposed mitigation measures, and the need for, and feasibility of, additional or alternative mitigation measures.

(b) The staff shall present the results of its environmental assessments in a report (or exhibit) to be offered as evidence at the hearings held under Section 1748.

(c) The staff report shall be written to inform interested persons and the commission of the environmental consequences of the proposal, and to assist the presiding member in preparing the presiding member's proposed decision required by Section 1749. The staff report shall indicate the staff's positions on the environmental issues affecting a decision on the applicant's proposal.

(d) The staff shall monitor the assessment of environmental factors by interested agencies and shall assist and supplement the agencies' assessment to ensure a complete consideration of significant environmental issues in the proceeding.

(e) The staff shall distribute a notice of availability of the staff report to all interested persons.

Note: Authority cited: Sections 25213, 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25216.5, 25217(b) and 25519(c), Public Resources Code.

§ 1743. Review of Safety and Reliability Factors; Staff and Agency Assessment.

(a) Information on safety and reliability of the proposed facility, describing in detail the measures proposed to ensure the safe and reliable operation of the facility shall be provided in the application as specified in the appropriate appendix.

(b) Upon acceptance of the application, the commission staff and interested agencies shall assess the completeness and adequacy of the measures proposed by the applicant in terms of applicable health and safety standards and other reasonable requirements. The staff shall consult with other agencies with special expertise or interest in safety and reliability matters. The staff's assessment shall focus on those safety and reliability matters not expected to be considered by other agencies. The staff may recommend additional measures which are economically and technically feasible and can be shown to be effective in ensuring safe and reliable operation.

(c) The applicant's information on safety and reliability, the results of the staff's assessment, and any additional agency comments and recommendations shall be presented and considered at hearings on the application held pursuant to Section 1748.

Note: Authority cited: Section 25216.5(a), Public Resources Code. Reference: Section 25520(b), Public Resources Code.

§ 1744. Review of Compliance with Applicable Laws.

(a) Information on the measures planned by the applicant to comply with all applicable federal, state, regional, and local laws, regulations, standards, and plans shall be provided in the application as specified in the appropriate appendix. Such information shall not duplicate information contained in environmental, safety and reliability, and air quality sections of the application.

(b) Upon acceptance of the application, each agency responsible for enforcing the applicable mandate shall assess the adequacy of the applicant's proposed compliance measures to determine whether the facility will comply with the mandate. The commission staff shall assist and coordinate the assessment of the conditions of certification to ensure that all aspects of the facility's compliance with applicable laws are considered.

(c) The applicant's proposed compliance measures and each responsible agency's assessment of compliance shall be presented and considered at hearings on the application held pursuant to Section 1748.

(d) If the applicant or any responsible agency asserts that an applicable mandate cannot be complied with, the commission staff shall independently verify the non-compliance, and advise the commission of its findings in the hearings.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25216.5(a), 25217(b) and 25523, Public Resources Code.

§ 1744.5. Air Quality Requirements; Determination of Compliance.

(a) The applicant shall submit in its application all of the information required for an authority to construct under the applicable district rules, subject to the provisions of Appendix B(g)(8) of these regulations.

(b) The local air pollution control officer shall conduct, for the commission's certification process, a determination of compliance review of the application in order to determine whether the proposed facility meets the requirements of the applicable new source review rule and all other applicable district regulations. If the proposed facility complies, the determination shall specify the conditions, including BACT and other mitigation measures, that are necessary for compliance. If the proposed facility does not comply, the determination shall identify the specific regulations which would be violated and the basis for such determination. The determination shall further identify those regulations with which the proposed facility would comply, including required BACT and mitigation measures. The determination shall be submitted to the commission within 240 days (or within 180 days for any application filed pursuant to Sections 25540 through 25540.6 of the Public Resources Code) from the date of the acceptance.

(c) The local district or the Air Resources Board shall provide a witness at the hearings held pursuant to Section 1748 to present and explain the determination of compliance.

(d) Any amendment to the applicant's proposal related to compliance with air quality laws shall be transmitted to the APCD and ARB for consideration in the determination of compliance.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25216.3 and 25523, Public Resources Code.

§ 1745. Location of Hearings and Conferences.

Hearings and formal conferences shall be held pursuant to Public Resources Code Section 25521.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Section 25521, Public Resources Code.

§ 1746. Prehearing Meetings; Purposes.

Note: Authority cited: Sections 25216.5, 25218, 25539, Public Resources Code. Reference: Sections 25216.5, 25519, 25539, Public Resources Code.

§ 1747. Final Staff Assessment

At least 14 days before the start of the evidentiary hearings pursuant to section 1748 or at such other time as required by the presiding member, the staff shall publish the reports required under sections 1742.5, 1743, and 1744, and a need assessment, as the final staff assessment, and shall distribute the final staff assessment to interested agencies, parties, and to any person who requests a copy.

Note: Authority cited: Sections 25518(e), 25539 and 25541.5, Public Resources Code. Reference: Sections 21080.5, 25519(c) and 25523, Public Resources Code.

§ 1748. Hearings; Purposes; Burden of Proof.

No earlier than ninety (90) days after the acceptance of the application, the committee shall commence hearings on the application.

(a) The hearings shall be used to identify significant adverse impacts of the proposal on the environment which were not identified in proceedings on the notice of intention and shall assess the feasibility of measures to mitigate the adverse impacts. The applicant's environmental information and staff and agency assessments required by Section 1742 shall be presented.

(b) The hearings shall consider whether the facilities can be constructed and operated safely and reliably and in compliance with applicable health and safety standards, and shall assess the need for and feasibility of modifications in the design, construction, or operation of the facility or any other condition necessary to assure safe and reliable operation of the facilities. The applicant's safety and reliability information and staff and agency assessments required by Section 1743 shall be presented.

(c) The hearings shall consider whether the facilities can be constructed and operated in compliance with other standards, ordinances, regulations and laws and land use plans applicable to the proposed site and related facility. The applicant's proposed compliance measures and the staff and agency assessments required by Section 1744 shall be presented. The determination of compliance required by Section 1744.5 shall also be presented.

(d) Except where otherwise provided by law, the applicant shall have the burden of presenting sufficient substantial evidence to support the findings and conclusions required for certification of the site and related facility.

(e) The proponent of any additional condition, modification, or other provision relating to the manner in which the proposed facility should be designed, sited, and operated in order to protect environmental quality and ensure public health and safety shall have the burden of making a reasonable showing to support the need for and feasibility of the condition, modification, or provision. The presiding member may direct the applicant and/or staff to examine and present further evidence on the need for and feasibility of such modification or condition.

(f) Any party to the application proceeding shall be provided a reasonable opportunity to move to strike portions of prior testimony taken during the notice proceeding. Such motion may be based on incorrectness, irrelevance, or changed circumstances.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25216.5 and 25521, Public Resources Code.

§ 1748.5. Environmental Review; Staff Responsibilities.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Section 25519(c), Public Resources Code.

§ 1749. Presiding Member's Proposed Decision; Distribution; Comment Period.

(a) At the conclusion of the hearings, the presiding member, in consultation with the other committee members shall prepare a proposed decision on the application based upon evidence presented in the hearings on the application. The proposed decision shall be published and within 15 days distributed to interested agencies, parties, and to any person who requests a copy. The presiding member shall publish notice of the availability of the proposed decision in a newspaper of general circulation in the county where the site is located.

(b) Any person may file written comments on the presiding member's proposed decision. The presiding member shall set a comment period of at least 30 days from the date of distribution.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25519(c) and 25523, Public Resources Code.

§ 1750. Proposed Decision.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25216.5 and 25522, Public Resources Code.

§ 1751. Presiding Member's Proposed Decision; Basis.

(a) The presiding member's proposed decision shall be based exclusively upon the hearing record, including the evidentiary record, of the proceedings on the application.

(b) The presiding member's proposed decision shall contain reasons supporting the decision and reference to the bases for each of the findings and conclusions in the decision.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25522, Public Resources Code.

§ 1752. Presiding Member's Proposed Decision; Contents.

The presiding member's proposed decision shall contain the presiding member's recommendation on whether the application should be approved, and proposed findings and conclusions on each of the following:

(a) The extent to which the proposed facilities are in compliance with:

(1) Public health and safety standards, including any standards adopted by the commission;

(2) Applicable air and water quality standards; and

(3) Any other applicable local, regional, state, and federal standards, ordinances, regulations or laws.

(b) Necessary modifications, mitigation measures, conditions, or other specific provisions relating to the manner in which the proposed facilities are to be designed, sited, and operated in order to:

(1) Protect environmental quality;

(2) Assure safe and reliable operation of the facility; and

(3) Comply with applicable standards, ordinances, regulations or laws.

(c) Unless the commission finds that such provisions would result in greater adverse effect on the environment or would be infeasible, specific provisions to meet the objectives of the California Coastal Act, as may be specified in a report submitted by the California Coastal Commission pursuant to Section 30413(d) of the Public Resources Code, or to meet the requirements of Division 19 (commencing with § 29000) of the Public Resources Code or Title 7.2 (commencing with § 66600) of the Government Code as may be specified in the report submitted by the San Francisco Bay Conservation and Development Commission pursuant to subdivision (d) of Section 66645 of the Government Code.

(d) With respect to controlling population density in areas surrounding the proposed facilities, proposed findings on each of the following:

(1) Whether existing governmental land use restrictions are of a type necessary and sufficient to guarantee the maintenance of population levels and land use development over the lifetime of the facilities which will ensure the public health and safety;

(2) Whether, in the case of a nuclear generating facility, the area and population density criteria specified by the United States Nuclear Regulatory Commission for assuring public health and safety are sufficiently definitive for valid land use planning requirements; and

(3) Whether the commission should require as a condition of certification that the applicant acquire, by grant or contract, the right to prohibit development of privately owned lands in areas surrounding the facilities in order to control population densities and to protect public health and safety.

(e) With respect to any facility to be located in the coastal zone or any other area with recreational, scenic, or historic value, proposed findings and conditions relating to the area that shall be acquired, established, and maintained by the applicant for public use and access; and with respect to any facility to be located along the coast or shoreline of any major body of water, proposed findings and conditions on the extent to which the proposed facility shall be set back from the shoreline to permit reasonable public use and to protect scenic and aesthetic values.

(f) With respect to any of the following areas:

(1) State, regional, county or city parks;

(2) Wilderness, scenic, or natural reserves;

(3) Areas for wildlife protection, recreation or historic preservation;

(4) Natural preservation areas in existence as of January 7, 1975;

(5) Estuaries in an essentially natural and undeveloped state; Findings and conclusions on whether the facility will be consistent with the primary land use of the area; whether the facility, after consideration of feasible mitigation measures, will avoid any substantial adverse environmental effects; and whether the approval of the public agency having ownership or control of the land has been obtained.

(g) With respect to any facility to be sited in a coastal zone location designated by the California Coastal Commission pursuant to Section 30413(b) of the Public Resources Code, or in a location designated by the Bay Conservation and Development Commission pursuant to subdivision (b) of Section 66645 of the Government Code, findings on whether the approval of the public agency having ownership or control of the land has been obtained, and findings of the California Coastal Commission or the BCDC, respectively, on each of the following:

(1) Whether the facility will be consistent with the primary land use of the area; and

(2) Whether the facility, after consideration of feasible mitigation measures, will avoid any substantial adverse environmental effects;

(h) Where a nuclear powered facility is proposed, findings on;

(1) Whether and when the facility will require reprocessing of nuclear fuel rods or off-site storage of such fuel rods in order to provide continuous onsite fuel core reserve storage capacity; and

(2) Whether and when facilities with adequate capacity to reprocess nuclear fuel rods, if such reprocessing is required, and facilities with adequate capacity to store such fuel, if such

storage is approved by an authorized agency of the United States, are or will be in actual operation at the time the nuclear powered facility requires such reprocessing or storage.

(i) Provisions for restoring the site as necessary to protect the environment, if the commission denies approval of the application.

(j) Findings on the extent to which the applicant has complied with the recommended minimum standards of efficiency for operation of the facility, approved pursuant to Section 25402(d) of the Public Resources Code.

(k) With respect to any facility which does not comply with an applicable state, local or regional standard, ordinance or law, findings and conclusions on whether the noncompliance can be corrected or eliminated; and if such noncompliance cannot be corrected, findings on both the following:

(1) Whether the facility is required for public convenience and necessity; and

(2) Whether there are no more prudent and feasible means of achieving such public convenience and necessity.

(l) Any other findings and conclusions relevant to the commission's decision.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Sections 25523 and 25525-25529, Public Resources Code.

§ 1752.3. Presiding Member's Proposed Decision; Air Quality Findings.

(a) The presiding member's proposed decision shall include findings and conclusions on conformity with all applicable air quality laws, including required conditions, based upon the determination of compliance submitted by the local air pollution control district.

(b) If the determination of compliance concludes that the facility will comply with all applicable air quality requirements, the commission shall include in its certification any and all feasible conditions necessary to ensure compliance. If the determination of compliance concludes that the proposed facility will not comply with all applicable air quality requirements, the commission shall direct its staff to meet and consult with the agency concerned to attempt to correct or eliminate the noncompliance.

(c) If the noncompliance cannot be corrected or eliminated, the commission shall determine whether the facility is required for the public convenience and necessity and whether there are not more prudent and feasible means of achieving such public convenience and necessity. In such cases, the commission shall require compliance with all provisions and schedules required by the Clean Air Act and compliance with all applicable air quality requirements which in the judgment of the commission, can be met.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25523(d) and 25525, Public Resources Code.

§ 1752.5. Presiding Member's Proposed Decision; CEQA Findings.

The presiding member's proposed decision shall contain the committee's responses to significant environmental points raised during the application proceeding.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 21080.1, 25523 and 25541.5, Public Resources Code.

§ 1752.7. Presiding Member's Proposed Decision; Findings for a Multiple Facility Site.

With respect to any application for a facility to be located on a potential multiple facility site, as determined pursuant to Section 25516.5 of the Public Resources Code, the presiding member shall make the findings specified in Public Resources Code Section 25524.5.

§ 1753. Revised Presiding Member's Proposed Decision.

After the conclusion of the comment period on the presiding member's proposed decision, the presiding member, in consultation with the other committee member, may prepare a revised proposed decision on the application. If a revised proposed decision is prepared, it shall be forwarded to the full commission and distributed to all parties, interested agencies, and to any person who requests a copy for a minimum 15-day comment period before consideration by the full commission.

Note: Authority cited: Sections 25213, 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25519(c), 25522 and 25523, Public Resources Code.

§ 1754. Hearings on Presiding Member's Proposed Decision.

(a) Adoption hearings on the presiding member's proposed decision or the revised proposed decision, if any, shall be held before the full commission after the comment period on the presiding member's proposed decision. The hearing shall be conducted for the purpose of considering final oral and written statements of the parties and final comments and recommendations from interested agencies and members of the public. The hearing(s) on the presiding member's proposed decision may be the same hearing as the one to consider the final decision. If a revised decision is issued as provided in Section 1753, the presiding member may schedule additional hearing(s) before either the committee or the full commission prior to or at the same time as the final commission adoption hearing.

(b) The chairman may require that certain statements by parties and other persons be submitted in writing in advance of the hearings. The commission shall not consider new or additional evidence at the hearings under this section unless due process requires or unless the commission adopts a motion to reopen the evidentiary record. In such case, the commission shall afford such notice to the parties as is fair and reasonable under the circumstances.

(c) Any member may propose an alternative decision, including supporting findings and conclusions. Such alternative may also be considered at the hearings under this section but need not be acted upon until the commission makes its final decision.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Section 25522, Public Resources Code.

§ 1755. Final Decision.

(a) At the conclusion of the hearings under Section 1754, the commission shall adopt a final written decision in conformity with Public Resources Code Section 25523.

(b) The decision shall not certify any facility considered in the proceeding unless the commission's findings pursuant to subsections (e), (f), and (k) of Section 1752 are all in the affirmative.

(c) The commission shall not certify any site and related facilities for which one or more significant adverse environmental effects have been identified unless the commission makes both of the following findings:

(1) With respect to matters within the authority of the commission, that changes or alterations have been required in, or incorporated into, the project which mitigate or avoid the significant environmental effects identified in the proceeding.

(2) With respect to matters not within the commission's authority but within the authority of another agency, that changes or alterations required to mitigate such effects have been adopted by such other agency, or can and should be adopted by such other agency.

(d) If the commission cannot make both the findings required under subsection (c), then it may not certify the project unless it specifically finds both of the following:

(1) That specific economic, social, or other considerations make infeasible the mitigation measures or project alternatives identified in the application proceeding; and

(2) That the benefits of the project outweigh the unavoidable significant adverse environmental effects that may be caused by the construction and operation of the facility.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 21080.1, 21081, 25216.3, 25523, 25525-25527, 25529 and 25541.5, Public Resources Code; Title 14, California Code of Regulations, sections 15091 and 15093.

§ 1756. Schedule for Review of Applications.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25522, 25540.2 and 25540.6, Public Resources Code.

§ 1757. Multiple-Facility Sites, Review Schedule.

(a) Review of an application for an additional facility at a potential multiple facility site shall be conducted in conformity with Public Resources Code Section 25520.5.

(b) The commission shall commence public hearings no later than 60 days after acceptance of the application and conclude such hearings no later than 150 days after the acceptance.

(c) The commission shall issue its decision on the matters under reconsideration within 180 days from the acceptance of the application.

(d) Upon an affirmative decision pursuant to this section, the commission shall follow the procedures and schedules for review of the application as provided in this article and Article 1.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Section 25520.5, Public Resources Code.

§ 1760. Environmental Impact Report.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 21100 and 25519(c), Public Resources Code.

§ 1763. Exemption from the Notice of Intention Requirements for Cogeneration Facilities Greater Than 300 Megawatts.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25522 and 25540.6(a), Public Resources Code.

§ 1764. Acceptance of Applications for Cogeneration Facilities Greater Than 300 Megawatts.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25522 and 25540.6(a), Public Resources Code.

§ 1765. Projects Exempted from Notice Requirements; Application Procedures.

At the hearings specified in section 1748 on an application exempt from the notice requirements pursuant to Public Code section 25540.6, the parties shall present information on the feasibility of available site and facility alternatives to the applicant's proposal which substantially lessen the significant adverse impacts of the proposal on the environment. The presiding member shall use the determinations, findings, and conclusions available from any generic proceedings on the commercial availability of technologies to determine which alternatives merit consideration in the hearings, which require preliminary showings as to their commercial availability, and which require resolution of issues affecting their feasibility.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Section 25540.6, Public Resources Code.

§ 1768. Notice of Decision; Filing with Resources Agency.

The executive director shall file a notice of the final decision with the Secretary of the Resources Agency.

Note: Authority cited: Section 25541.5, Public Resources Code. Reference: Sections 21080.5 and 25541.5, Public Resources Code.

§ 1769. Post Certification Amendments and Changes.

(a) Project Modifications

(1) After the final decision is effective under section 1720.4, the applicant shall file with the commission a petition for any modifications it proposes to the project design, operation, or performance requirements. The petition must contain the following information:

(A) A complete description of the proposed modifications, including new language for any conditions that will be affected;

(B) A discussion of the necessity for the proposed modifications;

(C) If the modification is based on information that was known by the petitioner during the certification proceeding, an explanation why the issue was not raised at that time;

(D) If the modification is based on new information that changes or undermines the assumptions, rationale, findings, or other bases of the final decision, an explanation of why the change should be permitted;

(E) An analysis of the impacts the modification may have on the environment and proposed measures to mitigate any significant adverse impacts;

(F) A discussion of the impact of the modification on the facility's ability to comply with applicable laws, ordinances, regulations, and standards;

(G) A discussion of how the modification affects the public;

(H) A list of property owners potentially affected by the modification; and

(I) A discussion of the potential effect on nearby property owners, the public and the parties in the application proceedings.

(2) Within 30 days after the applicant files a petition pursuant to subsection (a)(1) of this section, the staff shall review the petition to determine the extent of the proposed modifications. Where staff determines that there is no possibility that the modifications may have a significant effect on the environment, and if the modifications will not result in a change or deletion of a condition adopted by the commission in the final decision or make changes that would cause the project not to comply with any applicable laws, ordinances, regulations, or standards, no commission approval is required and the staff shall file a statement that it has made such a determination with the commission docket and mail a copy of the statement to each commissioner and every person on the post-certification mailing list. Any person may file an objection to staff's determination within 14 days of service on the grounds that the modification does not meet the criteria in this subsection.

(3) If staff determines that a modification does not meet the criteria in subsection (a)(2), or if a person objects to a staff determination that a modification does meet the criteria in subsection (a)(2), the petition must be processed as a formal amendment to the decision and must be approved by the full commission at a noticed business meeting or hearing. The commission shall issue an order approving, rejecting, or modifying the petition at the scheduled hearing, unless it decides to assign the matter for further hearing before the full commission or an assigned committee or hearing officer. The commission may approve such modifications only if it can make the following findings:

(A) the findings specified in section 1755 (c), and (d), if applicable;

(B) that the project would remain in compliance with all applicable laws, ordinances, regulations, and standards, subject to the provisions of Public Resources Code section 25525;

(C) that the change will be beneficial to the public, applicant, or intervenors; and

(D) that there has been a substantial change in circumstances since the Commission certification justifying the change or that the change is based on information which was not known and could not have been known with the exercise of reasonable diligence prior to Commission certification.

(4) The staff shall compile and periodically publish a list of petitions filed under this section and their status.

(b) Change in Ownership or Operational Control

(1) A petition to transfer ownership or operational control of a facility shall contain the following information:

(A) a discussion of any significant changes in the operational relationship between the owner and operator;

(B) a statement identifying the party responsible for compliance with the commission's conditions of certification; and

(C) a statement verified by the new owner or operator in the same manner as provided in Section 1707 that the new owner or operator understands the conditions of certification and agrees to comply with those conditions.

(2) The commission may approve changes in ownership or operational control after fourteen days notice.

Note: Authority cited: Sections 25213, 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25523, 25532 and 25534, Public Resources Code.

§ 1770. Compliance Verification.

(a) The Commission shall provide adequate monitoring of all conditions and measures set forth in the final decision required to mitigate potential impacts and to assure that the facility is constructed and operated in compliance with all applicable laws including, but not limited to, air quality, water quality, and public health and safety laws, ordinances, regulations, and standards for all projects certified. A compliance plan shall be adopted by the commission as part of the certification decision. The plan shall include the following:

(1) A set of general compliance conditions setting forth and explaining the duties and responsibilities of the staff, the licensee, delegate agencies, and others; the procedures for settling disputes; the requirements for handling confidential records and maintaining the compliance record; and the requirements for verification, including periodic reports and any other administrative procedures that are necessary to verify that all the conditions will be satisfied.

(2) Condition(s) or mitigation measure(s) to be monitored;

(3) Method of monitoring or reporting including who will monitor or report, provisions for approving qualifications of the monitor, when the monitoring or reporting will be done, and the frequency of site visits, if any.

(b) To the extent permitted by law, the Commission may delegate authority for compliance verification to state and local agencies which have expertise in subject areas where conditions of certification have been established. Such agencies may include the local building department and the local air quality management district.

(c) If a delegate agency is unwilling or unable to participate in this program, the Commission staff shall establish an alternative method of verification.

(d) The verification provisions in a siting decision are intended to verify compliance with the actual conditions of certification. The staff, after notice to the licensee, may modify the verification provisions as necessary to enforce the conditions of certification without requesting an amendment to the decision, provided that the verification change does not conflict with the conditions of certification. If a licensee or any other person objects to the modification, he or she shall be entitled to a public hearing on the matter before the Commission.

Note: Authority cited: Sections 25213, 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25523, 25525, 25532 and 25534, Public Resources Code.

Article 4. Additional Provisions Applicable to Geothermal Notices and Applications

A. General Provisions

§ 1801. Applicability of Regulations.

Except as otherwise provided in this article, the provisions of Articles 1, 2, and 3 of this subchapter shall apply to the consideration of all notices and applications for geothermal power plants, associated transmission lines, and appurtenant facilities.

Note: Authority cited: Sections 25213, 25218(e), 25539 and 25541.5, Public Resources Code. Reference: Sections 25540 and 25540.5, Public Resources Code.

§ 1802. Policies of the Commission on the Siting of Geothermal Power Plants.

In carrying out the provisions of this article it shall be the policy of the commission:

(a) To promote the accelerated development of economically feasible and environmentally acceptable geothermal power plants;

(b) To implement a 12-month certification process for the consideration of geothermal applications for projects for which a resource supply has been confirmed;

(c) To enhance public participation in decisions relating to the development of geothermal energy in California to ensure a thorough and balanced consideration of relevant issues;

(d) To assist and cooperate with local permitting agencies in the preparation of environmental documents relating to geothermal power plants, to encourage local agencies to prepare full-field environmental impact reports at the earliest practical time, to provide such agencies with technical and financial assistance wherever possible in the preparation of such reports; and

(e) To avoid the duplication of environmental analyses by coordinating with local, state, and federal agencies in the preparation of environmental documents, including the use of documents prepared by such agencies to the extent practicable.

Note: Authority cited: Sections 25218(e) and 25541.5 Public Resources Code. Reference: Sections 25540-25540.3 and 25540.5, Public Resources Code.

§ 1803. Alternative Certification Processes for Geothermal Power Plants.

(a) Eighteen-month certification process. The commission shall issue its decision on a geothermal notice as specified in Section 1727 of Article 2 within nine months from the date of accepting such notice, and except as provided in subsection (b), shall issue its final decision on an application within nine months from the date of acceptance of the application, or at such later times as are mutually agreed upon by the commission and the applicant.

(b) Twelve-month certification process. If the applicant can demonstrate at the outset of the proceedings that the project complies with the provisions of Public Resources Code Section 25540.2(a), the commission shall issue its decision within 12 months of the acceptance of the application. Any application filed pursuant to Public Resources Code Section 25540.2(a) shall explicitly state that a commercial resource has been discovered and that a 12-month process is requested.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25540, 25540.2(a) and 25540.3, Public Resources Code.

§ 1804. Special Geothermal Definitions.

In addition to the definitions contained in Section 1702 and unless otherwise indicated, the following definitions shall apply to this article.

(a) "Commercial quantities of a geothermal resource" means enough geothermal steam or hot water resources from a sufficient number of wells to support a reasonable conclusion that a proposed power plant will be able to achieve the applicant's estimated gross capacity over the life of the project.

(b) "Full-field environmental impact report" means an environmental impact report which considers in detail the impacts of the development of a geothermal field, as defined by the resource developer, including but not limited to the construction of well pads, the drilling and operation of geothermal wells, and the construction and operation of geothermal resource conveyance lines, and which generally considers the construction, operation, and maintenance of one or more geothermal power plants within such geothermal field.

(c) "Geothermal field" means the geographic area containing the wells that supply steam and/or hot water to one or more geothermal power plants proposed in a notice or application.

(d) "Geothermal power plant" means any thermal power plant, as defined under Section 25120 of the Public Resources Code, which uses geothermal resources as the principal energy source for the generation of electrical power.

(e) "Twelve month process" means the consideration, and the granting or denial of the certification, within 12 months from the filing of an application for a geothermal plant for which no notice is required pursuant to Public Resources Code Section 25540.2(a).

(f) "KGRA" means Known Geothermal Resource Area as defined by the United States Geological Survey.

(g) "Plant maturation period" means the initial break-in period for a geothermal power plant which includes the period from commencement of operation to the time required to achieve the anticipated capacity factor.

(h) "Reconnaissance survey" means a survey as defined by the Federal Power Commission in *Archaeological and Historical Investigation for Energy Facilities: A State of the Art*, 1977.

(i) "Resource conveyance line" means the pipelines that transport the steam and/or hot water from the well to the geothermal power plant or from the power plant to a holding pond for reinjection.

(j) "Thermal spring" means any natural or artificial spring outlet whose average temperature is at least 15° F above the mean annual temperature of the air at the same locality.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25540-25540.4, Public Resources Code.

§ 1805. Information Requirements for Geothermal Notices and Applications.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25540-25540.5, Public Resources Code.

§ 1806. Schedule for Review of Geothermal Notices.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Section 25540, Public Resources Code.

§ 1807. Schedule for Review of Applications Following Approval of a Geothermal Notice.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Section 25540, Public Resources Code.

§ 1808. Schedule for 12-Month Review of Geothermal Applications.

Note: Authority cited: Sections 25213, 25218(e), 25539, Public Resources Code. Reference: Section 25540.2(a), Public Resources Code.

§ 1809. Determination of Availability of Commercial Resource.

(a) Within thirty (30) days of the filing of an application pursuant to Public Resources Code Section 25540.2(a) and Section 1803 of these regulations, the committee shall hold a hearing for the sole purpose of determining whether the proposed site is reasonably capable of supplying geothermal resources in commercial quantities. Such hearing shall be publicly noticed.

(b) The applicant shall present testimony, studies or other evidence in support of its contention that sufficient geothermal resources have been confirmed at the site. The staff shall also present its evaluation of the site's resource capabilities.

(c) The California Division of Oil and Gas (DOG) shall be requested to review the application and all well records filed with the division concerning wells completed at the site, and shall be requested to present at the hearing its conclusions, based on the professional experience of its personnel, as to whether the site is reasonably capable of providing geothermal resources in commercial quantities.

(d) If the commission determines that the site is reasonably capable of providing geothermal resources in commercial quantities, the application shall be processed in accordance with Section 1803(b) of these regulations.

(e) If the commission determines that the site is not reasonably capable of producing geothermal resources in commercial quantities, or that the applicant has failed to demonstrate that the site is reasonably capable of producing geothermal resources in commercial quantities, the applicant may withdraw the application or request that the application be treated as a notice filed pursuant to Section 1803(a). The document shall, as of the date such request is granted, be processed in accordance with Sections 1806 and 1807.

Note: Authority cited: Sections 25218(e) and 25541.5, Public Resources Code. Reference: Sections 25540.1 and 25540.2(b), Public Resources Code.

B. Delegation of Geothermal Power Plant Siting Authority to Local Government

§ 1860. Policy and Purpose.

(a) General. Pursuant to Section 25540.5 of the Public Resources Code, the commission is permitted to delegate its siting authority over geothermal power plants and related facilities to county governments which have adopted geothermal elements to their general plans.

(b) Policy. It is the policy of the California Energy Commission to delegate its geothermal power plant siting authority to county governments which have demonstrated a capability to expeditiously process applications for geothermal power plants and/or geothermal field development projects, provided, however, that such county governments have formally

adopted policies which are consistent with adopted policies of the commission with respect to the development of geothermal resources for the generation of electrical energy.

(c) Purposes. Delegation of the commission's geothermal power plant siting authority to county governments will maximize local control over development projects whose impacts are peculiarly local. The provisions of this article will ensure that local exercise of such control will occur in a manner that is consistent with the state's interests in a reliable supply of electrical energy and environmental maintenance. Further, a delegation pursuant to this article will vest permitting authority over both the geothermal field and the geothermal power plant in a single agency, thus allowing a consolidated review of all aspects of a geothermal project.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25540.5, Public Resources Code.

§ 1861. Counties Eligible to Petition for Delegation of Authority.

(a) Any county government which has adopted a geothermal element to its general plan may petition the commission for delegation of the commission's exclusive authority to certify geothermal power plants and related facilities vested in Section 25500 of the Public Resources Code.

(b) Two or more counties, each of which has adopted a geothermal element to its general plan and which have executed a joint powers agreement or its equivalent for the administration of such geothermal power plant siting authority as may be delegated by the commission, may jointly petition the Energy Commission for delegation of its exclusive authority to site its geothermal power plants and related facilities.

(c) Upon the delegation of geothermal power plant siting authority by the Energy Commission, the county government or governments which have petitioned for such delegation shall be exclusively responsible for administering and deciding upon all applications for geothermal power plants and related facilities which are wholly located within the territorial jurisdiction of the petitioning county or counties until such time as the authority delegated pursuant to this article shall have been revoked pursuant to the provisions of Section 1870.

(d) The provisions of this section shall not apply to any application for a geothermal power plant and related facilities which are not wholly located within the territorial jurisdiction of such counties that have been delegated siting authority pursuant to the provisions of this article. Applications for such facilities shall be filed with the commission.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25540.5, Public Resources Code.

§ 1862. Contents of Petition.

Every petition filed pursuant to Section 1861 shall contain all of the following:

(a) A resolution approving and directing the submission of the petition adopted by the county board of supervisors;

(b) A copy of the geothermal element and the date of adoption;

(c) A written statement from the Governor's Office of Planning and Research that the geothermal element complies with the office's guidelines and/or criteria for geothermal elements;

(d) A description of the policy statements contained in the geothermal element with respect to the development of geothermal resources for the generation of electrical energy;

(e) A description of the procedures contained in the geothermal element for the implementation of the policies expressed in the element, and a discussion of the status of such implementation;

(f) A complete and detailed description of the program that the county seeks to have designated as an equivalent certification program for the orderly and efficient review of geothermal power plant applications. Such description shall indicate the manner in which the program complies with each of the requirements set forth in Section 1863 below;

(g) A detailed description of the procedures that will be employed to comply with the provisions of the California Environmental Quality Act (Public Resources Code Section 21000 et seq.);

(h) The level of staffing required to carry out the responsibilities delegated pursuant to this article;

(i) A discussion of any additional staffing required by the administering agency, including job descriptions and duration of need;

(j) A discussion of funding required by the administering agency to process applications in accordance with the provisions of this article; and

(k) Such additional information as the county desires to submit.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25540.5, Public Resources Code.

§ 1863. Equivalent Certification Program Requirements.

No county program shall be designated as an equivalent certification program unless it contains provisions for all of the following:

(a) Certification of geothermal areas as multiple facility sites, if so applied for;

(b) Distribution of all applications to the commission and to each federal, state, and local agency having jurisdiction or special interest in matters pertinent to the proposed site and related facilities, as well as provisions for receipt of and response to the comments and recommendations of each such agency;

(c) Preparation and distribution of a written decision on each power plant application. Such written decision shall contain each of the findings and conclusions required by Sections 1752-1753 of these regulations, and shall be based on the formal record of the proceeding;

(d) Public hearings, including provisions for adjudication of disputed issues of fact through testimony taken under oath and refutation by cross-examination;

(e) Formal intervention by any person with a legally recognizable interest in the outcome of the proceedings;

(f) Timely and orderly amendment of the program to reflect changes in law or commission certification requirements;

(g) Administration of and decision upon geothermal power plant applications within 12 months of the filing of such applications; and

(h) Appeal to the commission on any aspect of the decision of the county.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25540.5, Public Resources Code.

§ 1864. Commission Staff Analysis.

(a) The commission and its staff may participate in an aspect of county proceedings on an application for a geothermal power plant and related facilities if such application would have been filed with the commission but for the delegation of authority pursuant to this article.

(b) The Commission staff shall assist the county in assembling a record adequate to support findings on each of the following:

(1) Conformity of the site and related facilities with the 12-year forecast of statewide and service area electric power demands adopted pursuant to Section 25309(b) of the Public Resources Code; and

(2) Necessary modifications, mitigation measures, conditions or other specific provisions relating to the manner in which the proposed facilities are to be designed, sited, constructed and operated in order to assure reliability of operation, safety and environmental protection.

(c) The county may submit a written request for staff assistance in the technical evaluation of any issue presented in the proceedings, or in the conduct of the proceedings on the application. Staff may render such assistance as it deems appropriate, provided however, that it shall indicate in writing its intention to do so within fifteen (15) days of the receipt of the county's request.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25540.5, Public Resources Code.

§ 1865. Air Quality Determinations.

Whenever any county is administering an application for a geothermal power plant and related facility pursuant to authority delegated by the commission, the air pollution control officer shall prepare and submit to such county its determination of compliance as specified in Section 1744.5 within 180 days of the acceptance of the application.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25540.5, Public Resources Code.

§ 1866. Record of Proceedings.

The county counsel shall be responsible for ensuring the preparation of a record adequate to support all required findings and conclusions.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25540.5, Public Resources Code.

§ 1867. Commission Action on Petition.

(a) Within twenty (20) days of the filing of a petition pursuant to Section 1861, the executive director shall determine whether the petition contains the information specified in Section 1862.

(1) If the executive director determines that the petition is complete, he or she shall so certify in writing and shall inform the petitioner.

(2) If the executive director determines that the petition is not complete, it shall be returned to the petitioner with a statement of its defects. The petitioner may correct the petition and resubmit it at any time.

(b) Unless the petition has been returned pursuant to (a)(2) above, the commission shall, within sixty (60) days of the filing of the petition, convene two hearings to allow representatives of the county to explain each aspect of its proposed equivalent certification program, and to allow any interested party to offer testimony or comments. One (1) of the hearings shall be in the petitioner's county seat, and one (1) of the hearings shall be in the state capital, except where the petitioner's county seat is the state capital, in which case only one (1) such hearing, in the state capital, shall be required. There shall be no less than ten (10) nor more than forty-five (45) days, exclusive, between the dates of the two hearings. Such hearings shall be publicly noticed, and any person shall be entitled to offer testimony or comments.

(c) Within thirty (30) days of the conclusion of the hearing convened pursuant to (b) above, the commission shall issue its decision as to whether the county's program shall be designated as an equivalent certification program. The commission's decision shall include findings on the compatibility of commission and county policies pertinent to geothermal energy development, and on the county's technical and financial ability to carry out the responsibilities which may be delegated by the commission.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25540.5, Public Resources Code.

§ 1868. Appeals to Commission.

(a) Any party to county proceedings conducted pursuant to authority delegated by the commission may, within 30 days of the issuance of the county's written decision, or within 30 days of the disposition by that county of an appeal filed pursuant to county ordinances, appeal any aspect of the county decision to the commission.

(b) The appeal shall specify the bases therefore, and shall include a succinct summary of the evidence received by the county pertinent to the issues appealed, and shall specify the relief requested.

(c) The appeal shall include a copy of the administrative record of the county which has been certified by the county as complete.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25540.5, Public Resources Code.

§ 1869. Commission Action on Appeals.

(a) The commission shall, within 60 days of filing of the appeal, convene a hearing for the presentation of arguments on the appeal. In reviewing a factual issue, the commission shall determine whether, in light of the whole record, the record contains substantial evidence to support that aspect of the county decision which has been appealed.

(b) If the commission finds for the appellant, it shall take such action as it deems appropriate, including, but not limited to:

(1) Returning the case to the county for further proceedings as may be directed; or

(2) Conducting further evidentiary hearings before the commission; or

(3) Removing the case from the county for disposition by the commission.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25540.5, Public Resources Code.

§ 1870. Revocation of Delegation.

(a) The commission may, after public hearings, revoke its approval of a county's equivalent certification program whenever it finds that such program does not comply with current statutory requirements, duly adopted regulations of the commission, or that the program is not being effectively and efficiently administered.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25540.5, Public Resources Code.

Article 5. Small Power Plant Exemptions

§ 1934. Statement of Purpose.

It is the policy of the State Energy Resources Conservation and Development Commission to promote the development of electric energy supply technologies that prudently conserve and economically use energy resources. A major purpose of these regulations is to encourage the use of those technologies by expediting the procedures necessary for the approval and development of alternate sources of electric generation.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25541, Public Resources Code.

§ 1935. Definitions.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25541, Public Resources Code.

§ 1936. Filing Applications for Exemption.

Any person who proposes to construct a thermal power plant with a generating capacity not exceeding 100 megawatts, or proposes a modification to an existing thermal power plant which will add generating capacity not exceeding 100 megawatts may apply for an exemption from the provisions of Chapter 6 of Division 15 of the Public Resources Code.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25541, Public Resources Code.

§ 1937. Contents of Application.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25541, Public Resources Code.

§ 1938. Form of Application.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25541, Public Resources Code.

§ 1939. Number and Distribution of Materials.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25541, Public Resources Code.

§ 1940. Notice of Application.

(a) Upon receipt of an application the executive director in conjunction with the public adviser shall immediately take action to cause notice of the application and its date of receipt to be published in the commission's next meeting agenda and distributed to the public at large.

(b) The executive director shall transmit copies of the application to each member and ex officio member, the commission general counsel, the public adviser, the hearing officer, the Attorney General and all other persons who have requested in writing that a copy be provided.

(c) The executive director shall also transmit copies of the application to all federal, state, regional, and local agencies which have an interest in the matter and shall request that these agencies submit their written comments and recommendations on the application. Such comments shall be filed with the executive director no later than the date of the first hearing held pursuant to Section 1944 of these regulations.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25541, Public Resources Code.

§ 1941. Intervention.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Sections 25214 and 25541, Public Resources Code.

§ 1942. Requests for Information from Applicant.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25541, Public Resources Code.

§ 1943. Presentation of Evidence.

All testimony together with any other relevant documentary evidence, such as any environmental impact documentation or other environmental document prepared by the lead agency, may be offered by any party and shall be filed with the Docket Unit no later than seven (7) days prior to the hearing at which such testimony is to be offered, or at such other time as ordered by the presiding member.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25541, Public Resources Code.

§ 1944. Hearings.

A committee shall be appointed pursuant to Section 1204(a) to handle the proceedings. A hearing officer may also be appointed to assist the committee in the conduct of the proceeding.

The presiding member shall set the time and place for hearings, conferences, and site visits pursuant to this Section provided, however, that hearings on the application shall commence no later than one hundred (100) days after the filing of the application.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25541, Public Resources Code.

§ 1945. Final Argument and Decision.

(a) After the hearings conducted pursuant to Section 1944 of these regulations, the committee shall prepare a proposed decision on the application. The proposed decision shall be distributed to the members, ex officio members, general counsel, the public adviser, the applicant, all intervenors, and any other persons designated by the presiding member.

(b) Within twenty-one (21) days after publication of the proposed decision, a hearing shall be held before the full commission for final arguments on the formal record of the proceedings. After the hearing, the commission shall adopt, or amend and adopt, the proposed decision, which shall thereupon become final. The final decision shall be rendered within one hundred thirty-five (135) days after the filing of the application or at such later time as deemed necessary to permit full and fair examination of the issues.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25541, Public Resources Code.

§ 1946. Content of Decision.

(a) The decision on the application shall either approve or disapprove the application and shall include a statement of reasons supporting the decision. The decision shall include, in the affirmative or negative, the findings required by Public Resources Code Section 25541.

Note: Authority cited: Section 25218, Public Resources Code. Reference: Section 25541, Public Resources Code.

§ 1947. Modifications of Deadlines.

The applicant may at any time stipulate to a more lengthy time schedule than is provided in these regulations in order to permit full and fair exploration. Such stipulation shall be made in writing to the committee.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25541, Public Resources Code.

§ 1948. Modifications of Deadlines.

Note: Authority cited: Sections 25213, 25218(e) and 25539, Public Resources Code. Reference: Sections 25500-25542, Public Resources Code.

Article 6. Powerplant and Transmission Line Jurisdictional Investigations

A. Definitions

§ 2001. Definitions.

In addition to the definitions found in Chapter 2 (beginning with Section 25100), Division 15, Public Resources Code and the definitions found in Section 1702 of this chapter, the definitions contained in this article shall apply to all commission determinations of megawatt capacity thresholds, including the 50 megawatt jurisdictional threshold, the 100 megawatt threshold for a small powerplant exemption, and the 300 megawatt threshold for a small powerplant exemption, and the 300 megawatt threshold for a cogeneration or solar thermal powerplant exemption from the notice of intention requirement.

Note: Authority cited: Sections 25213, 25218(e) and 25539, Public Resources Code. Reference: Section 11180, Government Code; and Sections 25110, 25120, 25123, 25210, 25500 and 25517, Public Resources Code.

§ 2003. Generating Capacity.

(a) The "generating capacity" of an electric generating facility means the maximum gross rating of the plant's turbine generator(s), in megawatts ("MW"), minus the minimum auxiliary load.

(b) The "maximum gross rating" of the plant's turbine generator(s) shall be determined according to this subdivision. If there is more than one turbine generator, the maximum gross

rating of all turbine generators shall be added together to determine the total maximum gross rating of the plant's turbine generator(s).

(1) The maximum gross rating of a steam turbine generator shall be the output, in MW, of the turbine generator at those steam conditions and at those extraction and induction conditions which yield the highest generating capacity on a continuous basis.

(2) The maximum gross rating of a combustion turbine generator shall be the output, in MW, of the turbine generator at average operating site conditions, with the proposed fuel type, and at those water or steam injection flow rates, which yield the highest generating capacity on a continuous basis.

(A) The average dry bulb temperature and relative humidity of the inlet air at the plant site shall be calculated using 10-year data for temperature and relative humidity from the nearest meteorological data point, using the most recent published data from the American Society of Heating, Refrigeration, and Air Conditioning Engineers (ASHRAE), the National Oceanographic and Atmospheric Administration (NOAA), the U.S. Air Force, or commercial airport weather stations.

(B) The barometric pressure at the site shall be one standard atmosphere, corrected for actual site elevation.

(3) The maximum gross rating cannot be limited by an operator's discretion to lower the output of the turbine generator(s) or by temporary design modifications that have no function other than to limit a turbine generator's output.

(4) The maximum gross ratings specified in the overall plant heat and mass balance calculations shall be subject to verification by commission review of the steam or combustion turbine generator manufacturer's performance guarantee, specifications and procurement contract, if available.

(c) The "minimum auxiliary load" means the electrical rating (in MW) of the sum of the minimum continuous and the average intermittent on-site electrical power requirements necessary to support the maximum gross rating as defined in subsection (b) of this regulation and which are supplied directly by the power plant. For geothermal projects, the minimum auxiliary load includes the minimum electrical operating requirements for the associated geothermal field which are necessary for and supplied directly by the power plant. Discretionary loads, i.e., those which can be curtailed without precluding power generation, are not included in minimum auxiliary loads.

Note: Authority cited: Sections 25213, 25218(e) and 25539, Public Resources Code. Reference: Sections 25110, 25120, 25123, 25500 and 25517, Public Resources Code.

B. Expedited Clearance Process

§ 2010. Petition for Expedited Clearance; Filing.

(a) In lieu of filing a request for a jurisdictional determination pursuant to Section 1230 et seq., the owner or operator of a proposed powerplant may file a petition requesting expedited clearance of the proposed powerplant on the basis that it has a generating capacity less than 50 MW. The purpose of this expedited clearance process is to resolve jurisdictional

issues involving the definition of generating capacity under Section 2003. All other jurisdictional issues must be processed under Section 1230 et seq.

(b) All petitions for expedited clearance must be filed with the Docket Unit in accordance with Section 1209 and shall include, but not be limited to, the following information:

(1) a description of the exact location of the proposed powerplant;

(2) a description of the ownership and control of the proposed powerplant;

(3) the generating capacity of the proposed powerplant, including detailed equipment and operation design specifications and auxiliary loads necessary to determine the generating capacity under section 2003;

(4) the schedule for developing the proposed powerplant;

(5) the name, address, and telephone number of the person or persons responsible for reporting the information;

(6) a power sales agreement, if available, showing the amount of power to be sold from the project, and to whom the power is being sold;

(7) a declaration dated and signed under penalty of perjury by the petitioner or in the case of a corporation or business association by an authorized officer thereof that the facts stated in the petition are true and correct;

(8) the date on which the petition is filed; and

(9) other information relevant to the issue of generating capacity.

Note: Authority cited: Sections 25213, 25218(e) and 25539, Public Resources Code. Reference: Section 11180, Government Code; and Sections 25110, 25120, 25123, 25210, 25500 and 25517, Public Resources Code.

§ 2011. Notice of Petition for Expedited Clearance.

(a) Within 14 days after a petition is filed, the Executive Director shall determine whether the petitioner has filed all of the information required in section 2010. If the petition is incomplete, the Executive Director shall specify the items required to make the petition complete.

(b) Within 14 days after the petition is determined to be complete, the Executive Director shall provide notice of the filing of the petition in the agenda prepared for regularly scheduled commission meetings pursuant to Sections 1103 and 1104.

(c) The Public Adviser shall ensure that adequate notice is given to the public of all petitions filed under this article.

Note: Authority cited: Sections 25213, 25218(e) and 25539, Public Resources Code. Reference: Section 11180, Government Code; and Sections 25210, 25214, 25222 and 25500, Public Resources Code

§ 2012. Clearance Order.

(a) If no complaint or request for a jurisdictional determination pursuant to Section 1231 is filed within thirty (30) days after distribution of the agenda containing the notice of filing of the petition, then a clearance order shall be placed on the consent calendar for the next available commission meeting, subject to the limitation in subdivision (b) below.

(b) If the proposed powerplant is not constructed and operated substantially in conformance with the description provided by the owner or operator in the petition for expedited clearance, then the commission may, on its own motion or upon the motion of any person, reconsider its jurisdiction over the powerplant.

Note: Authority cited: Sections 25213, 25218(e) and 25539, Public Resources Code. Reference: Section 11180, Government Code; and Sections 25110, 25120, 25123, 25210, 25500 and 25517, Public Resources Code.

Appendix A

Information Requirements for a Nongeothermal Notice of Intention

(a) In a section entitled "Project Description," the notice shall contain:

(1) A brief, summary description of the alternative site and related facility proposals, including the general location of each site or potential transmission corridor; the type, size, and capacity of the generating or transmission facilities; fuel, water supply, pollution control systems and other general characteristics. The description shall indicate precisely what sites and related facilities the applicant proposes to have approved by the commission.

(2) A proposed time schedule outlining the applicant's estimates for obtaining regulatory approvals, starting and completing construction, initial start up, and full-scale operation of the proposed facilities.

(b) In a section entitled "Need for Facilities," the notice shall contain:

(1) A summary description outlining the reasons why the applicant believes that new or additional facilities should be added to the applicant's electrical system, indicating whether the facilities are being proposed to meet projected capacity or energy deficits, to displace existing units scheduled for retirement, to meet requirements for additional reserves, or other justification for proposing new or additional capacity.

(2) A table showing the expected capacity and energy levels, adopted by the commission pursuant to Section 25309 of the Public Resources Code, for the general period in which the facilities are proposed. Where appropriate, include a table of, and explanation for, any adjustments to the adopted capacity and energy levels which are necessary to derive the applicant's service area requirements.

(3) A discussion indicating the amount or percentage of reserve capacity which the applicant believes is appropriate, including a description of the controlling criterion for determining the reserve margin, a discussion of why the applicant believes the indicated reserve margin is appropriate, and a discussion of how the indicated margin was derived.

(4) A table and summary description of the generating resources and electricity supplies which are likely to be available to the applicant's service area in the general time period proposed for initial operation of the facilities, including an explicit identification of transfer capabilities from outside the service area, and a summary of facilities operated or proposed by the applicant or by other entities within the service area.

(5) A discussion identifying and explaining any major uncertainties, such as delays in the construction or licensing of major planned resources or uncertainty with respect to contractual arrangements for transfer capabilities, which may affect the need for the proposed facilities.

(6) Tables showing the capacity and energy balances, projected deficits or excesses, and resulting reserve margins which reflect the applicant's expectations for electricity supply and demand within the general period for which the facilities are proposed.

(7) If the need is based in whole or in part on the proposed retirement or displacement of existing facilities, a discussion identifying such facilities and briefly explaining the reasons for their proposed retirement or displacement.

(8) If the need is based on factors other than projected capacity or energy deficits (taking into account reserve requirements), a discussion of the basis for the need and its conformance with the forecast assessment and any other criteria for determining need adopted in the most recent biennial report. If the need is based upon contingency planning, an explicit discussion of the nature and impact of the possible contingencies and their likelihood, an indication of when it may be determined whether the contingencies will or will not occur, and a schedule showing the earliest (or latest, if appropriate) date on which the proposed facilities should be operating given the possible contingencies.

(c) In a section entitled "Selection of Facilities," the notice shall contain:

(1) A discussion of the reasons why the principal generating technology was chosen from among those technologies most recently determined as commercially available by the commission pursuant to Public Resources Code Section 25309(j). Indicate the effect, if any, of the following factors on the selection of the facility type: comparative economics, comparative reliability, comparative health and safety aspects or environmental impacts, availability of appropriate sizes, comparative operating flexibility, lead time for approval and construction, and any other factor considered important by the applicant in making the selection.

(2) A discussion of the reasons for selecting the size of the facilities proposed in the notice. Indicate the effect, if any, of the following factors on the selection of facility size: need for capacity or energy; comparative reliability of different sizes, overall impact on system reliability, or reserve requirements of different sizes; comparative safety of different sizes; economies or diseconomies of scale associated with different sizes; commercial availability of different sizes; and other factors considered important by the applicant in the selection.

(3) A summary description of the preliminary design of the proposed facilities, specifically including the power generation, cooling, pollution control, fuel handling, water supply and treatment, safety, emergency, and auxiliary systems; and a summary of the proposed methods of construction and operation.

(d) In a section entitled "General Acceptability," the notice shall contain:

(1) For any technology not previously found to be commercially available as most recently determined by the commission pursuant to Public Resources Code Section 25309(j), a discussion of the reasons why the applicant expects the technology to be available in the time period proposed for the facility.

(2) A discussion of the economic comparability of the proposed facilities based on information available to the applicant on comparative costs of commercially available generating technologies.

(3) A discussion of any significant unresolved technical, environmental, or health and safety or other issues, affecting the ability to use the proposed technologies at each of the sites, which have been identified in the most recent biennial report, or which are otherwise known to the applicant. The discussion should include or refer to any information which the applicant believes is relevant to resolving the question or issues identified.

(4) A summary discussion explaining (with reference to parts (1) through (3) above) why the applicant believes the facilities proposed should be found acceptable.

(e) In a section entitled "Transmission Needs," the notice shall contain:

(1) A description in general terms of any new or additional transmission facilities, powerlines, substations, switchyards, or other transmission equipment, whether or not within the exclusive permit authority of the commission, which the applicant believes will be required to carry electrical power from the proposed power plant at each of the sites presented in the notice to the principal load centers to be served by the new power plant. The information should include all potential corridors under consideration, approximate lengths of each corridor being considered, and a summary of the preliminary estimates of the costs of lines, stations and other equipment that are being considered.

(2) A discussion of the analyses, load-flow studies, or other considerations which the applicant believes justify the need for the additional transmission equipment under consideration, the relative merits of the alternative principal points of junction with the existing transmission system being considered, and the relative merits of the alternative capacity or voltage levels being considered for the proposed power lines.

(3) A discussion of the extent to which the consideration of alternative corridors or proposed capacity and voltage levels has taken or will take into account the future transmission needs created by additional generating facilities planned by the applicant or any other entity proposing generating facilities in the same general area.

(4) A discussion summarizing the principal advantages and disadvantages to the environment of each of the alternative transmission proposals under consideration by the applicant. The discussion shall extend only to the functional point of delivery of the power to the interconnected system, and should include an identification of areas in the vicinity of the proposed corridors where important social, aesthetic, historical, or recreational resources, or scarce, unique, or specially protected resources (including archaeological sites, endangered species, unique recreational areas, and protected biological areas) may be adversely affected. The discussion should indicate the measures being considered by the applicant to avoid or mitigate the principal adverse effects identified in the discussion.

(f) In a section entitled "Safety and Reliability," the notice shall contain:

(1) A preliminary description of any fuels, emissions (except for air quality emissions), wastes, or other toxic or hazardous substances associated with the proposed facility which may have an effect on safety and reliability; a discussion of the principal adverse effects of such substances on safety and reliability; and a discussion of the measures proposed or being considered by the applicant to ensure the safe handling, control, storage, removal, or disposal of such substances.

(2) A discussion of the likelihood that the measures described in part (1) will be able to comply with existing health and safety standards.

(3) A report which describes the seismic, other natural hazards, and man-made hazards associated with each of the proposed sites, discusses the degree to which such hazards could cause secondary hazards at the proposed facilities (e.g., fuel spills, structural collapse, increased emissions including radiological, explosions, etc.) and discusses the alternative levels of design being considered to safeguard safe and reliable operation in light of such hazards. The report should describe special design features being considered to protect against seismic and other potential natural hazards and indicate the relative degrees of safety from such hazards that can be achieved by the design features being considered.

(4) A description of the principal emergency systems and safety precautions proposed or being considered by the applicant, and a discussion of the nature of the hazards for which the systems or precautions are provided. The description need not duplicate the discussion of special design features in part (3) or measures discussed in other parts.

(5) If a nuclear power plant is proposed:

(A) A description of the methods proposed or being considered to prevent illegal diversion of nuclear fuels and waste, and to control density of population in areas surrounding each proposed site.

(B) A description of the facilities upon which the applicant proposes to rely for reprocessing or storage of spent nuclear fuel rods from the nuclear reactor. This description shall include an estimate of the volume of spent fuel generated by the reactor over its design life, the particular technology likely to be utilized for such storage or reprocessing, the anticipated on- or off-site facilities to be utilized, the date on which those facilities have been or are likely to be licensed and in operation, and the anticipated means of transporting and storing the spent fuel rods after removal from the reactor.

(C) A description of the emergency response capabilities that would be required of local communities surrounding each of the proposed sites in order to comply with any provisions of federal or state law in the event of an accidental release of radioactivity from the facilities.

(6) A description of the principal adverse effects on safety and reliability associated with other aspects of the fuel cycle, and which are directly traceable to the proposed facilities.

(g) In a section entitled "System Reliability," the notice shall contain:

(1) A discussion indicating the degree of reliability which the applicant believes the proposed facilities are capable of achieving. The discussion should include an estimate of the expected annual capacity factor for the initial operating years of the facilities and an estimate of the average annual capacity factor over the expected life of the facilities. Estimated capacity factors may be supported by information on forced outage rates and capacity factors actually experienced by comparable facilities elsewhere (if any) or by a discussion of other factors which support the applicant's expectations on reliability where data from actual operating experience of comparable facilities is not readily available. For purposes of this subsection, "comparable facilities" means facilities whose principal generating technology and fuel type, generating capacity, and mode of operation is similar to those of the proposed facilities. The discussion should indicate the basis for reliability expectations for any new or innovative pollution control, cooling water or other principal systems, even where the reliability of the principal generating technology is considered proven, and should identify any major uncertainties or unproven aspects of such new or innovative systems.

(2) An assessment of the long-term availability of the fuel or fuels proposed for the facilities, at prices consistent with those assumed in subsection (h), and a discussion of the principal uncertainties in providing assurance of a reliable supply of fuel over the expected operating life of the facility. If the facilities are capable of using multiple fuels, the extent of such fuel flexibility should be discussed, along with its impact on long-term reliability. The applicant may discuss the relative merits, costs, and difficulties in initially designing the facility to accept multiple fuels versus modifying the facility for such purposes at a later time.

(3) A discussion of the probable effect of the proposed facilities, including transmission facilities, on the overall reliability of the applicant's service system. The discussion should indicate the effect of the alternative plant sizes or transmission voltage levels being considered on the applicant's determination of "loss of load probability," "largest contingency," or any other reliability criterion or determinant of needed reserve margins.

(h) In a section entitled "Financial Impacts," the notice shall contain:

(1) A discussion of the financial requirements for constructing and operating the proposed facilities, and a table summarizing capital requirements and operating expenses, and their principal components. The discussion should indicate and explain the basis for any assumed escalation rates and costs of capital, fuel, or other principal components. Significant cost differences between alternative sites and facilities should be identified.

(2) A summary of the cost of the installed generating capacity (expressed in $/KW) and of the cost of supplying energy at the busbar (expressed in ¢H /Kwhr.); a list of principal cost components, an explanation of the source or derivation of each, and the calculations used to arrive at the summary costs above; a discussion of any major uncertainties in the cost figures used or assumptions relied upon.

(3) A discussion of proposed methods for financing the proposal.

(i) In a section entitled "Proposed Sites," the notice shall contain:

(1) The location of each site and related facility proposed in the notice on a location map and described by sections, range, township, and county. The map should also indicate the various transmission corridors under consideration by the applicant and the location of other

transmission facilities and equipment being considered and identified pursuant to subsection (e)(1).

(2) Photographic representations adequately depicting the visual appearance of each power plant site and its immediate surroundings.

(3) A brief description of the applicant's legal interest in each power plant site proposed.

(4) A description, including artists drawings, of the proposed location of facilities and structures on each site.

(j) In a section entitled "Site Suitability," the notice shall contain (separate sections may be submitted for each alternative site proposed):

(1) A brief description of the environmental setting for each site, a summary discussion of the general suitability of each alternative site to accommodate the facilities proposed in the notice, and a summary of the principal environmental, economic, and technological advantages and disadvantages of each alternative site.

(2) A preliminary statement of the principal environmental impacts of the proposed facilities at each site on areas of special environmental concern, including, but not limited to areas prohibited as power plant sites pursuant to Section 25527 of the Public Resources Code, areas designated by the Coastal Commission or BCDC or within their jurisdiction, areas identified for potential wilderness designation or other protective designation, and agricultural areas; and a preliminary statement of the principal environmental impacts on biological resources, including especially rare and endangered species, livestock, and crops.

(3) A preliminary statement of the principal environmental impacts on human health which may result from air and water pollutants discharged from the facility, toxic and other hazardous materials stored or used at the site, wastes created by the facility, or any other substance associated with the facility. The statement shall include all regulated pollutants and substances; for nonregulated pollutants and substances, the statement shall include a summary of any findings and conclusions made by the commission in any generic assessment of the health effects of such substances.

(4) A preliminary discussion of the principal impacts on human resources, including major impacts on aesthetic, historical, cultural, archaeological, and recreational resources.

(5) A discussion of the principal social and economic impacts of constructing and operating the facilities at each site on the surrounding communities. The discussion should include anticipated impacts on public institutions such as schools, and on public services, housing, employment and other community resources during construction and the impact on tax bases and other community aspects after construction.

(6) A preliminary discussion indicating the extent to which various measures being considered by the applicant are likely to mitigate the impacts identified under parts (2) through (5).

(7) A general discussion of the compatibility of the proposed facilities with present and expected land uses at each site, including conformity with any long-range land use plans adopted by any federal, state, local, or regional planning agency. The discussion should identify

the need, if any, for variances at any of the sites, or any measures that would be necessary to make the proposals conform with permitted land uses.

(8) A description of the principal and alternative (if any) sources of water proposed or being considered by the applicant for power plant cooling and other purposes; a description of the quality of water being considered and a general description of any treatment processes which may be necessary to make the water suitable for cooling or other uses at the site; a description of total amounts of such water that will be required each year and on any given day; a general description of any conveyance systems that will be required to carry the water from its source to the site and return it to a disposal or discharge area; the location and identity of any area being considered for disposal or discharge of water from the site; and a description of any treatment processes that may be necessary to make the water acceptable for discharge or disposal. The applicant should also describe any other major water facilities, including coolant outfalls, ponds, lakes, or towers, that may be associated with the proposed facilities, and discuss the principal impacts, if any, of these facilities on the physical and human environment.

(9) A land use map which indicates noise sensitive receptors or groups of receptors in the vicinity of the proposed site and related facilities, including anticipated receptors based on future land uses identifiable from public documents at the time of submission.

(k) In a section entitled "Applicable Standards," the notice shall contain:

(1) A list of federal, state, regional, and local agencies and their standards, ordinances, or laws, including long-range land use plans adopted by the state or by any local or regional planning agency, that are applicable to each site and related facility, including those which would be applicable but for the exclusive authority of the commission to certify sites and related facilities. The list should include a brief description of the applicability of such standards, ordinances, laws, or plans for each agency, and citations for each.

(2) To the extent not discussed in previous sections, discussion of the likelihood of the conformity of the proposed facilities with remaining laws, regulations, ordinances and standards of particular importance in assessing the acceptability of the sites and related facilities. Indicate those areas for which conformity with applicable standards cannot be determined at this time and provide a preliminary schedule for the resolution of such remaining issues.

(l) In a section entitled "Air Quality," the notice shall contain:

(1) A project description including typical fuel type and characteristics (BTU content, maximum sulfur and ash content), design capacity, proposed air emission control technologies, stack parameters (assumed height, diameter, exhaust velocity and temperature) and operational characteristics (heat rate, expected maximum annual and daily capacity factor). This information may be based upon typical data for a facility of the proposed type and design.

(2) A description of cooling systems, including approximate drift rate, water flow and water quality (TDS content).

(3) A projection of facility-related emissions from the stack and combustion system, from cooling towers and from associated fuel and other material handling, delivery and storage systems to the extent that the applicable new source review rule requires attributing these sources to the proposed project. The emissions discussion should include a discussion of the

basis of the estimate, such as test results, manufacturers' estimates, extrapolations and all assumptions made.

(4) A list of all applicable air quality rules, regulations, standards and laws.

(5) A statement, including the reasons therefore, of what the applicant considers best available control technology as defined in the applicable district's new source review rule.

(6) Existing baseline air quality data for all regulated pollutants affected by the proposed facility including concentrations of pollutants, an extrapolation of that data to the proposed site, and a comparison of the extrapolated data with all applicable ambient air quality standards. This discussion should include a description of the source of the data, the method used to derive the data and the basis for any extrapolations made to the proposed site.

(7) Existing meteorological data including wind speed and direction, ambient temperature, relative humidity, stability and mixing height, and existing upper air data; and a discussion of the extent to which the data are typical conditions at the proposed site. This description should include a discussion of the source of the data and the method used to derive the data.

(8) A worst case air quality analysis for each proposed site and related facility to determine whether the plant may cause or contribute to a violation of each applicable ambient air quality standard. Such analysis shall include a description of the methodology employed and the basis for the conclusions reached, and shall consider topography, meteorology and contributions from other sources in the area.

(9) A discussion of the emission offset strategy or any other method of complying with the applicable new source review rule. The emission offset strategy shall be designed to show whether there are sufficient offsets available (contracts are not required). Offset categories (e.g. dry cleaners, degreasers) and an inventory of potential reductions may be used unless most of the potential offsets come from a very small number of sources. In the latter case, the offset sources should be more specifically identified. Potential offsets may be aggregated by geographic location as appropriate under the applicable rule. The offset discussion should also include a brief description of the emissions controls to be used for each offset category and should account for applicable rules requiring emission reductions. In the event there is no emissions inventory available from the ARB or from the applicable local district, the applicant may propose an alternative method for complying with this requirement.

(10) Based upon worst case data for analysis for short-term averaging times and typical data for analysis for annual averaging times, discussion of whether the proposed facility will be within PSD Class I or Class II increments.

(m) The notice shall designate an individual or individuals authorized to receive pleadings, briefs, comments, and other documents for the applicant.

(n) The notice may contain any other pertinent information that the applicant desires to submit.

Note: Authority cited: Sections 25213 and 25502, Public Resources Code. Reference: Sections 21080.5, 25309, 25502, 25504, 25511, 25514, and 25541.5, Public Resources Code.

Appendix B

Information Requirements for an Application

(a) Executive Summary

(1) Project Overview

(A) A general description of the proposed site and related facilities, including the location of the site or transmission routes, the type, size and capacity of the generating or transmission facilities, fuel characteristics, fuel supply, water supply, pollution control systems, and other general characteristics.

(B) Identification of the location of the proposed site and related facilities by section, township, range, county, and assessors parcel numbers.

(C) A description of and maps depicting the region, the vicinity, and the site and its immediate surroundings.

(D) A full-page color photographic reproduction depicting the visual appearance of the site prior to construction, and a full-page color simulation or artist's rendering of the site and all project components at the site, after construction.

(E) In an appendix to the application, a list of current assessor's parcel numbers and owners' names and addresses for all parcels within 500 feet of the proposed transmission line and other linear facilities, and within 1000 feet of the proposed powerplant and related facilities.

(2) Project Schedule: Proposed dates of initiation and completion of construction, initial start-up, and full-scale operation of the proposed facilities.

(3) Project Ownership

(A) A list of all owners and operators of the site(s), the power plant facilities, and, if applicable, the thermal host, the geothermal leasehold, the geothermal resource conveyance lines, and the geothermal re-injection system, and a description of their legal interest in these facilities.

(B) A list of all owners and operators of the proposed electric transmission facilities.

(C) A description of the legal relationship between the applicant and each of the persons or entities specified in subsections (a)(3)(A) and (B).

(b) Project Description

(1) In a section entitled, "Generation Facility Description, Design, and Operation" provide the following information:

(A) Maps at a scale of 1:24,000 (1" = 2000'), along with an identification of the dedicated leaseholds by section, township, range, county, and county assessor's parcel number, showing the proposed final locations and layout of the power plant and all related facilities;

(B) Scale plan and elevation drawings depicting the relative size and location of the power plant and all related facilities;

(C) A detailed description of the design, construction and operation of the facilities, specifically including the power generation, cooling, water supply and treatment, waste handling and control, pollution control, fuel handling, and safety, emergency and auxiliary systems, and fuel types and fuel use scenarios; and

(D) A description of how the site and related facilities were selected and the consideration given to engineering constraints, site geology, environmental impacts, water, waste and fuel constraints, electric transmission constraints, and any other factors considered by the applicant.

(2) In a section entitled, "Transmission Lines Description, Design, and Operation" provide the following information:

(A) Maps at a scale of 1:24,000 of each proposed transmission line route, showing the settled areas, parks, recreational areas, scenic areas, and existing transmission lines within one mile of the proposed route(s);

(B) A full-page color photographic reproduction depicting a representative above ground section of the transmission line route prior to construction and a full-page color photographic simulation of that section of the transmission line route after construction;

(C) A detailed description of the design, construction and operation of any electric transmission facilities, such as powerlines, substations, switchyards, or other transmission equipment, which will be constructed or modified to transmit electrical power from the proposed power plant to the load centers to be served by the facility. Such description shall include the width of rights of way and the physical and electrical characteristics of electrical transmission facilities such as towers, conductors, and insulators. This description shall include power load flow diagrams which demonstrate conformance or nonconformance with utility reliability and planning criteria at the time the facility is expected to be placed in operation and five years thereafter; and

(D) A description of how the route and additional transmission facilities were selected, and the consideration given to engineering constraints, environmental impacts, resource conveyance constraints, and electric transmission constraints.

(3) Applications for geothermal facilities shall contain the following additional information:

(A) Maps at a scale of 1:24,000 showing the location of the geothermal leaseholds, along with a description by section, township, range, county, and assessor's parcel numbers of the leaseholds;

(B) Full-page color photographic reproductions of the geothermal leaseholds;

(C) A description of the process by which the geothermal leasehold was selected and the consideration given to engineering constraints, site geology, environmental impacts, water, steam, waste and fuel constraints, electric transmission constraints, and any other factors

considered by the applicant. Include references to any environmental documents which address steamfield development;

(D) A detailed description of the type, quality, and characteristics of the geothermal resource, including pressure and temperature flow rates, constituents and concentrations of non-condensable gases, and constituent concentrations of dissolved solids, and descriptions and concentrations of any substances potentially harmful to public health and safety or to the environment;

(E) Proposed locations of production and re-injection wells for the project. Include the applicant's assessment of geothermal resource adequacy, including the production history of those wells within the leaseholds dedicated to the project, including pressure decline curves as available; and

(F) A discussion of the potential impacts on the temperature, mineral content, and rate of flow of thermal springs affected by the project.

(c) Demand Conformance

In a section entitled, "Demand Conformance" provide a discussion explaining how the proposed project conforms with the requirements of Public Resources Code § 25524 or Public Resources Code § 25540.6(a)(5). If the provisions of Public Resources Code § 25523.5 are applicable, explain how the project conforms with the requirements of this section. Additional data adequacy requirements may be contained in the Electricity Report applicable pursuant to Title 20, California Code of Regulations, § 1720.5.

(d) Information for Projects Which Completed the NOI Process

(1) A copy of any study or analysis required by the terms of the Commission's Final Decision on the NOI, and a brief summary of the results of the study or analysis.

(2) Updates of any significant information which has changed since the Commission's Final Decision on the NOI.

(e) Facility Closure

(1) A discussion of how facility closure will be accomplished in the event of premature or unexpected cessation of operations.

(f) Alternatives

(1) A discussion of the range of reasonable alternatives to the project, or to the location of the project, including the no project alternative, which would feasibly attain most of the basic objectives of the project but would avoid or substantially lessen any of the significant effects of the project, and an evaluation of the comparative merits of the alternatives. In accordance with Public Resources Code section 25540.6(b), a discussion of the applicant's site selection criteria, any alternative sites considered for the project, and the reasons why the applicant chose the proposed site.

(2) An evaluation of the comparative engineering, economic, and environmental merits of the alternatives discussed in subsection (f)(1).

(g) Environmental Information

(1) General Information: For each technical area listed below, provide a discussion of the existing site conditions, the expected direct, indirect, and cumulative impacts due to the construction, operation, and maintenance of the project, the measures proposed to mitigate adverse environmental impacts of the project, the effectiveness of the proposed measures, and any monitoring plans proposed to verify the effectiveness of the mitigation. Additional requirements specific to each technical area are listed below.

(2) Cultural Resources

(A) A brief summary of the ethnology, prehistory, and history of the region in which the project site and related facilities are located and maps at a scale of 1:24,000, indicating areas of ethnographic occupation. The region may vary depending on the extent of the territory occupied or used by prehistoric cultures indigenous to the area in which the project is located.

(B) A description of all literature searches and field surveys used to provide information about known cultural resources in the project vicinity. If survey records of the area potentially physically affected by the project are not available, and the area has the potential for containing significant cultural resources, the applicant shall submit a new or revised survey for any portion of the area lacking comprehensive survey data. A discussion of the dates of the surveys, methods used in completing the surveys, and the identification and qualification of the individuals conducting the surveys shall be included.

(C) A discussion of the sensitivity of the project area described in subsection (g)(2)(A) and the presence and significance of any known archaeological sites and other cultural resources that may be affected by the project. Information on the specific location of archaeological resources shall be included in a separate appendix to the application and submitted to the Commission under a request for confidentiality pursuant to Title 20, California Code of Regulations, § 2501 et seq.

(D) A summary of contacts and communications with, and responses from, Native American representatives who may have an interest in heritage lands and/or resources potentially affected by the proposed project.

(E) In the discussion on mitigation and monitoring prepared pursuant to subsection (g)(1), a discussion of any educational programs proposed to enhance awareness of potential impacts to archaeological resources by employees and contractors, measures proposed for mitigation of impacts to known cultural resources, and a set of contingency measures for mitigation of potential impacts to previously unknown cultural resources.

(3) Land Use

(A) A discussion of existing land uses and current zoning at the site, land uses and land use patterns within one mile of the proposed site and within one-quarter mile of any project-related linear facilities. Include:

(i) An identification of residential, commercial, industrial, recreational, scenic, agricultural, natural resource protection, natural resource extraction, educational, religious, cultural, and historic areas, and any other area of unique land uses;

(ii) A discussion of any trends in recent zoning changes and potential future land use development;

(iii) Identification of all discretionary reviews by public agencies initiated or completed within 18 months prior to filing the application for those changes or developments identified in subsection (g)(3)(A)(ii); and

(iv) Legible maps of the areas identified in subsection (g)(3)(A) potentially affected by the project, on which existing land uses, jurisdictional boundaries, general plan designations, specific plan designations, and zoning have been clearly delineated.

(B) A discussion of the compatibility of the proposed facilities with present and expected land uses, and conformity with any long-range land use plans adopted by any federal, state, regional, or local planning agency. The discussion shall identify the need, if any, for variances or any measures that would be necessary to make the proposal conform with permitted land uses.

(4) Noise

(A) A land use map which identifies residences, hospitals, libraries, schools, places of worship, or other facilities where quiet is an important attribute of the environment within the area impacted by the proposed project. The area impacted by the proposed project is that area where there is a potential of 5 dB(A) or more, during either construction or operation, over existing background levels.

(B) A description of the ambient noise levels at those sites identified under subsection (g)(4)(A) which the applicant believes provide a representative characterization of the ambient noise levels in the project vicinity, and a discussion of the general atmospheric conditions, including temperature, humidity, and the presence of wind and rain at the time of the measurements. The existing noise levels shall be determined by taking noise measurements for a minimum of 25 consecutive hours at a minimum of one site. Other sites may be monitored for a duration at the applicant's discretion during the same 25-hour period. The results of the noise level measurements shall be reported in L_{eq} (equivalent sound or noise level), L_{dn} (day-night sound or noise level) or CNEL (Community Noise Equivalent Level) in units of dB(A). The L_{10}, L_{50}, and L_{90} values (noise levels exceeded 10 percent, 50 percent, and 90 percent of the time, respectively) shall also be reported.

(C) A description of the major noise sources of the project, including the range of noise levels and the tonal and frequency characteristics of the noise emitted.

(D) An estimate of the project noise levels, during both construction and operation, at residences, hospitals, libraries, schools, places of worship, or other facilities where quiet is an important attribute of the environment, within the area impacted by the proposed project.

(E) An estimate of the project noise levels within the project site boundary during both construction and operation and the impact to the workers at the site due to the estimated noise levels.

(F) The audible noise from existing switchyards and overhead transmission lines that would be affected by the project, and estimates of the future audible noise levels that would

result from existing and proposed switchyards and transmission lines. Noise levels shall be calculated at the property boundary for switchyards and at the edge of the rights-of-way for transmission lines.

(5) Traffic and Transportation

(A) A regional transportation setting, on topographic maps (scale of 1:250,000), identifying the project location and major transportation facilities. Include a reference to the transportation element of any applicable local or regional plan.

(B) An identification, on topographic maps at a scale of 1:24,000 and a description of existing and planned roads, rail lines, including light rail, bike trails, airports, bus routes serving the project vicinity, pipelines, and canals in the project area affected by or serving the proposed facility. For each road identified, include the following information, where applicable:

(i) Road classification and design capacity;

(ii) Current daily average and peak traffic counts;

(iii) Current and projected levels of service before project development, during construction, and during project operation;

(iv) Weight and load limitations;

(v) Estimated percentage of current traffic flows for passenger vehicles and trucks; and

(vi) An identification of any road features affecting public safety.

(C) A description of any new, planned, or programmed transportation facilities in the project vicinity, including those necessary for construction and operation of the proposed project. Specify the location of such facilities on topographic maps at a scale of 1:24,000.

(D) An assessment of the construction and operation impacts of the proposed project on the transportation facilities identified. Include anticipated project-specific traffic, estimated changes to daily average and peak traffic counts, levels of service, and traffic/truck mix, and the impact of construction of any facilities identified in subsection (g)(5)(C).

(E) A discussion of project-related hazardous materials to be transported to or from the project during construction and operation of the project, including the types, estimated quantities, estimated number of trips, anticipated routes, means of transportation, and any transportation hazards associated with such transport.

(6) Visual Resources

(A) Descriptions of the existing visual setting of the vicinity of the project, the region that can be seen from the vicinity of the project, and the proposed project site. Include:

(i) Topographic maps at a scale of 1:24,000 of the areas from which the project may be seen, identification of the view areas most sensitive to the potential visual impacts of the project, and the locations where photographs were taken for (g)(6)(E);

(ii) Elevations of any existing structures on the site; and

(iii) The visual properties of the topography, vegetation, and any modifications to the landscape as a result of human activities.

(B) An assessment of the visual quality of those areas that will be impacted by the proposed project.

(C) After discussions with staff and community residents who live in close proximity to the proposed project, identify the scenic corridors and any visually sensitive areas potentially affected by the proposed project, including recreational and residential areas. Indicate the approximate number of people using each of these sensitive areas and the estimated number of residences with views of the project. For purposes of this section, a scenic corridor is that area of land with scenic natural beauty, adjacent to and visible from a linear feature, such as a road, or river.

(D) A description of the dimensions, color, and material of each major visible component of the project.

(E) Full-page color photographic reproductions of the existing site, and full-page color simulations of the proposed project in the existing setting from each location representative of the view areas most sensitive to the potential visual impacts of the project.

(F) An assessment of the visual impacts of the project, including light and glare, and visible plumes.

(7) Socioeconomics

(A) A description of the socioeconomic circumstances of the vicinity and region affected by construction and operation of the project. Include:

(i) The economic characteristics, including the economic base, fiscal resources, and a list of the applicable local agencies with taxing powers and their most recent and projected revenues;

(ii) The social characteristics, including population and demographic and community trends;

(iii) Existing and projected unemployment rates;

(iv) Availability of skilled workers by craft required for construction and operation of the project;

(v) Availability of temporary and permanent housing; and

(vi) Capacities, existing and expected use levels, and planned expansion of utilities (gas, water and waste) and public services, including fire protection, law enforcement, emergency response, medical facilities, other assessment districts, and school districts. For projects outside metropolitan areas with a population of 500,000 or more, information for each school district shall include current enrollment and yearly expected enrollment by grade level

groupings, excluding project-related changes, for the duration of the project construction schedule.

(B) A discussion of the socioeconomic impacts caused by the construction and operation of the project, including:

(i) The number of workers to be employed each month by craft during construction and operation;

(ii) An estimate of the number and percentage of workers who will commute daily, commute weekly, or relocate in order to work on the project;

(iii) An estimate of the potential population increase caused directly and indirectly by the project;

(iv) The potential impact of population increase on housing during the construction and operations phases;

(v) The potential impacts, including additional costs, on utilities (gas, water and waste) and public services, including fire, law enforcement, emergency response, medical facilities, other assessment districts, and school districts. For projects outside metropolitan areas with a population of 500,000 or more, information on schools shall include project-related enrollment changes by grade level groupings and associated facility and staffing impacts by school district during the construction and operating phases;

(vi) An estimate of applicable school impact fees;

(vii) An estimate of the total construction payroll and an estimate of the total operation payroll;

(viii) An estimate of the expenditures for locally purchased materials for the construction and operation phases of the project; and

(ix) An estimate of the capital cost of the project of the potential impacts on tax revenues from construction and operation of the project.

(8) Air Quality

(A) The information necessary for the air pollution control district where the project is located to complete a Determination of Compliance.

(B) The heating value and chemical characteristics of the proposed fuels, the stack height and diameter, the exhaust velocity and temperature, the heat rate and the expected capacity factor of the proposed facility.

(C) A description of the control technologies proposed to limit the emission of criteria pollutants.

(D) A description of the cooling system, the estimated cooling tower drift rate, the rate of water flow through the cooling tower, and the maximum concentrations of total dissolved solids.

(E) The emission rates of criteria pollutants from the stack, cooling towers, fuels and materials handling processes, delivery and storage systems, and from all secondary emission sources.

(F) A description of typical operational modes, and start-up and shut-down modes for the proposed project, including the estimated frequency of occurrence and duration of each mode, and estimated emission rate for each criteria pollutant during each mode.

(G) The ambient concentrations of all criteria pollutants for the previous three years as measured at the three Air Resources Board certified monitoring stations located closest to the project site, and an analysis of whether this data is representative of conditions at the project site. The applicant may substitute an explanation as to why information from one, two, or all stations is either not available or unnecessary.

(H) One year of meteorological data collected from either the Federal Aviation Administration Class 1 station nearest to the project or from the project site, or meteorological data approved by the California Air Resources Board or the local air pollution district.

(i) If the data is collected from the project site, the applicant shall demonstrate compliance with the requirements of the U.S. Environmental Protection Agency document entitled "On-Site Meteorological Program Guidance for Regulatory Modeling Applications" (EPA - 450/4-87-013 (August 1995)), which is incorporated by reference in its entirety.

(ii) The data shall include quarterly wind tables and wind roses, ambient temperatures, relative humidity, stability and mixing heights, upper atmospheric air data, and an analysis of whether this data is representative of conditions at the project site.

(I) An evaluation of the project's direct and cumulative air quality impacts, consisting of the following:

(i) A screening level air quality modeling analysis, or a more detailed modeling analysis if so desired by the applicant, of the direct inert pollutant impacts of project construction activities on ambient air quality conditions, including fugitive dust (PM_{10}) emissions from grading, excavation and site disturbance, as well as the combustion emissions [nitrogen oxides (NO_x), sulfur dioxide (SO_2), carbon monoxide (CO), and particulate matter less than 10 microns in diameter (PM_{10})] from construction-related equipment;

(ii) A screening level air quality modeling analysis, or a more detailed modeling analysis if so desired by the applicant, of the direct inert criteria pollutant (NO_x, SO_2, CO and PM_{10}) impacts on ambient air quality conditions of the project during typical (normal) operation, and during shutdown and startup modes of operation. Identify and include in the modeling of each operating mode the estimated maximum emissions rates and the assumed meteorological conditions; and

(iii) A protocol for a cumulative air quality modeling impacts analysis of the project's typical operating mode in combination with other stationary emissions sources within a six mile radius which have received construction permits but are not yet operational, or are in the permitting process. The cumulative inert pollutant impact analysis should assess whether estimated emissions concentrations will cause or contribute to a violation of any ambient air quality standard.

(J) If an emission offset strategy is proposed to mitigate the project's impacts under subsection (g)(1), provide the following information:

(i) The quantity of offsets needed;

(ii) Potential offset sources, including location, and quantity of emission reductions; and

(iii) Method of emission reduction.

(K) A topographic map containing contour and elevation data, at a scale of 1:24,000, showing the area within 6 miles of the power plant site.

(9) Public Health

(A) A list of all toxic substances emitted by the project under normal operating conditions, which may cause an adverse public health impact as a result of acute, chronic, or sub-chronic exposure and to which members of the public may be exposed. The list should include, at a minimum, any pollutants emitted by the project that are listed pursuant to Health and Safety Code § 25249.8.

(B) A protocol describing the analysis which the applicant will conduct to determine the extent of potential public exposure to substances identified in subsection (g)(9)(A) resulting from normal facility operation. The analysis itself can be submitted after the AFC is completed.

(C) A map at a scale of 1:24,000, showing all terrain areas exceeding the elevation of the stack within a 10 mile radius of the facility.

(D) A map at a scale of 1:24,000, showing the distribution of population and sensitive receptors within the area exposed to the substances identified in subsection (g)(9)(A).

(E) For purposes of this section, the following definitions apply:

(i) A sensitive receptor refers to infants and children, the elderly, and the chronically ill, and any other member of the general population who is more susceptible to the effects of the exposure than the population at large.

(ii) An acute exposure is one which occurs between the time of emission and eight hours after the emission.

(iii) A sub-chronic exposure is one in which total exposure over a one-week period is greater than four hours, but less than sixteen hours.

(iv) A chronic exposure is one which occurs intermittently and repeatedly for more than one month.

(10) Hazardous Materials Handling

(A) A list of all materials used or stored on-site which are hazardous or acutely hazardous, as defined in Title 22, California Code of Regulations, § 66261.20 et seq., and a discussion of the toxicity of each material.

(B) A map at a scale of 1:24,000 depicting the location of schools, hospitals, day-care facilities, emergency response facilities and long-term health care facilities, within the area potentially affected by any release of hazardous materials.

(C) A discussion of the storage and handling system for each hazardous material used or stored at the site.

(D) The protocol that will be used in modeling potential consequences of accidental releases that could result in off site impacts. Identify the model(s) to be used, a description of all input assumptions, including meteorological conditions. The results of the modeling analysis can be substituted after the AFC is complete.

(E) A discussion of whether a risk management plan (Health and Safety Code § 25531 et seq.) will be required, and if so, the requirements that will likely be incorporated into the plan.

(F) A discussion of measures proposed to reduce the risk of any release of hazardous materials.

(G) A discussion of the fire and explosion risks associated with the project.

(11) Worker Safety

(A) A description of the safety training programs which will be required for construction and operation personnel.

(B) A complete description of the fuel handling system and the fire suppression system.

(C) Provide draft outlines of the Construction Health and Safety Program and the Operation Health and Safety Program, as follows:

Construction Health and Safety Program:

* Injury and Illness Prevention Plan (8 Cal. Code Regs., § 1509);

* Fire Protection and Prevention Plan (8 Cal. Code Regs., § 1920);

* Personal Protective Equipment Program (8 Cal. Code Regs., §§ 1514-1522).

Operation Health and Safety Program:

* Injury and Illness Prevention Program (8 Cal. Code Regs., § 3203);

* Fire Prevention Plan (8 Cal. Code Regs., § 3221);

* Emergency Action Plan (8 Cal. Code Regs., § 3220);

* Personal Protective Equipment Program (8 Cal. Code Regs., §§ 3401-3411).

(12) Waste Management

(A) A Phase I Environmental Site Assessment for the proposed power plant site using methods prescribed by the American Society for Testing and Materials (ASTM) document

entitled "Standard Practice for Environmental Site Assessments: Phase 1 Environmental Site Assessment Process" (Designation: E 1527-93, May 1993), which is incorporated by reference in its entirety; or an equivalent method agreed upon by the applicant and the CEC Staff that provides similar documentation of the potential level and extent of site contamination.

(B) A description of each waste stream estimated to be generated during project construction and operation, including origin, hazardous or non-hazardous classification pursuant to Title 22, California Code of Regulations, § 66261.20 et seq., chemical composition, estimated annual weight or volume generated, and estimated frequency of generation.

(C) A description of all waste disposal sites which may feasibly be used for disposal of project wastes. For each site, include the name, location, classification under Title 23, California Code of Regulations, § 2530 et seq., the daily or annual permitted capacity, daily or annual amounts of waste currently being accepted, the estimated closure date and remaining capacity, and a description of any enforcement action taken by local or state agencies due to waste disposal activities at the site.

(D) A description of management methods for each waste stream, including methods used to minimize waste generation, length of on- and off-site waste storage, re-use and recycling opportunities, waste treatment methods used, and use of contractors for treatment.

(13) Biological Resources

(A) A regional overview and discussion of biological resources, with particular attention to sensitive biological resources near the project, and a map at a scale of 1:100,000 (or some other suitable scale) showing their location in relation to the project.

(B) A discussion and detailed maps at a scale of 1:6,000, of the biological resources at the site of the proposed project and related facilities, and in areas adjacent to them, out to a mile from the site and 1000 feet from the outer edge of linear facility corridors. Include a list of the species actually observed and those with a potential to occur. The discussion and maps shall address the distribution of community types, denning or nesting sites, population concentrations, migration corridors, breeding habitats, and the presence of sensitive biological resources.

(C) A description of all studies and surveys used to provide biological information about the project site, including seasonal surveys and copies of the California Department of Fish and Game's Natural Diversity Data Base Survey Forms, "California Native Species Field Survey Forms", and "California Natural Community Field Survey Forms", completed by the applicant. Include the dates and duration of the studies, methods used to complete the studies, and the names and qualifications of individuals conducting the studies.

(D) A discussion of all permanent and temporary impacts to biological resources from site preparation, construction activities, and plant operation. Discussion of impacts must consider impacts from cooling tower drift, and from the use and discharge of water during construction and operation. For facilities which use once-through cooling or take or discharge water directly from or to natural sources, discuss impacts resulting from entrainment, impingement, thermal discharge, effluent chemicals, type of pump (if applicable), temperature, volume and rate of flow at intake and discharge location, and plume configuration in receiving water.

(E) A discussion of the following:

(i) All measures proposed to avoid and/or reduce any adverse impacts;

(ii) All measures proposed to mitigate any adverse impacts, including any proposals for off-site mitigation; and

(iii) Any educational programs proposed to enhance employee awareness in order to protect biological resources.

(F) A discussion of compliance and monitoring programs to ensure the effectiveness of mitigation measures incorporated into the project.

(G) A discussion of native fish and wildlife species of commercial and/or recreational value that could be impacted by the project.

(H) For purposes of this section, sensitive biological resources are one of the following:

(i) Species listed under state or federal Endangered Species Acts;

(ii) Resources defined in sections 1702 (q) and (v) of Title 20 of the California Code of Regulations; and

(iii) Species or habitats identified by legislative acts as requiring protection.

(14) Water Resources

(A) All information required by the Regional Water Quality Control Board in the region where the project will be located to apply for:

(i) Waste Discharge Requirements; and

(ii) a National Pollutant Discharge Elimination System Permit.

(B) A description of the hydrologic setting of the project. The information shall describe, in writing and on maps at a scale of 1:24,000, the chemical and physical characteristics of the following water bodies that may be affected by the proposed project:

(i) Ground water bodies and related geologic structures;

(ii) Surface water bodies; and

(iii) Water inundation zones, such as the 100-year flood plain and tsunami run-up zones.

(C) A description of the water to be used and discharged by the project. This information shall include:

(i) Source of the water and the rationale for its selection, and if fresh water is to be used for power plant cooling purposes, a discussion of all other potential sources and an explanation why these sources were not feasible;

(ii) The physical and chemical characteristics of the source and discharge water;

(iii) Average and maximum daily and annual water demand and waste water discharge for both the construction and operation phases of the project; and

(iv) A description of all facilities to be used in water conveyance, treatment, and discharge. Include a water mass balance diagram;

(D) A description of pre-, and post-construction runoff and drainage patterns, including:

(i) Precipitation and storm runoff patterns; and

(ii) Drainage facilities and design criteria;

(E) An assessment of the effects of the proposed project on water resources. This discussion shall include:

(i) The effects of project demand on the water supply and other users of this source;

(ii) The effects of construction activities and plant operation on water quality; and

(iii) The effects of the project on the 100-year flood plain or other water inundation zones.

(15) Agriculture and Soils

(A) A map at a scale of 1:24,000 and written description of soil types and all agricultural land uses that will be affected by the proposed project. The description shall include:

(i) The depth, texture, permeability, drainage, erosion hazard rating, and land capability class of the soil; and

(ii) An identification of other physical and chemical characteristics of the soil necessary to allow an evaluation of soil erodability, permeability, re-vegetation potential, and cycling of pollutants in the soil-vegetation system.

(B) A map at a scale of 1:24,000 and written description of agricultural land uses found within all areas affected by the proposed project. The description shall include:

(i) Crop types, irrigation systems, and any special cultivation practices; and

(ii) Whether farmland affected by the project is prime, of statewide importance, or unique as defined by the Natural Resource Conservation Service or the California Department of Conservation.

(C) An assessment of the effects of the proposed project on soil resources and agricultural land uses. This discussion shall include:

(i) The quantification of accelerated soil loss due to wind and water erosion;

(ii) Direct and indirect effects on agricultural land uses; and

(iii) The effect of power plant emissions on surrounding soil-vegetation systems.

(16) Paleontologic Resources

(A) Identification of the physiographic province and a brief summary of the geologic setting, formations, and stratigraphy of the project area. The area may vary depending on the depositional history of the area.

(B) A discussion of the sensitivity of the project area described in subsection (g)(16)(A) and the presence and significance of any known paleontologic localities or other paleontologic resources within or adjacent to the project.

(C) A summary of all literature searches and field surveys used to provide information about paleontologic resources in the project area described in subsection (g)(16)(A). Identify the dates of the surveys, methods used in completing the surveys, and the names and qualifications of the individuals conducting the surveys.

(D) Information on the specific location of known paleontologic resources, survey reports, locality records, and maps at a scale of 1:24,000, shall be included in a separate appendix to the Application and submitted to the Commission under a request for confidentiality, pursuant to Title 20, California Code of Regulations, § 2501 et seq.

(E) A discussion of any educational programs proposed to enhance awareness of potential impacts to paleontological resources by employees, measures proposed for mitigation of impacts to known paleontologic resources, and a set of contingency measures for mitigation of potential impacts to currently unknown paleontologic resources.

(17) Geological Hazards and Resources

(A) A summary of the geology, seismicity, and geologic resources of the project site and related facilities;

(B) A map at a scale of 1:24,000 and description of all recognized stratigraphic units, geologic structures, and geomorphic features within 2 miles of the project site. Include an analysis of the likelihood of ground rupture, seismic shaking, mass wasting and slope stability, liquefaction, subsidence, and expansion or collapse of soil structures.

(C) A map and description of geologic resources of recreational, commercial, or scientific value which may be affected by the project. Include a discussion of the techniques used to identify and evaluate these resources.

(18) Transmission System Safety and Nuisance

(A) The locations and a description of the existing switchyards and overhead and underground transmission lines that would be affected by the proposed project.

(B) An estimate of the existing electric and magnetic fields from the facilities listed in (A) above and the future electric and magnetic fields that would be created by the proposed project, calculated at the property boundary of the site and at the edge of the rights of way for

any transmission line. Also provide an estimate of the radio and television interference that could result from the project.

(C) Specific measures proposed to mitigate identified impacts, including a description of measures proposed to eliminate or reduce radio and television interference, and all measures taken to reduce electric and magnetic field levels.

(h) Compliance with Laws, Ordinances, Regulations and Standards

(1) Tables which identify:

(A) Laws, regulations, ordinances, standards, adopted local, regional, state, and federal land use plans, and permits applicable to the proposed project, and a discussion of the applicability of each. The table or matrix shall explicitly reference pages in the application wherein conformance, with each law or standard during both construction and operation of the facility is discussed; and

(B) Each agency with jurisdiction to issue applicable permits and approvals or to enforce identified laws, regulations, standards, and adopted local, regional, state, and federal land use plans, and agencies which would have permit approval or enforcement authority, but for the exclusive authority of the commission to certify sites and related facilities.

(2) A discussion of the conformity of the project with the requirements listed in subsection (h)(1)(A).

(3) The name, title, phone number, and address, if known, of an official within each agency who will serve as a contact person for the agency.

(4) A schedule indicating when permits outside the authority of the commission will be obtained and the steps the applicant has taken or plans to take to obtain such permits.

(i) Engineering

(1) Facility Design

(A) A description of the site conditions and investigations or studies conducted to determine the site conditions used as the basis for developing design criteria. The descriptions shall include, but not be limited to, seismic and other geologic hazards, adverse conditions that could affect the project's foundation, adverse meteorological and climate conditions, and flooding hazards, if applicable.

(B) A discussion of any measures proposed to improve adverse site conditions.

(C) A description of the proposed foundation types, design criteria (include derivation), analytical techniques, assumptions, loading conditions, and loading combinations to be used in the design of facility structures and major mechanical and electrical equipment.

(D) For each of the following facilities and/or systems, provide a description including drawings, dimensions, surface-area requirements, typical operating data, and performance and design criteria for protection from impacts due to adverse site conditions:

(i) The power generation system;

(ii) The heat dissipation system;

(iii) The cooling water supply system, and, where applicable, pre-plant treatment procedures;

(iv) The atmospheric emission control system;

(v) The waste disposal system and on-site disposal sites;

(vi) The noise emission abatement system;

(vii) The geothermal resource conveyance and re-injection lines (if applicable);

(viii) Switchyards/transformer systems; and

(ix) Other significant facilities, structures, or system components proposed by the applicant.

(2) Transmission System Design

(A) A discussion of the need for the additional electric transmission lines, substations, or other equipment, the basis for selecting principal points of junction with the existing electric transmission system, and the capability and voltage levels of the proposed lines, along with the basis for selection of the capacity and voltage levels.

(B) A discussion of the extent to which the proposed electric transmission facilities have been designed, planned, and routed to meet the transmission requirements created by additional generating facilities planned by the applicant or any other entity.

(3) Reliability

(A) A discussion of the sources and availability of the fuel or fuels to be used over the estimated service life of the facilities.

(B) A discussion of the anticipated service life and degree of reliability expected to be achieved by the proposed facilities based on a consideration of:

(i) Expected annual and lifetime capacity factors;

(ii) The demonstrated or anticipated feasibility of the technologies, systems, components, and measures proposed to be employed in the facilities, including the power generation system, the heat dissipation system, the water supply system, the re-injection system, the atmospheric emission control system, resource conveyance lines, and the waste disposal system;

(iii) Geologic and flood hazards, meteorological conditions and climatic extremes, and cooling water availability;

(iv) Special design features adopted by the applicant or resource supplier to ensure power plant reliability; and

(v) The expected power plant maturation period.

(4) Efficiency

(A) Heat and mass balance diagrams for design conditions for each mode of operation.

(B) Annual fuel consumption in BTUs for each mode of operation.

(C) Annual net electrical energy produced in MWh for each mode of operation, including starts and shutdowns.

(D) Number of hours the plant will be operated in each mode of operation in each year.

(E) If the project will be a cogeneration facility, calculations showing compliance with applicable efficiency and operating standards.

(F) A discussion of alternative generating technologies available for the project, including the projected efficiency of each, and an explanation why the chosen equipment was selected over these alternatives.

(5) Demonstration, if applicable

(A) Justification for the request for demonstration status, based on the criteria contained in the most recently adopted Electricity Report.

(B) A demonstration plan containing the following elements:

(i) A description of the technology to be demonstrated;

(ii) The objectives of the demonstration;

(iii) The plans for acquiring the data necessary to verify the state demonstration objectives;

(iv) The schedule for implementing the demonstration tasks;

(v) The expected date of commencement of commercial operation of the facility, if applicable, and

(vi) A description of contingent actions to be implemented if individual demonstration tasks are technologically unsuccessful.

Note: Authority cited: Sections 25213, 25216.5(a), 25218(e), Public Resources Code. Reference: Sections 21080.5, 25308.5, 25519(a), 25519(c), 25520, 25522(b), 25523(d)(1), 25540.1, 25540.2, 25540.6, Public Resources Code.

Appendix C

Information Requirements for a Geothermal Notice of Intent

(a) In a section entitled "Project Description," the notice shall contain:

(1) A map indicating the location or tentative location of the geothermal leasehold and the location or tentative location of each proposed power plant site and related facility, along with a description by section, township, range, and county of the leasehold.

(2) The location or tentative location of production and reinjection well sites, resource conveyance lines, access roads, and waste disposal sites in relation to each geothermal power plant.

(3) Photographic and/or other suitable graphic representations of the geothermal leasehold and each proposed geothermal power plant, and the visual appearance and general surroundings of such proposed power plant.

(4) A description of the process by which the tentative site was selected within the geothermal leasehold and the consideration given to site geology and ease of engineering, physical environmental impact, socioeconomic impacts, resource conveyance constraints, electric transmission constraints, land use constraints, and any other factors considered by the applicant and not listed herein.

(5) A preliminary description of the type, quality, and characteristics of the geothermal resource encountered or expected, including, to the extent known, pressure and temperature, flow rates, concentrations of non-condensable gases, concentrations of dissolved solids, and descriptions and concentrations of any substances potentially harmful to the environment or to the public health and safety.

(6) Where a notice is filed early in the resource development process, and where the pressure, temperature, flow rate, and constituency and concentration of dissolved solids in the geothermal resources are uncertain, an estimate of the probable range of the various resource parameters based upon nearby development, leasehold exploration if it has occurred, or any other information sources available to the applicant and resource developer. In addition, the basis for such estimations shall be clearly identified.

COMMENT: The 18-month certification process is particularly appropriate for the instances described in this subsection.

(7) The maximum estimated generating capacity of each proposed power plant.

(8) A tentative project schedule including permit approvals from the commission and other agencies from which permits must be issued prior to construction or operation, construction lead times, anticipated date of commercial operation, and anticipated operating plant life.

(9) For each of the following facilities and/or systems a general description, which includes dimensions, surface area requirements, and typical operating data, performance and design criteria for protection from impacts due to geotechnical hazards, flood hazards, and

meteorological extremes, performance and design criteria for assurance of public health and safety and protection of the environment.

(A) Power generation system;

(B) Heat dissipation system;

(C) Cooling water supply system;

(D) Reinjection system;

(E) Atmospheric emission control system;

(F) Waste disposal systems and disposal sites;

(G) Geothermal resource conveyance lines;

(H) Pre-plant cooling water treatment systems, where applicable;

(I) Switchyards/transformer systems; and

(J) Other significant facilities, structures or system components proposed by the applicant not listed above.

COMMENT: The term "performance criteria," when used in these regulations, refers to performance goals which the applicant proposes to use in designing the proposed facilities. For example, a component of the seismic performance criteria would be designing a turbine generator so as to allow continued operation of the proposed facility at full load after the occurrence of a design basis earthquake at the site. Performance criteria are an alternate statement of acceptable risk and are usually semi-quantitative in nature.

The term "design criteria" refers to the limiting criteria used for detailed design of a structure or component. The design criteria produce a design which will meet or exceed the desired performance criteria. For example, design criteria include design loads and the methods for determining loads.

(10) A list of all project participants and their legal interests in the power plant facilities, the geothermal leasehold, the geothermal resource conveyance lines, the geothermal reinjection system, and the electric transmission facilities.

(b) In a section entitled "Need for Project," the notice shall contain:

(1) A discussion of the conformity of the proposed facilities with the level of statewide and service area electrical demand adopted by the commission pursuant to Section 25309 of the Public Resources Code. The discussion shall specify the reasons why the applicant has concluded that the facilities should be added to the applicant's electrical system, including a discussion of whether the facilities are being proposed to meet projected capacity or energy deficits, to displace existing units scheduled for retirement, or to meet requirements for additional reserves.

COMMENT: In the discussion of need, the applicant may incorporate by reference any other relevant filings or submittals to the commission and must include a summary of the referenced material and a discussion of the relevance of such filings or submittals.

(2) An energy and capacity balance showing the forecast of electricity demand as adopted pursuant to Section 25309(b) of the Public Resources Code and generating resources expected to be available to the applicant when the proposed plant is scheduled to begin operation.

(3) The anticipated generating capacity of each proposed facility or facilities, and:

(A) The expected annual capacity factor from the date of initial operation through the 12-year forecast period; and

(B) The expected average annual capacity factor over the anticipated operating life of the facility.

(4) The applicant may demonstrate need for a geothermal facility by reference to the most recent Biennial Report, and in making such demonstration the applicant may cite any findings and conclusions resulting from any generic proceedings conducted by the commission.

(c) In a section entitled "Financial Impacts," the notice shall contain:

(1) A discussion of the preliminary financial requirements for constructing and operating the proposed facilities, including a table summarizing capital requirements and operating expenses, and their principal components. The discussion shall indicate and explain the basis for any assumed escalation rates and costs of capital, fuel, or other principal components. If more than one site is proposed, significant cost differences between alternative sites should be identified.

(2) A preliminary summary of the cost of the installed generating capacity (expressed in $/kw) and of the cost of energy at the busbar (expressed in H/kwhr). A list of principal cost components, an explanation of the source of derivation of each, and the calculations used to arrive at the summary costs above shall be provided. Any major uncertainties in the cost figures used or assumptions relied upon shall be explicitly identified and their significance shall be discussed.

(3) In situations where electric transmission facilities serve more than one geothermal power plant, the notice shall identify costs associated with such transmission facilities in a manner which recognizes the allocation of such costs over more than one unit.

(4) A general discussion of the estimated impact of the proposed facilities on customer rates during construction and after commencement of operation.

(d) In a section entitled "Applicable Laws, Ordinances, Standards, Permits, and Approvals," the notice shall contain tables which identify:

(1) Laws, regulations, standards, adopted local, regional, state, and federal land use plans, permits, and approvals applicable to the proposed project, and a discussion of the applicability of each.

(2) The agency with jurisdiction to issue applicable permits and approvals or to enforce such identified laws, regulations, standards, and adopted local, regional, state, and federal land use plans, or agencies which would have permit approval or enforcement authority but for the exclusive authority of the commission to certify geothermal sites and related facilities.

(3) The name, title, and address, if known, of an official within each agency who will serve as a contract person for each respective agency.

(4) References to the text of the notice wherein the compatibility of the proposed project with each identified law, regulation, standard, adopted local, regional, state, and federal land use plans, permits and approvals, is discussed.

COMMENT: The information requirements set forth in portion IV of Appendix A applies only to facilities to be constructed by the applicant, and not to the geothermal field. The applicant's discussion in this portion shall give particular consideration to those county hydrologic elements, county solid waste management laws, state water use plans, and water basin plans identified in Appendix A.V.B.

(e) In a section entitled "Environmental Description and Project Effects," the notice shall identify potential physical, biological, social, economic and cultural effects of the proposed project and contain:

(1) With respect to air quality:

(A) Available baseline air quality data including concentrations of pollutants, and a comparison of air quality data with applicable ambient air standards.

(B) Available meteorological data, including wind speed and direction, ambient temperature, relative humidity, stability and mixing height, and available upper air data.

(C) A discussion of the extent to which the data in subsections 1 and 2 above are typical of conditions at the proposed site and the KGRA; also, provide a description of the monitoring program, if any, used to obtain required data, including the location and elevation of monitoring stations, parameters measured, and duration of monitoring.

(D) A worst case air quality impact analysis for each proposed site and related facility and source of air emissions, assuming worst case meteorological conditions and emissions consistent with applicable emission standards, including the cumulative effect of wells and pipelines in normal and shutdown modes of operation, in order to determine the worst case impact on potential sensitive receptors. Such analysis shall include the basis of the worst case and consider topography, meteorology, and contributions from other sources in the KGRA.

(E) A general description of normal and shutdown modes of operation for the proposed facility or facilities that affect the release of pollutant emissions into the atmosphere for existing and proposed sources or groups of sources that would have additive effects, including estimated frequency of occurrence, duration, location, and estimated emission rate for each pollutant of interest.

(F) A general discussion of expected or confirmed chemical constituencies of gaseous and particulate pollutants from the proposed project including wells and resource conveyance lines.

(G) For facilities using an external water supply, an estimate of cooling tower particulate and gaseous emissions associated with each alternative cooling water source considered.

(H) A discussion of applicable rules, including but not limited to standards, new source review, and significant deterioration rules established pursuant to Chapter 1 (commencing with # 39000) of Division 26 of the Health and Safety Code, and the methods proposed to satisfy these rules.

(2) With respect to hydrology, water supply, and water quality:

(A) A description of surface waters which may be a source of cooling water or which may be potentially impacted by the proposed project. Such description shall indicate the proximity of such surface waters to the geothermal field and power plant site, availability of cooling water for the project, competitive uses for the cooling water supply, quality of cooling water supply, and available data on existing quality of surface waters potentially impacted or any programs proposed to identify and monitor water quality.

(B) A description of local and regional groundwater aquifers and related geologic formations, structures, recharge areas, and major groundwater uses.

(C) A description of existing regional and local precipitation and storm runoff data, including maximum probable precipitation and flood potential.

COMMENT: If the applicant proposes to use other than maximum probable precipitation for flood hazard mitigation design criteria, other historical extreme precipitation values used for design criteria shall be provided.

(D) A general discussion of any liquid discharges, permitted or accidental, or disposals of solid waste materials which could impact the quality of surface or groundwater.

(E) A general discussion of potential project impacts on local hydrologic flows and runoff.

(F) A general discussion of the potential for flood hazard to the proposed facilities.

(G) A general discussion of potential mitigation measures to protect surface and groundwaters from project impacts, including the identification of any spill clean-up contingency plans proposed or under consideration at the time of filing of the notice.

(H) A discussion of potential project impacts on the temperature, mineral content, rate of flow, and other aspects of nearby utilized thermal springs.

(3) With respect to geology and seismicity:

(A) A general description based on existing data, including maps, of the tectonic history, fault activity, and historical seismicity within 50 km of the site, including all known or inferred potentially active and active faults, an estimate of the magnitude of MCE and MPE derived for each active fault, and the epicenter and date of any earthquake with a magnitude

equal to or in excess of M4 or which could be reasonably inferred to have caused ground acceleration of greater than 0.1 G at the site.

(B) The MCE and MPE peak bedrock or ground accelerations derived for the proposed site.

(C) A brief discussion of the known stratigraphic units and significant geologic structures within 10 km of the site with emphasis on those potentially associate with geotechnical problems.

(D) A map and detailed description, based on existing data, of all recognized stratigraphic units, geologic structures, and geomorphic features or processes within the leasehold boundaries or two km of the site, whichever is greater, with emphasis on those associated with geotechnical problems in the site area. The discussion should include the following anticipated site conditions: ground rupture from faulting, mass wasting and slope stability, liquefaction or settlement, subsidence and associated ground rupture, expansion or collapse of soil structures, cavities, and other adverse site or foundation conditions.

(E) A description, with maps, of commercially developed mines, gem, mineral, and fossil collecting localities, fumaroles, geysers, hot springs, or other geologic resources of unique recreational or scientific value which may be affected by the proposed project.

(F) A detailed description, including maps showing location, of potential impacts to the geological environment resulting from construction, operation, or failure of the proposed facilities including inducement or acceleration of mass wasting, subsidence seismicity, and fault rupture.

COMMENT: The geological environment includes, but is not limited to, developed mines, gem, mineral and fossil collecting localities, fumeroles, geysers, and thermal springs.

(G) A general description of typical mitigation measures, if any, under consideration to eliminate or reduce identified geologic hazards and impacts to the geologic environment.

COMMENT: The 2, 10 and 50 km distances in items 4, 3, and 1 respectively, are intended as guidelines, and may decrease, if reasons are given, or increase, as geologic conditions warrant.

COMMENT: Also, for purposes of the proceedings on the notice, the MCE, MPE and associated accelerations requested in items 1 through 7 above are intended to establish a common data base with respect to seismic setting and are not meant to imply proposed levels of seismic design.

Furthermore, where an applicant pursues a certification process pursuant to Section 1803(a) and files a notice early in the resource development process information related to the geologic environment may be based on existing information without performing original research and investigation.

Finally, the geotechnical information requested above is consistent with the policy adopted by the State Board of Registration for Geologists and Geophysicists on July 17, 1978.

(4) With respect to agriculture and soils:

(A) A map of soils at the site and within geothermal, the leasehold based on available soils information, and a description of mapped soils including soil erodability, soil taxonomy, and physical and chemical characteristics. The description of soils shall be sufficient to allow an evaluation of soil erodability, infiltration rate, permeability, and of the potential for leaching of pollutant deposition and cycling of pollutants in the soil-vegetation system.

(B) An assessment of the general effects of construction and operation of each proposed geothermal power plant facility on soils including, but not limited to, accelerated soil loss, soil dispersal and deposition patterns and quantities, the effects of power plant emissions on surrounding soil-vegetation systems, and the methods used to determine such effects.

(C) A discussion of the effects of construction and operation of each proposed geothermal power plant facility on agricultural resources, including the effects of cooling tower drift on crops and the removal of prime agricultural land from production. The discussion of these effects should be based on land capability classifications and storied ratings for all soil series of the proposed site.

(D) A discussion of mitigation measures under consideration to minimize effects on agricultural resources and soil-vegetation systems and to prevent off-site sediment transport.

(5) With respect to biological resources:

(A) A description of vegetational communities, general wildlife and aquatic resources, and dominant species within the area potentially impacted by the proposed project.

(B) An identification on a map and a description of the known probable distribution of fully protected, rare, threatened or endangered plant and animal species, and commercially or recreationally valued species and habitats that may be adversely affected by the project.

(C) An identification of biological species of special concern and areas of critical biological concern.

COMMENT: In the notice, an attempt shall be made to identify species of special concern and areas of critical concern that may be, or are known by the applicant to be, of special interest to: (1) local, state, and federal agencies responsible for biological resources within the area potentially biologically impacted by the project; and/or (2) educational institutions, museums, biological societies and members of the public that might have specific knowledge of the biological resources within the area.

(D) A description of the potential effects of the proposed project on legally protected and commercially and recreationally valued biological resources, species of special concern, and areas of critical biological concern.

(E) A discussion of measures proposed or under consideration to mitigate impacts to identified biological resources.

(F) A general discussion of the effects of the proposed project upon timber and forest land.

(6) With respect to noise:

(A) A land use map which identifies noise sensitive receptors or groups of receptors in the vicinity of the proposed site and related facility, and geothermal leasehold, which includes future land uses identifiable from adopted land use plans and filed development plans at the time of filing the notice.

(B) A discussion of either the results of daytime and nighttime ambient noise surveys at the site and at sensitive receptors, including the general weather conditions during the surveys, or any plans to conduct such surveys.

COMMENT: If noise concerns are likely to be a significant consideration for site acceptability due to the proximity of the proposed facilities to sensitive noise receptors, the applicant should conduct ambient noise surveys for inclusion in the notice; without such information, no conclusive findings shall be made during the proceedings on the notice regarding the acceptability of project noise impacts.

(C) A description of major plant noise sources and the estimated range of noise emission levels and characteristics.

(D) An estimation of the plant construction and operational noise levels at sensitive receptors potentially impacted by project noise.

(E) A discussion of applicable noise standards and ordinances and the general conformance of the proposed project therewith.

(7) With respect to cultural resources:

(A) A description of all cultural resource properties (archaeological, historical, paleontological, and areas of unique religious or scientific value) within the area potentially impacted by the project identifiable from a literature and reconnaissance survey.

(B) A discussion of those cultural resources listed in, declared eligible for, or nominated to the National Register of Historic Places; those resources that are listed as state or local landmarks or points of historic interest; and those resources that are otherwise protected by existing law.

(C) A description of the methodology and techniques used to identify and evaluate site area cultural resources and any plans for future studies.

(D) A description of potential impacts on identified cultural resources from construction and operation of each proposed geothermal power plant, and the measures under consideration for mitigation of such impacts.

(8) With respect to social and economic effects:

(A) A general description, with an accompanying map, of the existing and proposed future land uses of the proposed power plant site and geothermal leasehold as designated by applicable land use plans or guidelines of local, regional, state, and federal agencies; of the present and proposed land use classifications for the site, leasehold and adjoining areas which are potentially impacted by the project; and the location of municipal, county, regional, state

and federal parks, recreational areas, scenic areas, wildlife sanctuaries, religious sanctuaries, or natural areas in the vicinity of the site and leasehold.

(B) A general description of the social and economic setting of the area subject to impact from the proposed project.

(C) An estimation of labor required during construction and operation of the proposed geothermal power plant and the geothermal field.

(D) An estimation of the level of temporary and permanent project-related immigration to the local area.

(E) An estimation of the impact of construction activities and project operation on the local economy and on the availability of public services and facilities fixtures.

(f) In a section entitled "Public Health Impacts," the notice shall contain the following information on the potential public health effects from the construction and operation of the proposed power plant and geothermal field:

(1) An identification, to the extent known, of solid gaseous, and water-borne emissions, such 2S, SO2, NH3, and B, total suspended and respirable particulates, trace metals, and radioactive materials, which may cause adverse health effects in the surrounding population.

(2) An estimation of the ambient concentrations for the pollutants identified in subsection A of this section, and the worst case incremental increase expected as a result of project emissions.

(3) A general discussion of concentrations, to the extent known, required for the creation of potentially significant adverse health effects from identified pollutants as disclosed in available literature. The discussion shall include variables due to differing age groups within the general population and portions of the general population which may be particularly affected by any identified emissions. The discussion shall also include the age distribution and size of the population which may be potentially affected by these emissions.

(4) A discussion of all existing federal, state, and local health standards for identified project emissions.

(g) In a section entitled "Power Plant Reliability" the notice shall contain the following information on site dependent reliability-related factors:

(1) A general discussion of the impact on plant reliability from potential hazards to each proposed facility caused by, but not limited to, ground rupture by faulting, mass wasting, and slope stability, liquefaction or settlement, subsidence and associated ground rupture, expansion or collapse of soil structures, cavities or other adverse foundation conditions, flooding, meteorological and climatic extremes, and cooling water supply reliability.

(2) A general discussion of performance and design criteria for protecting the facilities from potential hazards.

(3) A general description of the basis for formulation or selection of performance and design criteria discussed in subsection B of this section.

(h) In a section entitled "Electric Transmission Facilities," the notice shall contain the following information:

(1) A description of any electric transmission facilities, lines, stations, or other equipment, whether or not within the exclusive permit authority of the commission, which will be required to carry electrical power from each proposed geothermal power plant at each of the sites presented in the notice to the principal load centers to be served by the new power plant. Such description shall include the width of rights-of-way and the physical and electrical characteristics of towers, conductors, and insulators. For electric transmission facilities outside the exclusive permit authority of the commission, response to this subsection may be limited to information, such as capacity and voltage levels and right-of-way widths, which will allow the commission staff to perform an electric transmission system planning analysis and to assess the cumulative environmental impacts.

(2) A discussion of the need for the additional electric transmission lines, stations, or other equipment referred to in the notice, the basis for selecting principal points of junction with the existing electric transmission system, and the capacity and voltage levels of the proposed lines along with the basis for selection of the capacity and voltage levels.

(3) A discussion of the extent to which the proposed electric transmission facilities have been designed, planned, and/or routed to meet the transmission requirements created by additional generating facilities planned by the applicant or any other entity in the same general area.

COMMENT: A precise definition for "general area" as used here cannot be provided. In some instances the KGRA in which the proposed geothermal power plant is to be located would comprise the "general area." In all cases the applicant should acknowledge whether or not power plants proposed in an area which could be served by common transmission to the main transmission grid where considered in determining the capacity and general route of the proposed electric transmission facilities.

(4) An identification of the owners and operators of the proposed electric transmission facilities and their legal interest in the proposed route or corridor.

(5) A discussion of alternative methods of transmitting power from each proposed geothermal power plant that were considered by the applicant, and the basis for selection of such methods.

(6) A map or maps showing the potential corridor or corridors proposed or alternative points of interconnection, and existing and proposed land uses at and adjoining the corridor(s) as designated by local, regional, state, and federal agencies.

(7) A description of the corridor or route selection process.

(8) A discussion of the physical, biological, social and cultural, environmental, and engineering advantages and disadvantages of the alternatives considered.

(9) A preliminary estimate of the costs of lines, stations, and other equipment that would be required.

(10) If the applicant does not or will not have an ownership interest in those electric transmission lines proposed to transmit power from the power plant to a point of junction with an interconnected system, a discussion of contracts executed or arrangements contemplated for the transmission of electric power from the proposed geothermal power plant.

COMMENT: Where tap lines are proposed, the discussion may be route-specific due to their limited length.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Sections 25001, 25006, 25110, 25502, 25504, 25506 and 25506.5, Public Resources Code.

Appendix D

Information Requirements for a 9-Month Geothermal Application for Certification

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Sections 25216.5, 25519 and 25520, Public Resources Code.

Appendix E

Information Requirements for a 12-month Geothermal Application

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Sections 21000, 21100, 25006, 25216.5, 25519 and 25520, Public Resources Code.

Appendix F

Informational Requirements for a Small Powerplant Exemption

The application shall include the following information:

(a) The location of the power plant on a location map and described by section or sections, range, township, and county.

(b) Photographic representations adequately depicting proposed transmission corridors or routes and the visual appearance of the power plant site and its immediate surroundings.

(c) The type(s) of fuel to be used.

(d) The methods of construction and operation of the power plant.

(e) A discussion of the environmental and energy resources impacts which may result from the construction or operation of the power plant.

(f) A discussion of proposed alternatives to the power plant, including the alternative of no power plant, and any mitigation measures proposed to reduce environmental impact.

(g) The need for the power plant.

(h) The compatibility of the power plant with the most recent biennial report issued pursuant to Section 25309 of the Public Resources Code.

(i) A list, including the names and addresses of persons to contact, of federal, state, regional, or local agencies whose standards, ordinances, or laws including long range land use plans or guidelines adopted by the state or any local or regional planning agency are applicable to the proposed project. The list shall include a brief description of the applicability of such standards, ordinances, laws, plans, or guidelines for each agency.

(j) A discussion of that portion of the gross energy output which will be used for the site and related facility.

(k) Any other information that the applicant desires to submit.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25541, Public Resources Code.

Article 7. Additional Provisions for Considering Expedited Applications Under Public Resources Code Section 25550

§ 2021. Purpose of Expedited Proceeding; Applicability of Regulations

(a) The purpose of a six-month application proceeding is to review and certify environmentally acceptable sites and related facilities as expeditiously as possible so as to ensure a reliable supply of electrical energy in a manner consistent with public health and safety, promotion of the general welfare, and protection of the environment. Toward that end, the commission shall give priority in review to applications that qualify for an expedited decision under this Article and demonstrate superiority with respect to environmental protection or efficiency in performance.

(b) The provisions of this Article apply to all applications filed pursuant to Public Resources Code section 25550 and 25550.5, notwithstanding any other provision to the contrary in Chapters 1, 2, and 5. This Article changes the otherwise applicable deadline for a final decision on an application for certification and adjusts other procedural deadlines as appropriate. This Article does not modify any substantive or other procedural requirements applicable to an application proceeding.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25500, 25550 and 25550.5, Public Resources Code.

§ 2022. Information Requirements

(a) Any applicant requesting that the commission reach a decision on an application for certification within six months after acceptance of the application shall meet the requirements of this section.

(b) To be eligible for a decision within six months after acceptance of an application, the application shall contain all of the information that is relevant to the project and required in Appendix B to this Chapter. If an information requirement in Appendix B is not relevant to a proposed project because of its design, location, or other particular circumstance, the application need not provide the information and, instead, shall provide an explanation with

specific facts as to why the requirement is not relevant to the project as proposed. Applicants are encouraged to request a prefiling review pursuant to section 1709.5 to determine the extent to which documentation relevant to a proposed application is sufficient to meet the information requirements in Appendix B and to determine which information requirements, if not all, are relevant to the proposed application. The application shall also contain all of the following:

(1) Substantial evidence that the project as proposed in the application will comply with all standards, ordinances, and laws applicable at the time of certification, including:

(A) a list of all such standards, ordinances, and laws;

(B) information demonstrating that the project as proposed in the application will comply with all such standards, ordinances, and laws;

(C) where a standard, ordinance, or law is expected to change between the time of filing an application and certification, information from the responsible jurisdiction documenting the impending change, the schedule for enactment of the change, and whether the proposed project will comply with the changed standard, ordinance, or law; and

(D) a list of the requirements for permitting by each federal, state, regional, and local agency that has jurisdiction over the proposed project or that would have jurisdiction, but for the exclusive jurisdiction of the commission, and the information necessary to meet those requirements;

(2) substantial evidence that the project as proposed in the application will not cause a significant adverse impact on the environment, including all the following:

(A) a detailed modeling analysis assessing whether the cumulative impacts of all inert criteria pollutants (NOx, SO2, CO, and PM10) from the project's typical operating mode in combination with all stationary emissions sources within a six-mile radius of the proposed site that have received construction permits, but are not yet operational, and all stationary emissions sources that are currently undergoing air district permit application review will cause or contribute to a violation of any ambient air quality standard;

(B) a description of the project's planned initial commissioning phase, which is the phase between the first firing of emissions sources and the consistent production of electricity for sale to the market, including the types and durations of equipment tests, criteria pollutant emissions, and monitoring techniques to be used during such tests, and air dispersion modeling analyses of the impacts of those emissions on state and federal ambient air quality standards for NO2, SO2, CO, and PM10;

(C) a detailed description of the mitigation, which an applicant shall propose, for all project impacts from criteria pollutants that currently exceed state or federal ambient air quality standards, but are not subject to offset requirements under the district's new source review rule;

(D) a modeling analysis that identifies the extent of potential public exposure to toxic substances, as identified in subsection (g)(9)(A) of Appendix B, resulting from normal facility operation;

(E) if the project will result in a discharge of waste that could affect the water quality of the state, a complete report of proposed waste discharge as required by section 13260 of the

Water Code. This will allow for issuance of waste discharge requirements by the appropriate regional water quality control board within 100 days after filing of the application in accordance with Public Resources Code section 25550(d).

(F) a demonstration, based on appropriate data including, but not limited to, scientific surveys taken at the appropriate time of year, that the project will have no significant impact on wetlands, plant or animal species that are endangered, threatened, or of concern under state or federal law, or the areas listed in Public Resources Code section 25527;

(G) with respect to the handling of hazardous materials, a demonstration that:

(i) the project will not use or store any regulated substance defined in Section 25532(g) of the California Health and Safety Code or

(ii) the project is eligible for Program 1 status pursuant to Section 68.10 of Part 68 of Title 40 of the Code of Federal Regulations or can demonstrate that no worst case accidental release would result in a plausibility (risk greater than 1 in 1,000,000) of an impact at the nearest public receptor above the maximum airborne concentration below which it is believed nearly all individuals could be exposed for up to one hour without experiencing or developing irreversible or other serious health effects or symptoms that could impair an individual's ability to take protective action. The Emergency Response Planning Guidelines, Level 2 (ERPG 2) reflect this maximum airborne concentration standard.

(H) if the project will store or use a regulated substance defined in Section 25532(g) of the Health and Safety Code, a demonstration either that the boundary of the powerplant site will not be within 1000 feet of any residential area, school, general acute care hospital, long-term health care facility, or child day care facility as such terms are defined in section 25534.1 of the Health and Safety Code or that the project will pose no plausible potential for exposure at such facilities from an accidental release of the regulated substance; and

(I) a demonstration that the proposed facility will not require storage of gaseous flammable or explosive materials in quantities greater than 25000 standard cubic feet;

(3) substantial evidence that the project will not cause a significant adverse impact on the electrical system, including all of the following:

(A) an Interconnection Study identifying the electrical system impacts and a discussion of the mitigation measures considered and those proposed to maintain conformance with NERC, WSCC, Cal-ISO or other applicable reliability or planning criteria based on load flow, post transient, transient, and fault current studies performed by or for the transmission owner in accordance with all applicable Cal-ISO or other interconnection authority's tariffs, operating agreements, and scheduling protocols and

(B) a full description of the facilities, if any, that are required for interconnection, including all such facilities beyond the point where the outlet line joins with the interconnected system and a full description of the environmental setting, environmental impacts, and any recommended mitigation measures proposed by the applicant for any required facilities beyond the point where the outlet line joins with the interconnected system;

(4) a discussion of the potential for disproportionate impacts from the project on minority or low-income people; such discussion shall include, but not be limited to, all of the following:

(A) demographic information by census tract, based on the most recent census data available, showing the number and percentage of minority populations and people living below the poverty level within six miles of the proposed site;

(B) one or more maps at a scale of 1:24,000 showing the distribution of minority populations and low-income populations and significant pollution sources within six miles of the proposed site, such as those permitted by the U.S. Environmental Protection Agency (Toxic Release Inventory sites), the local air quality management district, or the California Department of Toxic Substances Control; and

(C) identification of available health studies concerning the potentially affected population(s) within a six-mile radius of the proposed power plant site;

(5) the following information to demonstrate that the project, if certified, is likely to be constructed and operated;

(A) information demonstrating the applicant's control, by ownership, lease, option, or other legally binding agreement that the Commission finds acceptable, of the proposed site and

(B) a will-serve letter or similar document from each provider of water to the project, indicating each provider's willingness to provide water to the project and describing all conditions under which the water will be provided, and a discussion of all other contractual agreements with the applicant pertaining to the provision of water to the project.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216.5(a), 25520 and 25550(b), Public Resources Code.

§ 2023. Data Adequacy Review and Acceptance

(a) Upon the receipt of an application filed pursuant to this Article, the executive director or a delegatee shall review all documentation to determine whether the application contains all the information required by section 2022 and is, therefore, complete. Except as provided by this section the review of the application for completeness shall be in accordance with section 1709.

(b) No later than 45 days after receipt of an application, the commission shall act upon the executive director's recommendation as to whether the application contains the information required by section 2022 and is, therefore, complete. If the commission determines that the application is complete, the application shall be accepted as of that date and the proceeding for reaching a final decision within six months shall begin. Based on meeting the information requirements of section 2022, the application shall be considered to be an initial showing that there is substantial evidence that the project will not cause a significant adverse impact on the environment or electrical system and will comply with all applicable standards, ordinances, and laws.

(c) If the commission determines that the application contains all of the information required by Appendix B to this Chapter, but not all of the additional information required by

section 2022, the application shall be deemed accepted for purposes of reaching a final decision within 12 months. The applicant, however, may request an immediate suspension at the time of acceptance for a 12-month decision to allow for the submittal of additional information to meet the requirements of section 2022(b)(1) through (5). If the applicant makes such a request, the commission shall specify in writing what information is needed to complete the application for a six-month decision.

(d) If the commission determines that the application is incomplete with respect to Appendix B to this Chapter, the application shall not be accepted. The commission shall indicate in writing those parts of the application that fail to meet the information requirements and the manner in which they can be made complete.

(e) The applicant may file additional information and the commission, in accordance with section 1709, shall determine, within 30 days of receipt of the data, whether the information is sufficient to complete the application. The application shall be eligible for a final decision within six months from the day the commission determines that the application is complete pursuant to section 2022.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25522(b) and 25550, Public Resources Code.

§ 2024. Intervention.

Any person may file a petition to intervene within 100 days after the acceptance of an application. The petition shall be served upon all parties.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25214 and 25550, Public Resources Code.

§ 2025. Discovery.

Within 90 days after acceptance of the application, any party may file a data request of the applicant or of any other party. Absent an objection pursuant to section 1716(f), the applicant or other party shall provide the information requested within 20 days of the date that the request is made or by another date agreed to by the requesting and responding parties or ordered by the committee.

Note: Authority cited: Section 25213 and 25218(e), Public Resources Code. Reference: Sections 25210, 25519(b) and 25550, Public Resources Code; and Section 11181, Government Code.

§ 2026. Agency Comments.

(a) Within 60 days after the acceptance of an application under this Article, the California Independent System Operator or other interconnecting authority and all local, regional, and state agencies that have jurisdiction over the project or would have jurisdiction, but for the exclusive jurisdiction of the commission, shall file and serve on all parties their preliminary approval, comments, determinations, and opinions.

(b) Within 100 days after the acceptance of an application, all local, regional, and state agencies that have jurisdiction over the project or would have jurisdiction, but for the exclusive

jurisdiction of the commission, shall file and serve on all parties their final comments, determinations, and opinions.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25519(f), 25519(j), 25523(d) and 25550, Public Resources Code.

§ 2027. Staff Reports.

(a) Within 75 days after acceptance of an application that is eligible for a six-month decision, the staff shall file an initial report of the environmental impacts and other aspects of the proposed project in accordance with sections 1742.5, 1743, and 1744. Based on information known and available to the staff, the staff's initial report shall:

(1) discuss whether the project complies with all applicable standards, ordinances, and laws,

(2) identify and assess the impacts that may result from the project on the environment,

(3) identify and assess the impacts that may result from the project on the electrical system,

(4) assess the sufficiency of the mitigation as proposed by the applicant,

(5) recommend mitigation where the staff believes it is needed in addition to or as an alternative to that proposed by the applicant,

(6) discuss the feasibility of available site and/or facility alternatives that substantially lessen the significant adverse impacts of the project on the environment, and

(7) identify the areas in need of further analysis that will be the focus of the final staff report on the project.

(b) Within 120 days after the acceptance of an application, the staff shall file a final report on the proposed project in accordance with sections 1742.5, 1743, and 1744. The staff's final report may focus on those areas identified for further analysis in the staff's initial report and may incorporate by reference or otherwise rely on the initial report for all other areas. The report shall serve as the staff's final assessment of the project and be presented as testimony at the hearings under section 2029.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 21081, 25217(b), 25519(c), 25523(a), 25523(d) and 25550, Public Resources Code.

§ 2028. Removal of the Project from the Six-Month Process.

(a) At any time after acceptance of the application, but no later than the final date for filing testimony, any party may petition the committee to remove the project from the provisions of this Article and thereby change the deadline for a commission decision from six months after acceptance to twelve months after acceptance. The petition shall show that there is substantial evidence in the record that the project:

(1) may result in a significant adverse unmitigated impact on the environment;

(2) may result in a significant adverse unmitigated impact on the electrical system;

(3) will not comply with an applicable standard, ordinance, or law; or

(4) has changed substantially from what was proposed in the application and requires substantial new analysis or generates substantial public controversy.

The petition and other pleadings shall be served on all parties in accordance with sections 1209 and 1210.

(b) Any person, or if the petition is filed more than 100 days after acceptance of the application, any party, may comment on the petition in writing within 10 days after the petition is served.

(c) Within 20 days after filing of the petition, the committee shall determine whether there is substantial evidence in the record that the project:

(1) may result in a significant adverse unmitigated impact on the environment;

(2) may result in a significant adverse unmitigated impact on the electrical system;

(3) will not comply with an applicable standard, ordinance, or law; or

(4) has changed substantially from what was proposed in the application and requires substantial new analysis or generates substantial public controversy.

(d) If the committee's determination with respect to subsection (1), (2), or (3) is in the affirmative, the committee shall grant the petition and order that the application shall no longer be reviewed under this Article and that a final decision on the application shall be reached within 12 months of acceptance of the application in accordance with Public Resources Code section 25540.6.

(e) If the committee's determination with respect to subsection (4) is in the affirmative, the committee may, but need not, grant the petition.

(f) The committee's grant or denial shall be effective 5 days after it is filed in the Docket and served on all parties, unless it is appealed under subsection (g), in which case the ruling is stayed until the Commission rules on it.

(g) Any party may appeal the committee's ruling within 5 days after it is filed in the Docket and served on all parties. The commission shall rule on an appeal at the next earliest business meeting for which there is sufficient time for public notice of the appeal as an item on the agenda. In ruling on the appeal the commission shall use the criteria in subsection (c).

(h) The time between a committee ruling on a petition and final commission disposition of the matter shall not be counted in the calculation of any deadlines pursuant to this Article.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Section 25550(c), Public Resources Code.

§ 2029. Hearings.

(a) Within 135 days after acceptance of the application, the committee shall commence evidentiary hearings.

(b) Any party may submit testimony in accordance with a schedule determined by the committee.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216.5(a), 25521 and 25550, Public Resources Code.

§ 2030. Presiding Member's Proposed Decision; Commission Decision.

(a) Within 20 days after the end of the hearings held under section 2029, the presiding member of the committee shall, in consultation with the other committee member, file in the Docket and serve on all parties a proposed decision in accordance with sections 1749, 1751, 1752(b) through (k) and (m), 1752.3(a) and (b), and 1752.5.

(b) Within 15 days after filing and service of the presiding member's proposed decision, any person may file and serve written comments.

(c) At least 30 days after filing and service of the presiding member's proposed decision, the commission shall hold a hearing and do one of the following:

(1) grant a certificate to the project,

(2) deny the application for certification, or

(3) determine, using the criteria in Section 2028(c), that a final decision on the application shall be made within twelve months of its acceptance.

(d) The Commission shall not grant a certificate unless it finds that:

(1) the project will not cause a significant adverse unmitigated impact on the environment,

(2) the project will not cause a significant adverse unmitigated impact on the electric system,

(3) the project will comply with all applicable standards, ordinances, and laws,

(4) the applicant has a contract with a general contractor and has contracted for an adequate supply of skilled labor to construct, operate, and maintain the project, and

(5) the project complies with all regulations adopted by the Commission that ensure that an application addresses disproportionate impacts in a manner consistent with Section 65040.12 of the Government Code.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 21081, 25216.5(a), 25519(c), 25523 and 25550, Public Resources Code.

§ 2031. Construction Deadline.

(a) The deadline for the commencement of substantial construction of the project shall be 12 months after the effective date of the decision on an application accepted and processed pursuant to this Article.

(b) Substantial construction shall be defined as the following:

(1) completion of at least thirty percent of the engineering design of the entire project and

(2) completion of at least five percent of the physical construction of the entire project, absent circumstances beyond the control of the applicant.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code. Reference: Sections 25216.5(a), 25523(a), 25550 and 25550(f), Public Resources Code.

Chapter 5.5. Public Interest Energy Research (PIER) Program

Article 1. Sole and Single Source Contracts

§ 2100. Award of Sole Source Contracts.

The following subdivisions apply to contracts in the Public Interest Energy Research (PIER) Program awarded on a sole source basis, as defined by Public Resources Code section 25620.5(f), without competitive bidding or competitive negotiations. Sole source contracts are awarded at the sole discretion of the California Energy Commission (Commission).

(a) The cost of the proposed contract shall be reasonable; and

(b) The Commission shall make a determination, in consultation with the Department of General Services, that at least one of the following requirements is met:

(1) The proposed contract is unsolicited and meets the evaluation criteria of Public Resources Code Section 25620 et. seq.; or

(2) The expertise, service or product is unique; or

(3) The urgency of the need for the information or deliverable is such that a competitive solicitation would frustrate timely performance; or

(4) The proposed contract funds the next phase of a multiphased project and the existing agreement is being satisfactorily performed; or

(5) The proposed contract is in the best interests of the state.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2101. Award of Single Source Contracts.

The following subdivisions apply to contracts in the PIER Program awarded on a single source basis, as defined by Public Resources Code section 25620.5(e), without competitive bidding or competitive negotiations. Single source contracts are awarded at the sole discretion of the Commission.

(a) The Commission shall make a determination that all of the following requirements are met:

(1) Two or more business entities are capable of supplying or providing the goods or services that meet a specified need of the Commission; and

(2) The Commission has thoroughly evaluated at least two possible contractors for the work described in the proposed contract; and

(3) The cost of the proposed contract is reasonable; and

(4) The proposed contract is in the best interests of the state.

(b) The Commission shall make a determination that at least one of the following requirements is met:

(1) The proposed contract offers or includes a collaborative industry or public/private effort; or

(2) The proposed contract offers or includes leveraged funding; or

(3) The proposed contract is urgent and the need for the information or deliverable is such that a competitive solicitation would frustrate timely performance; or

(4) The proposed contract is with an entity that is prohibited by law from participating in a competitive solicitation.

(c) The Commission shall document findings regarding the following:

(1) Rationale for choosing the proposed contractor versus other possible contractors; and

(2) Rationale for why the Commission did not use competitive bidding procedures; and

(3) Impact of the contract with the proposed contractor versus other possible contractors.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2102. Factors for Consideration.

In determining whether to award a contract on a sole or single source basis, the Commission shall consider evaluation factors that include but are not limited to:

(a) Does the proposal advance energy science or technology and provide benefits to California citizens?

(b) Is the proposal technology not adequately addressed by competitive and regulated markets?

(c) Does the proposed contract address at least one issue or goal specified in the most recent PIER Program area plan, appropriate subject area plan or Strategic Plan?

(d) Is the technological approach, analysis or process used substantially the same as another contract already funded under the PIER Program?

(e) Is the proposed contract substantially the same as a proposal previously submitted to the Commission and rejected on the basis of technical issues or administrative requirements?

(f) Was the proposed contract received within the timeframe directly before the anticipated publication date for a future PIER solicitation for which the proposed contract is eligible?

(g) Was the proposed contract received within the timeframe directly after the release date of a past PIER solicitation for which the proposed contract was eligible?

(h) What is the cost of the proposed project?

(i) What is the level of public and private benefits compared to proposal costs to be funded by the PIER program and by match funds?

(j) What is the overall technical quality and merit of the proposal?

(k) What are the qualification of the project team?

(l) What is the likelihood of and timeframe for success of the proposal?

(m) What are the technical, market and financial risks of the proposal?

(n) Is the proposal consistent with the energy policies of the State of California?

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2103. Procedures and Format.

The Commission shall adopt procedures that will set forth the specific process that the Commission shall follow in awarding contracts on a sole or single source basis. The procedures shall also set forth format requirements for proposals that request contract award on a sole or single source basis. The Commission may reject proposals that do not follow these format requirements.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2104. Public Agency Exemption.

The requirements in this article do not apply to the following:

(a) The Regents of the University of California;

(b) Trustees of the California State University;

(c) Any public entity as defined by Public Contract Code section 1100;

(d) Any unit of the federal government.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

Article 2. Competitive Negotiations

§ 2110. Definitions.

For purposes of this article, the following definitions shall apply:

(a) "Bidder" shall mean any person or entity attending a Pre-Bid Conference or participating in any part of the Competitive Negotiations Solicitation (CNS) process;

(b) "Commission" shall mean the California Energy Commission and/or its staff;

(c) "Competitive Negotiations Solicitations" or "CNS" shall mean the competitive negotiations bid process described in this article;

(d) "Confidential Meeting" shall mean the private meeting between Bidder and the Commission regarding a Discussion Proposal;

(e) "Discussion Memorandum" shall mean the written document prepared by the Commission memorializing the discussion during a Confidential Meeting;

(f) "Discussion Proposal" shall mean a proposal submitted according to the requirements set forth in section 2116;

(g) "Final Proposal" shall mean a proposal submitted according to the requirements set forth in section 2117;

(h) "PIER" shall mean the Public Interest Energy Research, Development and Demonstration Program, established pursuant to AB 1890 (chap. 854, stats. 1996) and SB 90 (chap. 905. stats. 1997);

(i) "Pre-Bid Conference" shall mean the question/answer forum conducted by the Commission after release of the CNS open to all potential Bidders for the purpose of asking questions about the CNS;

(j) "Proposal" includes a Discussion Proposal or Final Proposal.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2111. Intent and Overview of Competitive Negotiations Solicitation.

(a) The Commission may use the CNS process in any of the situations described in Public Resources Code section 25620.5(c);

(b) The intent of the CNS process is to provide an alternative competitive bidding process for research and development solicitations for PIER projects. The CNS differs from a traditional Request for Proposal in that the CNS provides a mechanism for the Commission to have discussions with Bidders on the content of each Discussion Proposal in an effort to create a fully responsive Final Proposal. The Commission has the discretion to decide the appropriate screening, evaluation and selection criteria for each CNS;

(c) In the CNS process, the Commission may include in the CNS an option or requirement for Bidders to submit one or more Discussion Proposals before the Final Proposal, as needed for the specific technical requirements of the solicitation. For each Discussion Proposal the following process will be employed:

(1) The Commission evaluates the Discussion Proposal, without assigning a numerical score;

(2) The Commission prepares a discussion agenda, which details the areas in the Discussion Proposal that are not responsive to the requirements in the CNS and where it can be improved;

(3) The Bidder and Commission have a Confidential Meeting, giving the parties an opportunity to negotiate the Discussion Proposal(s);

(4) The Commission prepares and sends to Bidder a Discussion Memorandum memorializing the discussion during the Confidential Meeting;

(d) The process outlined in subdivision (c) will be repeated for each Discussion Proposal in the CNS.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2112. Pre-Bid Conference.

(a) The Commission may hold a Pre-Bid Conference. If the Commission holds a Pre-Bid Conference, the Commission shall specify in the CNS whether attendance at the Pre-Bid Conference is optional or mandatory for potential Bidders. If attendance at the Pre-Bid Conference is mandatory, potential Bidders must attend in order to be able to participate in the CNS process.

(b) The Commission shall accept questions submitted before and during the Pre-Bid Conference. The Commission may disseminate answers to recipients of the CNS and any party who attended the Pre-Bid Conference.

(c) Any oral communication from the Commission concerning the CNS is not binding on the Commission.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2113. Possible Modification/Addenda to CNS.

(a) The Commission has the right to modify the CNS at any time before Final Proposals are due, by issuing an addendum to the CNS;

(b) If changes are necessary to the CNS the Commission shall modify the CNS by issuing an addendum to the CNS.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2114. Notice of Intention to Bid.

(a) In order to screen Bidders for eligibility, the Commission may include in the CNS a requirement to submit a Notice of Intention to Bid. If the Notice of Intention to Bid is used, Bidders shall submit the Notice of Intention to Bid in order to be able to submit any Proposal responsive to the CNS. Future written communication from the Commission shall be delivered only to those Bidders who submit a Notice of Intention to Bid.

(b) Bidders may withdraw or modify a Notice of Intention to Bid at any time before the due date for the Notice of Intention to Bid.

(c) The Notice of Intention to Bid shall include, at a minimum, the following:

(1) Identify how the project will meet the requirements of the CNS;

(2) Identify Bidder team that will participate in Confidential Meetings;

(3) Confidentiality statement, the form of which shall be provided in the CNS, regarding use of confidential information during the CNS process.

(d) The CNS shall state any other requirements of the Notice of Intention to Bid. These requirements may include, without limitation, the following:

(1) Bidder's general qualifications;

(2) Bidder's technical qualifications;

(3) Financial measures such as net present value of proposed project;

(4) Capabilities of Bidder team as related to scope of work detailed in the CNS;

(5) Proof of financial ability to perform an awarded contract, including without limitation, financial statements, credit rating, liquidity ratios, equity ratio, equity rating and previous bankruptcy of Bidder, if any. If Bidder wants financial information to be kept confidential, Bidder must make a request for confidentiality pursuant to Title 20, California Code of Regulations, section 2501 et. seq. (See section 2125 regarding confidentiality requests.);

(6) Signed acceptance of the terms and conditions of the contract, if awarded.

(e) In the CNS, the Commission shall specify a date and time deadline for the Notice of Intention to Bid. If a Notice of Intention to Bid is received after the stated date and time, the Commission will not consider the Notice of Intention to Bid, or any Proposals submitted by the party who submitted the late Notice of Intention to Bid. The Commission may change this deadline by notification to Bidders;

(f) The Commission shall screen Bidders on specific criteria detailed in the CNS. The Notice of Intention to Bid may be scored numerically;

(g) After reviewing the Notice of Intention to Bid, the Commission shall notify Bidders of whether the Bidder is eligible to continue in the CNS process and submit Proposals:

(1) If the Commission determines that the Bidder is not eligible to receive an award under the CNS, and that such ineligibility cannot be cured within the date and time deadline for Final Proposals, the Commission shall notify Bidder that it is disqualified from further submittals under the CNS. The Commission shall indicate the specific reasons why Bidder is disqualified. Such decision is a final administrative action. If a Bidder wishes to discuss this decision, the Bidder may request a meeting with the appropriate PIER subject area lead or designee, regarding why Bidder believes it should be considered eligible for a contract award.

(2) If the Commission determines that the Bidder is eligible to compete for an award under the CNS, the Commission shall notify Bidder that it is eligible to receive an award under the CNS and it may submit the first Discussion Proposal.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2115. Discussion Proposal Procedures.

(a) The Commission may include in the CNS an option or a requirement to submit one or more Discussion Proposals.

(b) Each Discussion Proposal shall employ an identical process outlined in this section.

(c) If a Notice of Intention to Bid is used, only those Bidders who are not disqualified after the Notice of Intention to Bid are eligible to submit a Discussion Proposal.

(d) Upon receipt of a Discussion Proposal, the Commission shall evaluate the Discussion Proposal for responsiveness to the CNS and the specific criteria detailed in the CNS. Discussion Proposals shall not be given a numerical score.

(e) The Commission shall schedule a Confidential Meeting with each Bidder.

(f) The Commission shall prepare a discussion agenda for each Discussion Proposal and shall send it to Bidder before the Confidential Meeting. The discussion agenda shall correspond to the criteria in the CNS, and note where the Discussion Proposal is not responsive to the requirements in the CNS and where the Discussion Proposal can be improved.

(g) The purposes of the Confidential Meeting are to ensure that the Bidder's Final Proposal will be responsive to the CNS and to give the parties an opportunity to negotiate the content of the Discussion Proposal.

(h) Oral statements by either party during any portion of the Discussion Proposal process shall not obligate either party.

(i) After the Confidential Meeting, the Commission shall send a response to each Bidder who participated in the Confidential Meeting:

(1) The response may take the form of a Discussion Memorandum, which memorializes agreements negotiated by the parties. The content of the Discussion Memorandum is binding on the Bidder. If the Bidder believes there is a discrepancy between the Discussion Memorandum and the content of the Confidential Meeting, the Bidder may request the Commission to change the Discussion Memorandum, which may be changed in the Commission's sole discretion.

(2) If it appears that the Discussion Proposal cannot be restructured or changed in a reasonable time in order to become responsive to the CNS or fulfill the CNS criteria, and that further discussion would not likely result in an acceptable Final Proposal, the response shall detail why the Commission believes that Bidder is non-responsive to the CNS and is unlikely to receive an award. In such case, the Commission shall not accept any further Discussion Proposals or negotiations.

(j) The CNS shall list date and time deadlines for each Discussion Proposal and requests for change of the Discussion Memorandum. The Commission may change these deadlines by notification to Bidders.

(k) The Commission shall not accept protests for Discussion Proposals. Only Bidders who have submitted a Final Proposal and who are not awarded a contract are eligible to file an protest pursuant to Section 2121.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2116. Discussion Proposals: Content.

(a) The purposes of a Discussion Proposal are to provide Bidder an opportunity for the Commission to identify any faulty or nonresponsive aspect of the Discussion Proposal and an opportunity for the parties to negotiate the contents of the Discussion Proposal.

(b) Each Discussion Proposal shall include, at a minimum, the following:

(1) If a Notice of Intention to Bid was not used, the Discussion Proposal shall identify how the Discussion Proposal will meet the requirements of the CNS;

(2) If a Notice of Intention to Bid was not used, the Discussion Proposal shall identify Bidder team that will participate in Confidential Meetings;

(3) If a Notice of Intention to Bid was not used, the Discussion Proposal shall include a confidentiality statement, the form of which shall be provided in the CNS, regarding use of confidential information during the CNS process;

(4) List of confidential documents, the form of which shall be provided in the CNS, with existing confidential documents, data or intellectual property, and anticipated confidential deliverables or work product;

(5) Costs and complete budget.

(c) The CNS shall state any other requirements of the Discussion Proposal. These requirements may include, without limitation, the following:

(1) Bidder's general qualifications;

(2) Bidder's technical qualifications;

(3) Financial measures such as net present value of proposed project;

(4) Capabilities of Bidder team as related to scope of work detailed in the CNS;

(5) Proof of financial ability to perform an awarded contract, including without limitation, financial statements, credit rating, liquidity ratios, equity ratio, equity rating and previous bankruptcy of Bidder, if any. If Bidder wants financial statements to be kept confidential, Bidder must make a request for confidentiality pursuant to Title 20, California Code of Regulations, section 2501 et. seq. (See section 2125 regarding confidentiality requests.)

(6) Proposal goals;

(7) Proposal technical objectives;

(8) Proposal economic objectives;

(9) Matching funds amount and source, and date when matching funds become available;

(10) Contingency plan for loss of matching funds;

(11) Evidence of compliance with state contract requirements such as Disabled Veterans Business Enterprise, or evidence of current progress toward meeting compliance with state contract requirements;

(12) Complete work statement;

(13) Schedule with milestones of project tasks from start to end;

(14) List of anticipated deliverables, including monthly progress reports and final report;

(15) Identification of preexisting intellectual property held by Bidder;

(16) Letters of support or reference;

(17) Projection of when royalty repayment would begin, if any;

(18) Commercialization plan for market adoption of technology.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2117. Final Proposal.

(a) All Bidders are required to submit a Final Proposal to be eligible to receive a contract award;

(b) The CNS shall list the date and time deadline for the Final Proposal. The Commission may change this deadline by notification to Bidders;

(c) The Final Proposal shall include, at a minimum, the following:

(1) All agreements and information noted in the Discussion Memorandum;

(2) Negotiated changes from any and all Discussion Proposals;

(3) Additional information as specified in the CNS;

(4) Evidence of compliance with state contract requirements, such as Disabled Veterans Business Enterprise (DVBE), unless the requirements for DVBE participation have been changed or exempted pursuant to Title 2, California Code of Regulations, section 1896.62(b).

(d) After the deadline for Final Proposals, no further Final Proposals will be accepted.

(e) After the deadline for Final Proposals, no further discussions with the Commission will be permitted, unless such discussion is initiated by the Commission.

(f) The following criteria may be used to score the Final Proposal:

(1) Proposal advances science or technology by providing benefits to California citizens;

(2) Proposal is not adequately addressed by competitive and regulated markets;

(3) Amount of Proposal costs;

(4) Level of public and private benefits compared to Proposal costs to be funded by the PIER program and match funds;

(5) Overall quality of Proposal;

(6) Overall quality of Bidder team;

(7) Likelihood of and timeframe for success of Proposal;

(8) Technical, market and financial risks of Proposal;

(9) Whether Bidder incorporated negotiated changes from any and all Discussion Proposals.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2118. Evaluation and Selection Process.

(a) During the evaluations of Discussion Proposals and during the scoring and selection of Final Proposals, the Commission may:

(1) Require Bidders to answer specific questions orally or in writing;

(2) Require a demonstration of the Bidder's response to specific requirements in order to verify the claims made in the Proposal;

(3) Visit a Bidder's business or plant site in order to fully evaluate the Proposal.

(b) The Discussion Proposals will not receive evaluation scores. Final Proposals will be formally scored for contract award purposes;

(c) Final Proposals shall be scored according to the procedures and standards as specified in the CNS by a minimum of three scorers chosen by the Commission;

(d) Final selection will be among the Final Proposals that are responsive to the CNS requirements.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2119. Proposed Awards of Contracts.

After scoring final Proposals, a rank order for each Final Proposal will be assigned and recommendations made to the Research, Development & Demonstration (RD&D) Committee for proposed contract awards based on the highest scored Final Proposals. The RD&D Committee will make its proposed recommendation and post a notice of proposed awards. There is no guarantee that any of the Bidders will receive contract awards. After the proposed contracts have been signed by the Bidders, the Commission will consider final approval of each contract at a publicly noticed Commission business meeting. More than one contract may be awarded by the Commission at that time.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2120. Debriefing.

(a) The Commission may provide debriefing information and/or hold a debriefing conference after contract award at the request of any unsuccessful Bidder for the purpose of receiving specific information concerning the selection of Bidders.

(b) Debriefing is not the forum to challenge the CNS specifications or requirements, or challenge a contract award. See section 2121 for contract award protest procedures.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2121. Award Protest.

(a) Contracts shall be awarded only after a notice of proposed awards has been posted at the Commission for five working days;

(b) If, during the five working days after the notice of proposed awards, any Bidder who submitted a Final Proposal files a protest with the Commission and with the Department of General Services, Office of Legal Services (DGS-OLS), the contract(s) shall not be awarded until either the protest has been withdrawn or the protest has been resolved as described in this section. Protests shall be submitted to the following:

(1) CHIEF COUNSEL
DEPARTMENT OF GENERAL SERVICES, OFFICE OF LEGAL SERVICES
1325 J STREET, SUITE 1911
SACRAMENTO, CA 95814 [**SEE NOTE BELOW***]; and

(2) CONTRACTS OFFICE, MS-18
CALIFORNIA ENERGY COMMISSION
1516 9TH STREET
SACRAMENTO, CA 95814

(c) Within five working days after filing the protest, the protesting Bidder shall file with DGS-OLS, and with the Commission, a full and complete written statement specifying the grounds for the protest;

(d) The grounds for filing a protest shall be limited to allegations that the Commission failed to properly follow the evaluation process detailed in the CNS, or in section 2118 or section 2124 of these regulations;

(e) When a protest is filed, DGS-OLS shall notify those Bidders who were awarded contracts, and give them an opportunity to rebut the protest. Written rebuttal arguments shall be submitted to DGS-OLS and the Commission within 10 days from the date of the notification;

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* [**NOTE**: As of November 2000, Department of General Services, Office of Legal Services, is at a new address: 707 Third Street, Suite 7-330, West Sacramento, CA 95605.]

(f) DGS-OLS shall have the discretion whether to consider the protest and rebuttals based on written submissions alone, or written submissions and oral argument;

(g) DGS-OLS shall make findings and a recommended decision within:

(1) 30 days after oral arguments, if any; or

(2) 30 days after the due date for rebuttal arguments if there are no oral arguments;

(h) The Commission shall either approve or disapprove the recommended finding at the next possible publicly noticed Commission business meeting.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2122. Modification or Withdrawal of Submittals.

Bidders may withdraw or modify a Notice of Intention to Bid or Proposal at any time before the date and time deadline specified in the CNS, by submitting a written request to withdraw or modify to the Commission.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2123. Right to Modify CNS, Cancel CNS or Reject Proposals.

The Commission reserves the right to modify any CNS as needed or to cancel any CNS. The Commission also reserves the right to reject any or all Proposals.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2124. Grounds to Reject Proposals.

(a) The Commission shall reject any Proposal (Discussion Proposal or Final Proposal) upon the occurrence of any of the following, without limitation.

(1) Any Proposal is received past the scheduled date and time deadline; or

(2) Any Proposal is labeled as confidential in its entirety; or

(3) Any Proposal contains false or misleading information, if in the opinion of the Commission, such information was submitted intentionally to mislead the Commission in its evaluation of the Proposal.

(b) The Commission shall also reject a Final Proposal upon the occurrence of any of the following, without limitation

(1) A Final Proposal is not responsive to Disabled Veteran Business Enterprise program requirements or any other state contracting requirement; or

(2) A Final Proposal does not contain a properly executed Certification Clauses Package; or

(3) A Final Proposal is not signed on the application form included in the CNS; or

(4) A Final Proposal does not meet the eligibility, completeness and feasibility criteria specified in the CNS; or

(5) A Final Proposal does not meet the minimum passing score if a minimum score is required in the CNS; or

(6) A Final Proposal contains a conflict of interest pursuant to Public Contract Code section 10410, 10411 or 10365.5.

(c) The Commission may reject any Proposal (Discussion Proposal or Final Proposal) upon the occurrence of any of the following, without limitation:

(1) Any Proposal contains false or misleading information, if in the opinion of the Commission, such information was not submitted intentionally to mislead the Commission in its evaluation of the Proposal; or

(2) Any Proposal does not comply with or contains caveats that conflict with the CNS; or

(3) Any Proposal contains multiple projects within a single Proposal; or

(4) Any Proposal is not prepared in the required format described in the CNS.

(d) If a Discussion Proposal is rejected for any of the grounds listed in subdivision (a) or (c), the Bidder shall be notified that the Discussion Proposal is not responsive to the CNS and Bidder is unlikely to receive an award. The decision regarding a Discussion Proposal is not immediately reviewable.

(e) If a Final Proposal is rejected for any of the grounds listed in subdivision (a), (b), or (c), the Bidder shall be notified that it will not receive a contract award. If Bidders wish to dispute this decision, Bidders may file a protest pursuant to Section 2121.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2125. Confidential Information.

(a) The Commission shall not accept or retain any Proposal labeled as confidential in its entirety;

(b) All Proposals and materials submitted with Proposals shall be kept confidential until the notice of proposed contract awards is posted;

(c) All Proposals and materials submitted with Proposals become a public record after the notice of proposed contract awards is posted;

(d) If a Bidder believes certain confidential or proprietary information is necessary for the evaluation of a Proposal, the Bidder may submit the information in a separate volume marked confidential with a request to keep such information confidential pursuant to Title 20, California Code of Regulations, section 2501-2505.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2126. Correction of Errors in CNS.

If any CNS contains an error known to a Bidder, or an error that reasonably should have been known, the Bidder submits Proposals at its own risk. If a Bidder discovers any errors, conflicts or omissions in any CNS, the Bidder shall immediately notify the Commission in writing and request modification or clarification of the CNS.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2127. Contract Terms and Conditions.

Standard contract terms and conditions shall be included with the CNS. No agreement between the Commission and a successful Bidder is in effect until a contract has been signed by both parties and approved by the Department of General Services, Office of Legal Services.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2128. Bidder's Proposal Preparation Costs.

The cost of developing and submitting a Notice of Intention to Bid or Proposal is the Bidders' responsibility and cannot be charged to the Commission or the state of California.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2129. Disposition of Proposals.

The Commission shall exercise control over the circulation of all Proposals submitted pursuant to the CNS. All Proposals and materials submitted with Proposals shall become the property of the state of California. After posting of the notice of proposed contract awards, all Proposals, materials submitted with Proposals, evaluation sheets and scoring sheets shall become public records, except confidential materials, which are handled pursuant to Title 20 California Code of Regulations, sections 2501-2505.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2130. Immaterial Deviations in Proposal.

The Commission may waive any immaterial defect or deviation in any Proposal. Such waiver shall not excuse a successful Bidder from full compliance.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2131. Audits.

Contracts awarded under any CNS will be subject to audit by the Bureau of State Audits and the Commission or its representative at any time during the duration of the contract, but no more frequently than once every twelve months. In addition, financial information submitted prior to contract award is subject to audit.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2132. Joint Bids.

Bidders may submit a joint proposal, if the Commission indicates in the CNS that such proposals will be permitted. In such case, the contract may be awarded as one indivisible, multi-party contract.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2133. Bidder Responsibility.

Prior to award of the contract, the Commission must be assured that the Bidder selected has all of the resources to successfully perform under the contract. This includes without limitation, personnel in the numbers and with the skills required, equipment of appropriate type and in sufficient quantity, and financial resources sufficient to complete performance under the contract and experience in similar endeavors.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

§ 2134. Additional Procedures.

Additional procedures for administering these regulations and conducting a CNS may be identified in each CNS and/or a Commission instruction manual.

Note: Authority cited: Sections 25218(e) and 25620.2(c), Public Resources Code. Reference: Section 25620.5, Public Resources Code.

Chapter 6. Environmental Protection

Article 1. Implementation of the California Environmental Quality Act of 1970

§ 2300. Authority.

Note: Authority cited: Sections 21082, 25213 and 25218(e), Public Resources Code.
Reference: Sections 21000-21176, 25217, 25519(c) and 25537, Public Resources Code.

§ 2301. Purpose.

These regulations specify the objectives, criteria, and procedures to be followed by the Commission in implementing the California Environmental Quality Act of 1970. (Public Resources Code Sections 21000 et seq.) ("CEQA"). These regulations should be read in conjunction with the State EIR Guidelines, as they are supplemental to and not repetitive of the Guidelines.

Note: Authority cited: Sections 21082 and 25213, Public Resources Code. Reference: Section 21082, Public Resources Code.

§ 2302. Definitions.

Terms issued in these regulations, unless otherwise defined, shall have the meaning ascribed to them in the State EIR Guidelines. In addition, the following definitions are used:

(a) Environmental Documents. "Environmental documents" mean draft and final Environmental Impacts Reports (EIRs), Initial Studies, Draft and Final Negative Declarations, Notices of Preparation, Notices of Determination, Notices of Exemption, Statements of Findings and Overriding Considerations, and the environmental manual.

(b) Environmental Manual. "Environmental manual" means a Commission-approved manual which details internal procedures for the preparation and review of environmental documents.

(c) State EIR Guidelines. "State EIR Guidelines" means the Guidelines for Implementation of the California Environmental Quality Act of 1970 by the Secretary for Resources (Div. 6, Title 14, Cal. Adm. Code, Sections 15000, et seq. with Appendices).

Note: Authority cited: Sections 21082 and 25213, Public Resources Code. Reference: Section 21082, Public Resources Code.

§ 2303. General Responsibilities.

(a) Implementation of CEQA. Details for the implementation of the various environmental review procedures are set forth in the environmental manual.

(b) Contracted Documents. Where the Commission contracts with another person or agency to prepare environmental documents, the Commission retains responsibility for the adequacy, content, and objectivity of the environmental document.

(c) Availability of Environmental Documents. All environmental documents prepared by the Commission shall be available for public inspection upon request during normal Commission working hours at 1516 Ninth Street, Sacramento, other Commission field offices, or may be requested through the publications office. Copies shall be made available to the general public who may be charged an amount not in excess of the actual cost of reproducing such copies.

(d) Retention and Availability of Environmental Comments. Comments received through the consultation process shall be retained in the files of the Commission for one year from the date of final action on the document and shall be available for public inspection at an

address provided in the final EIR. Comments which may be received independently of the review of the draft EIR shall also be considered and kept on file.

Note: Authority cited: Sections 21082 and 25213, Public Resources Code. Reference: Sections 21082, 21082.1, 21100 and 21105, Public Resources Code; and 14 California Administration Code Section 15166.

§ 2304. Activities Not Requiring an Initial Study.

(a) Whenever the executive director and general counsel determine, based upon the review by the Commission staff, that a formal Initial Study is not required pursuant to this section, this determination and the reasons therefore shall be presented to the Commission for its concurrence. If the Commission concurs, no formal Initial Study, Negative Declaration, or EIR is required.

(b) Whenever an activity determined exempt from a formal Initial Study is approved by the Commission, the Commission shall file a Notice of Exemption with the Secretary for Resources.

Note: Authority cited: Sections 21082 and 25213, Public Resources Code. Reference: Sections 21080.1 and 21108(b), Public Resources Code.

§ 2305. Initial Study.

Where an Initial Study is necessary, it will be available for public access and inspection either in the Negative Declaration or incorporated into a draft EIR, depending upon its findings on significant effect.

Note: Authority cited: Sections 21082 and 25213, Public Resources Code. Reference: Section 21105, Public Resources Code.

§ 2306. Negative Declaration.

Where a Negative Declaration is prepared, its completion and availability shall be announced in one or more newspapers of general circulation chosen on the basis of providing the most effective public notice.

Note: Authority cited: Sections 21082 and 25213, Public Resources Code. Reference: Section 21092, Public Resources Code.

§ 2307. EIR Preparation and Procedure.

(a) Hearings. The decision regarding the need for public hearings on a draft EIR shall be based upon the amount of public interest in the environmental impacts of the proposed activity and any other considerations which the Commission finds are compelling. It is the policy of the Commission that reasonable doubts concerning the appropriateness of public hearings shall be resolved in favor of holding such hearings. A decision not to hold such hearings shall be in writing including the reasons supporting the decision and shall be included in the Commission's record of decision on the activity.

(b) Duration of Comment Period. The executive director, at the time of certifying a draft EIR for public review, shall specify the length of the public review period after considering the complexities of the proposed project and the anticipated needs of the public. The executive director shall provide a minimum of 45 calendar days between the release of the draft EIR and the final receipt of comments. Any person may request that the executive director grant an extension of the comment and review period prior to termination of the original specified time period. Upon a showing of reasonable need, the executive director may grant such extensions. Any request to extend the comment and review period beyond 90 days or a request submitted after expiration of the original review period shall document unusual or extenuating circumstances; if such conditions are found to exist, such requests may be granted.

(c) Forwarding of Final EIR Copies. To the extent feasible, copies of the final EIR shall be forwarded to all persons, agencies, or organizations requesting such copies.

Note: Authority cited: Sections 21082 and 25213, Public Resources Code. Reference: Sections 21100 and 21105, Public Resources Code; and 14 California Administration Code Sections 15160, 15164 and 15165.

§ 2308. Fees for EIR or Negative Declaration Expenses.

The executive director shall charge and collect a reasonable fee from any person proposing a project subject to CEQA to cover the estimated actual cost of preparing a Negative Declaration or an EIR. The deposit shall not be in excess of three percent (3%) of the estimated capital cost of the proposed project.

(a) The Commission staff shall separately account for the deposit collected and the charges thereto. The status of the account shall be provided to the project proponent at regular intervals established by mutual agreement. The executive director shall request additional deposits if the initial deposit has been exhausted. A final accounting shall be rendered by the Commission staff after the final EIR or Negative Declaration has been certified or adopted.

(b) If in the final accounting the deposits exceed the actual costs incurred by the Commission, the excess shall be refunded. If the actual costs exceed the amount of the deposits, the project proponent shall be billed for the difference.

(c) The executive director may adjust or waive deposits for minor projects. For projects with an estimated capital cost of more than $1,000,000, the executive director shall permit payment of the deposit in increments.

(d) The executive director should collect the deposit prior to the preparation of environmental documents and no final EIRs or Negative Declarations shall be certified until the project proponent has reimbursed the Commission for the costs of preparing and processing them.

(e) Where a staged EIR is prepared the executive director shall collect a deposit sufficient to cover the expenses of each stage of the EIR before each stage is commenced. Such deposits shall be accounted for in the manner described in subsection (a) of this section, and a final accounting shall be rendered upon completion of each stage of the EIR at the request of the project proponent.

Note: Authority cited: Sections 21082 and 25213, Public Resources Code. Reference: Section 21089, Public Resources Code.

§ 2309. Review of Environmental Documents of Other Lead Agencies.

When the Commission is a Responsible Agency for a project, and approves or determines to carry out a project for which an EIR or Negative Declaration has been prepared by the Lead Agency, it shall file a Notice of Determination.

(b) The executive director shall approve all comments to environmental documents prepared by the Commission staff pursuant to this section before such comments are submitted to the State Clearinghouse or the Lead Agency.

Note: Authority cited: Sections 21082 and 25213, Public Resources Code. Reference: Sections 21108(a) and 25404, Public Resources Code; and 14 California Administration Code Section 15085.5(i).

§ 2310. Certified/Exempt Regulatory Programs. (Reserved)

Chapter 7. Administration

Article 1. Conflict of Interest Code

§ 2401. General Provisions.

The Political Reform Act, Government Code Sections 81000, et seq., requires state and local government agencies to adopt and promulgate Conflict of Interest Codes. The Fair Political Practices Commission has adopted a regulation, 2 Cal. Code of Regulations Section 18730, which contains the terms of a standard model Conflict of Interest Code, which can be incorporated by reference, and which may be amended by the Fair Political Practices Commission to conform to amendments in the Political Reform Act after public notice and hearings. Therefore, the terms of 2 Cal. Code of Regulations Section 18730 and any amendments to it duly adopted by the Fair Political Practices Commission along with the attached Appendix in which officials and employees are designated and disclosure categories are set forth, are hereby incorporated by reference and constitute the Conflict of Interest Code of the State Energy Resources Conservation and Development Commission. Designated employees shall file their statements of economic interests with the State Energy Resources Conservation and Development Commission who will make the statements available for public inspection and reproduction. (Gov. Code Section 81008). Upon receipt of the statement for the Executive Director, the agency will make and retain a copy and forward the original statement to the Fair Political Practices Commission. Statements for all other designated employees will be retained by the agency.

Note: Authority cited: Section 87300, Government Code. Reference: Section 87300, Government Code.

§ 2402. Appendix.

(a) Designated Positions	*Disclosure Categories*
COMMISSIONERS' OFFICES	
Commissioner, State Energy Resources Conservation and Development Commission	*
Special Advisor to a Commissioner, CEA Level I	1
Advisor to the Commissioner	1
Committee Liaison (any CEC Classification)	1
Consultant	10
OFFICE OF EXECUTIVE DIRECTOR	
Executive Director	1
Chief Deputy Executive Director, CEA Level 4	1
Assistant Executive Director, CEA (any level)	1
Information Officer I (Specialist)	7,9
Graphic Designer	9
Consultant	10
Energy Program Specialist III (Forecasting)	1
Interjurisdictional Exchange (any office or division)	1
Staff Information System Analyst (Supervisor)	2,3
Associate Information System Analyst (Specialist)	3
Staff Services Manager I	2,7
Special Projects (Any CEC classification)	1
Research Specialist III (Economics)	1
OFFICE OF CHIEF COUNSEL	
Chief Counsel, CEA Level 4	1
Assistant Chief Counsel	1
Staff Counsel III (Specialist)	1
Staff Counsel	1
Consultant	10
OFFICE OF HEARING ADVISERS	
Chief Hearing Adviser	1
Hearing Adviser II	5,6,8
Hearing Adviser I	5,6,8
OFFICE OF THE PUBLIC ADVISER	
Public Adviser	1
Associate Public Adviser	1
HUMAN RESOURCES AND SUPPORT SERVICES BRANCH	
Business Services Assistant	2
Business Services Officer (any level)	2
Staff Services Manager III	2

INFORMATION TECHNOLOGY SERVICES BRANCH
Information Systems Analyst (Assistant, Associate, Staff, and Senior) 3
Data Processing Manager III 3
Staff Programmer Analyst 3
Consultant 3

FINANCIAL SERVICES BRANCH
Staff Services Manager III 1

ENERGY EFFICIENCY AND DEMAND ANALYSIS DIVISION
Deputy Director, CEA Level 3 1
Officer Manager II 2,4,7,9
Officer Manager I 2,4,7,9
Energy Commission Supervisor II 7
Energy Commission Specialist III 7
Energy Commission Specialist II 7
Energy Commission Specialist I 7
Associate Energy Specialist 7
Senior Mechanical Engineer 4,7
Mechanical Engineer 4,7
Associate Mechanical Engineer 7
Staff Information System Analyst (Specialist) 3
Consultant 10

SYSTEMS ASSESSMENT AND FACILITIES SITING DIVISION
Deputy Director, CEA Level 3 1
Officer Manager II 1
Officer Manager I 1
Health and Safety Program Specialist III 5,6,8
Health and Safety Program Specialist II 5,6,8
Health and Safety Program Specialist I 5,6,8
Planner III - Energy Facilities Siting 5,6,7,8
Planner II - Energy Facilities Siting 5,6,7,8
Planner I - Energy Facilities Siting 5,6,7,8
Electric Transmission Systems Program Specialist III 5,6,8
Electric Transmission Systems Program Specialist II 5,6,8
Electric Transmission Systems Program Specialist I 5,6,8
Energy Commission Specialist III 5,6,8
Energy Commission Specialist II 5,6,8
Energy Commission Specialist I 5,6,8
Staff Toxicologist 5,6,8
Senior Civil Engineer 5,6,8
Associate Civil Engineer 5,6,8
Senior Electrical Engineer 5,6,8
Associate Electrical Engineer 5,6,8
Supervising Mechanical Engineer 5,6,8
Senior Mechanical Engineer 5,6,8
Mechanical Engineer 5,6,8
Associate Mechanical Engineer 5,6,8
Supervising Engineering Geologist 5,6,8
Senior Engineering Geologist 5,6,8

Associate Engineering Geologist 5,6,8
Electric Generation Systems Program Specialist III 5,6,8
Electric Generation Systems Program Specialist II 5,6
Electric Generation Systems Program Specialist I 5,6
Electric Generation Systems Specialists III 5,6
Electric Generation Systems Specialists II 5,6
Electric Generation Systems Specialists I 5,6
Energy Commission Supervisor II 5,6
Associate Energy Specialist 5,6
Associate Information System Analyst (Specialist) 3
Consultant 10

TECHNOLOGY SYSTEMS DIVISION
Deputy Director, CEA Level 3 1
Deputy Division Chief 1
Officer Manager II 1
Officer Manager I 1
Energy Commission Supervisor II 5,6,7,9
Energy Commission Specialist III 5,6,7,8
Energy Commission Specialist II 5,6,7,9
Energy Commission Specialist I 5,6,7
Associate Energy Specialist 5,6,7
Associate Geologist 5,6,7
Associate Mechanical Engineer 5,6,7
Senior Mechanical Engineer 5,6,7
Mechanical Engineer 5,6,7
Associate Electrical Engineer 5,6,7
Electric Generation Systems Program Specialist I 5,6,7
Assistant Information System Analyst (Specialist) 3
Consultant 10

TRANSPORTATION ENERGY DIVISION
Deputy Director, CEA Level 3 1
Office Manager I 2,3,6,7
Energy Commission Supervisor II 6,7
Energy Commission Supervisor I 6,7
Energy Commission Specialist III 6,7
Energy Commission Specialist II 6,7
Energy Commission Specialist I 6,7
Associate Automobile Equipment Standards Engineer 6,7
Associate Mechanical Engineer 6,7
Associate Energy Specialist 6,7
Associate Electrical Engineer 6,7
Mechanical Engineer 6,7
Assistant Information System Analyst (Specialist) 3
Consultant 10

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* The disclosure obligation of officials holding the designated positions above is specifically set forth by statute. See Government Code Section 87200 et seq. Therefore, they are designated in this Conflict of Interest Code solely for the purpose of disqualification.

(b) Disclosure Categories

For purposes of the following categories, "business entity" means any organization or enterprise operated for profit, including but not limited to a proprietorship, partnership, firm, business trust, joint venture, syndicate, corporation or association. "Business position" refers to status as a director, officer, partner, trustee, employee, or holder of a position of management in any business entity.

Category 1

Designated officials and employees assigned to this category must report all sources of income, including gifts, loans, and travel payments, interests in real property, and investments and business positions in business entities.

Category 2

Designated employees assigned to this category must report all income, including gifts, loans, and travel payments, from, and investments and business positions in, business entities that provide services, supplies, materials, machinery, or equipment of the type purchased, leased, or obtained by contract by the California Energy Commission for use by the Commission, its members, employees, or consultants.

Category 3

Designated employees assigned to this category must report all income, including gifts, loans, and travel payments, from, and investments and business positions in, business entities that manufacture, sell, distribute, or otherwise provide computers, computer hardware, computer software, computer services, computer models, or computer-related supplies, materials, machinery, or equipment of the type utilized by the Commission.

Category 4

Designated employees assigned to this category must report all income, including gifts, loans, and travel payments, from, and investments and business positions in, business entities engaged in the design, manufacture, sale, distribution, assessment, calibration, evaluation, or testing of any appliance, equipment, product, program, service, or structure required to be approved by or to meet standards set by the California Energy Commission.

Category 5

Designated employees assigned to this category must report all income, including gifts, loans, and travel payments, from, and investments and business positions in, business entities that engage in the design, development, construction, sale, or the acquisition of facilities that generate electricity.

Category 6

Designated employees assigned to this category must report all income, including gifts, loans, and travel payments, from, and investments and business positions in, business entities that are energy consultants, research firms, or engineering firms, or entities that design, build,

manufacture, sell, distribute, or service equipment of the type that is utilized by electric power suppliers.

Category 7

Designated employees assigned to this category must report all income, including gifts, loans, and travel payments, from, and investments and business positions in, business entities of the type that have applied for or received any loan or grant from the California Energy Commission.

Category 8

Designated employees assigned to this category must report all interests in real property located within the state of California and zoned or used primarily for industrial or commercial purposes.

Category 9

Designated employees assigned to this category must report all income, including gifts, loans, and travel payments, from, and investments and business positions in, business entities of the type that have contracted with the Commission to provide services related to the design, editing, production, drafting, artwork, printing, publication, or distribution of a Commission document.

Category 10

Consultants shall be included in the list of designated employees and shall disclose pursuant to the broadest disclosure category in the code subject to the following limitation:

The executive director may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements in this section. Such written determination shall include a description of the consultant's duties and, based upon that description, a statement of the extent of disclosure requirements. The executive director's determination is a public record and shall be retained for public inspection in the same manner and location as this conflict of interest code.

Note: Authority cited: Sections 87300 and 87306, Government Code. Reference: Section 87302, Government Code.

Article 2. Disclosure of Commission Records

§ 2501. Policy.

The California Legislature has declared that access to information concerning the conduct of the people's business is a fundamental and necessary right of every person in this state, and has also recognized that there are sound reasons for protecting privacy. The Commission has adopted these regulations so that members of the public will fully understand and be given the opportunity to exercise their right to inspect and copy Commission records with the least possible delay and expense, and so that legitimate interests in confidentiality will be protected.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code and Section 6253(a), Government Code. Reference: Sections 6250 and 6254, Government Code and Sections 25223 and 25321, Public Resources Code.

§ 2502. Scope.

This Article applies to inspection and copying of all records. It applies to any person making any request to copy or inspect records. It applies to any request by any person for the Commission to keep a record confidential, including, but not limited to, requests pursuant to Section 25321 of the Public Resources Code.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code, and Section 6253(a), Government Code. Reference: Sections 25223 and 25321, Public Resources Code.

§ 2503. Construction and Definitions.

(a) This Article implements the California Public Records Act (Section 6250 et seq. of the Government Code) and shall be construed in a manner consistent with that Act.

(b) For purposes of this Article the definitions in the California Public Records Act, the definitions in Section 1302 of Article 1 of Chapter 3, the definitions in Section 1341 of Article 2 of Chapter 3, and the following definitions shall apply:

(1) "Private third party" means any person other than a federal, state, regional, or local governmental body or a person under contract to such body.

(2) "Confidential record" means a record that has been determined to be confidential pursuant to Section 2505 or 2506 of this Article.

(3) "Applicant" means a private third party requesting that the Commission keep a record confidential pursuant to Section 2505 of this Article.

(4) "Petitioner" means a person seeking to inspect or copy a confidential record pursuant to Section 2506 of this Article.

(5) "Petition" means a request from a petitioner seeking to inspect or copy a confidential record, pursuant to Section 2506 of this Article.

(6) "Fuel Price" means fuel cost divided by fuel use expressed in dollars, for a specific fuel type.

(7) "Masked" means, but is not limited to, customer, business, or cultural data that has been modified to limit the risk of disclosure of confidential information. Methods of data modification may include, but are not limited to, suppression of data, rounding, swapping of values between like respondents, replacement of data with group averages, grouping of categories, and addition of random values.

(8) "Large UDC" means any UDC that has experienced a peak demand of 1000 megawatts or more in the each of the two calendar years preceding the applicable filing date.

(9) "Small UDC" means any UDC not included in the definition of Large UDC.

(10) "Large LDC" means any LDC that has delivered 100 billion cubic feet of natural gas per year in each of the two calendar years preceding the applicable filing date.

(11) "Small LDC" means any LDC not included in the definition of Large LDC

(12) "Survey Response" means the answers to survey questions provided by persons or companies.

(13) "Aggregated" means that data is summed, averaged, or otherwise combined to limit the risk of disclosure of confidential information.

(14) "Freedom of Information Act" is contained at Title 5 United States Code Section 552.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code and Section 6253(a), Government Code. Reference: Section 25223, Public Resources Code and Sections 6250 et seq., Government Code.

§ 2504. Inspection and Copying.

(a) This section applies to all records, except records deemed confidential, which are subject to the provisions of Section 2506.

(b) A request to inspect or copy a record shall be made orally or in writing to the Office of Chief Counsel. The Public Adviser will assist persons in requesting records. A request shall describe the record sought in sufficient detail so that it can be identified and found by a Commission employee.

(c) Time and Place. A request to inspect or copy a readily identifiable and available record shall be satisfied within ten days of receipt of the request unless the need to complete processing or filing of the record, the use of the record by another person or a Commission employee, the volume of requests, the unavailability of Commission employees, or other unusual circumstances renders such a response impracticable, in which case the Commission will notify the person making the request of the need for an extension within ten days of the request. Such extension shall not exceed ten working days. All records except records determined to be confidential pursuant to Section 2505 or Section 2506 shall be made available for inspection and copying Monday through Friday, generally between 8 a.m. and 5 p.m at the Commission's offices. The Executive Director shall make reasonable efforts to provide facilities for inspection of records, including a desk for notetaking.

(d) Protection of Records.

Records may be inspected or copied only at Commission offices. The Executive Director may designate a particular place for the public to inspect or copy records. He or she may establish procedures for responding in a fair and orderly manner to numerous requests, including, when strictly necessary to prevent disruption of Commission functions, establishing a specific time each day for inspection and copying. He or she may require a Commission employee to be present at the time of inspection or copying, but such employee shall not

disturb a person inspecting or copying records. Where necessary, copies of records rather than originals may be provided for inspection.

(e) Computer Records.

Inspection and copying of computer records and other records whose form makes inspection or copying difficult or impracticable shall be in a manner determined by the Executive Director. If providing an exact copy is impracticable, some type of copy shall nevertheless be provided.

(f) Copies.

Except for records determined to be confidential pursuant to Section 2505 or Section 2506, copies and certified copies of all records are available to any person for a fee which shall be paid at the time a request is made. The fee for providing a copy or a certified copy shall be no higher than the actual cost of providing the copy, or the prescribed statutory fee, whichever is less.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code and Section 6253(a), Government Code. Reference: Section 25223, Public Resources Code and Section 6253(a), 6256 and 6257, Government Code.

§ 2505. Designation of Confidential Records.

(a) Third Parties.

(1) Any private third party giving custody or ownership of a record to the Commission shall specify if it is to be designated a confidential record and not publicly disclosed. An application for confidential designation shall:

(A) be on a sheet or sheets separate from, but attached to, the record;

(B) specifically indicate those parts of the record that should be kept confidential;

(C) state the length of time the record should be kept confidential, and justification for the length of time;

(D) cite and discuss the provisions of the Public Records Act or other law that allow the Commission to keep the record confidential. If the applicant believes that the record should not be disclosed because it contains trade secrets or its disclosure would otherwise cause loss of a competitive advantage, the application shall also state the specific nature of that advantage and how it would be lost, including the value of the information to the applicant, and the ease or difficulty with which the information could be legitimately acquired or duplicated by others;

(E) state whether the information may be disclosed if it is aggregated with other information or masked to conceal certain portions, and if so the degree of aggregation or masking required. If the information cannot be disclosed even if aggregated or masked, the application shall justify why it cannot;

(F) state how the information is kept confidential by the applicant and whether it has ever been disclosed to a person other than an employee of the applicant, and if so under what circumstances;

(G) contain the following certification executed by the person primarily responsible for preparing the application:

1. "I certify under penalty of perjury that the information contained in this application for confidential designation is true, correct, and complete to the best of my knowledge," and

2. State whether the applicant is a company, firm, partnership, trust, corporation, or other business entity, or an organization or association, and

3. State that the person preparing the request is authorized to make the application and certification on behalf of the entity, organization, or association.

(H) If the record contains information that the applicant has received from another party who has demanded or requested that the applicant maintain the confidentiality of the information, the applicant shall address the items in (A) through (F) of this subsection to the greatest extent possible and shall explain the demand or request made by the original party and the reasons expressed by the original party. If the basis of an application for confidential designation is an order or decision of another public agency pursuant to the Public Records Act or the Freedom of Information Act, the application shall include only a copy of the decision or order and an explanation of its applicability. The Executive Director shall consult with that agency before issuing a determination.

(2) A deficient or incomplete application shall be returned to the applicant with a statement of its defects. The record or records for which confidentiality was requested shall not be disclosed for fourteen days after return of the application to allow a new application to be submitted except as provided in Section 2507(b) of this Article.

(3) Executive Director's Determination.

(A) The Executive Director shall, after consulting with the Chief Counsel, determine if an application for confidential designation should be granted. An application shall be granted if the applicant makes a reasonable claim that the Public Records Act or other provision of law authorizes the Commission to keep the record confidential. The Executive Director's determination shall be in writing and shall be issued no later than thirty days after receipt of a complete application. The Executive Director or the Chief Counsel may, within fourteen days after receipt of an application for confidential designation, require the applicant to submit any information that is missing from the application. If the missing information is not submitted within fourteen days of receipt of the request by the Executive Director or Chief Counsel, the Executive Director may deny the application.

(B) An appeal of a decision to deny the application shall be filed within fourteen days of the Executive Director's decision, and the Commission shall issue a decision on the appeal within four weeks of the filing of the appeal.

(C) After an application or appeal has been denied, the information sought to be designated confidential shall not be available for inspection or copying for a period of fourteen days.

(4) Repeated Applications for Confidential Designation. If an applicant is seeking a confidential designation for information that is substantially similar to information that was previously deemed confidential by the Commission, the new application need only contain a certification, pursuant to Section 2505(a)(1)(G) of this Article. That certification shall state that the information submitted is substantially similar to the previously submitted information and that all the facts and circumstances remain unchanged. An application meeting this criteria will be approved.

(5) Automatic Designation. Information submitted by a private third party shall be designated confidential without an application for confidentiality if the requirements of subsections (a)(5)(A) and (B) of this Section are met. Failure to meet these requirements shall result in the Executive Director returning the submittal to the entity.

(A) The entity submitting the information shall label each individual item of the submittal that is entitled to be designated confidential.

(B) The entity submitting the information shall attest under penalty of perjury, that the information submitted has not been previously released and that it falls within one of the following categories:

1. Information that is derived from energy consumption metering, energy load metering research projects, or energy surveys provided by utilities, natural gas retailers, or electric service providers under Section 1343 or 1344 of Article 2 of Chapter 3, and that is one or more of the following:

a. for the residential customer sector and the commercial customer sector - customer identifiers, energy consumption, and any other information that could allow a third party to uniquely identify a specific respondent;

b. industrial major customer sector - all information;

c. survey design information - all information used to design a survey, stratify billing records, devise a sample scheme, select a sample, sample specific end-users for participation in a survey or a pre-test of a questionnaire or interview form.

2. Energy sales data provided by utilities, natural gas retailers, or electric service providers, under Section 1306 or 1307 of Article 1 of Chapter 3, if the data is at the greatest level of disaggregation required therein.

3. Average commodity energy price data provided by utilities, natural gas retailers, or electric service providers, under Section 1306 or 1307 of Article 1 of Chapter 3, if the data is at the greatest level of disaggregation required therein.

4. Fuel cost data provided for individual electric generators under Section 1304 of Article 1 of Chapter 3.

5. Records of Native American graves, cemeteries, and sacred places maintained by the Native American Heritage Commission.

6. Electric power plant-specific hourly generation data.

7. Electric power plant name, nameplate capacity, voltage at which the power plant is interconnected with a UDC system or transmission grid, address where the power plant is physically located, power plant owner's full legal name and address or longitude and latitude, if power plant is privately owned and its identity as a power plant is not public knowledge, (e.g., backup generator or solar installation at residence or business) under Section 1304 of Article 1 of Chapter 3.

(6) Failure to request confidentiality at the time a record is submitted to the Commission does not waive the right to request confidentiality later; however, once a record has been released to the public, the record can no longer be deemed confidential. Although a record designated as confidential shall remain confidential during the application and appeal process, subject to the provisions of Section 2507(b) of this Article, the application itself is a public document and can be released.

(b) Other Public Entities. When another state or local agency possesses information pertinent to the responsibilities of the Commission that has been designated by that agency as confidential under the Public Records Act, or the Freedom of Information Act, the Commission, the Executive Director, or the Chief Counsel may request and the agency submit the information to the Commission without an application for confidential designation. The Commission shall designate this information confidential.

(c) Commission Generated Information

(1) The Executive Director in consultation with the Chief Counsel, may designate information generated by Commission staff as confidential under the Public Records Act. A confidential designation made in this manner shall be summarized in the agenda for the next Commission Business Meeting. Any private third party or public entity may request to inspect or copy these confidential records by filing a petition pursuant to Section 2506 of this Article.

(2) Contracts and Proposals

(A) Information received by the Commission in response to a solicitation shall be kept confidential by the Commission and its evaluators before posting of the notice of the proposed award. The solicitation document shall specify what confidential information the proposal may contain and how that confidential information will be handled after the posting of the notice of the proposed award.

(B) The Executive Director, in consultation with the Chief Counsel, may designate certain information submitted under a contract as confidential in accordance with the Public Records Act or other provisions of law. The designation and its basis shall be in writing and contained in the contract governing the submittal of the information or in a separate statement. The contract or written statement shall also state exactly what information shall be designated confidential, how long it shall remain confidential, the procedures for handling the information, and all other matters pertinent to the confidential designation of the information.

(3) All data generated by the Commission that is the same type as the data described in Section 2505(a)(5)(B) of this Article shall be kept confidential by the Commission.

(d) All documents designated confidential pursuant to this Section shall be treated as confidential by the Commission except as provided in Section 2507.

(e) Every three months, the Executive Director shall prepare a list of data designated confidential pursuant to this Section during the previous three months. The Executive Director shall give the list to each Commissioner. The list shall also be made available to the public upon request.

Note: Authority cited: Section 25218(e), Public Resources Code; and Section 6253(a), Government Code. Reference: Sections 25223, 25321, and 25364, Public Resources Code.

§ 2506. Petition for Inspection or Copying of Confidential Records.

(a) Form of Petition. A petition for inspection or copying of any confidential record shall be written, and shall be served on the Chief Counsel. It shall state the facts supporting a conclusion that the Commission should disclose the confidential record.

(b) Delegation of Commission Decision to the Chief Counsel.

(1) The decision of the Commission on a petition for inspection or copying of confidential records is delegated to the Chief Counsel.

(2) If the petition is for inspection or copying of a record received from a private third party, a person under contract to the Commission, or another government agency, the Chief Counsel shall, within one day of service of the petition, provide both a copy of the petition to the person or entity that submitted the information and a written request for written approval of release of the record. Any party not wishing to give permission for the record's release may supplement the initial application for confidential designation, if any, or provide any additional information within five working days of the receipt of the request for permission. Failure to respond to the Chief Counsel's request to release the record shall not be deemed consent for release.

(3) The Chief Counsel shall issue a decision on the petition within ten days of its service on the Chief Counsel, unless unusual circumstances renders such a decision impossible, in which case the Commission will notify the petitioner of the need for an extension within ten days of the filing of the petition. Such extension shall not exceed ten working days. Any party may request that the full Commission reconsider the Chief Counsel's decision. Any such request shall be filed within fourteen days of the issuance of the Chief Counsel's decision, and shall be decided by the Commission within four weeks of the filing of the request.

(4) A decision that a record should be disclosed shall ordinarily be effective fourteen days after issuance, although an earlier effective date may be specified in unusual circumstances, consistent with maintaining the opportunity of the person originally submitting the information to prevent its release by requesting reconsideration or appealing the decision to a court of competent jurisdiction. A decision that the record is exempt from disclosure shall be effective immediately.

(c) List of Records Determined to be Confidential. The Executive Director shall maintain a list of records the Commission orders held confidential pursuant to this section. Any petition for to inspect or copy such information shall be deemed denied unless the petitioner alleges changed circumstances which require a reversal of the Commission's previous order. A petition for such information shall be returned to the petitioner with a copy of the Commission's previous

order, a copy of these regulations, and an explanation of the requirement to show changed circumstances. An amended petition may be submitted.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 6253(a), Government Code. Reference: Sections 25223 and 25321, Public Resources Code; and Sections 6250 et seq., Government Code.

§ 2507. Disclosure of Confidential Records.

(a) No confidential record shall be disclosed except as provided by this Section or Section 2506, unless disclosure is ordered by a court of competent jurisdiction.

(b) No record that is the subject of a pending application or appeal shall be disclosed except as provided by this Section or Section 2506 and any request to copy or inspect a document that is the subject of a pending application shall be subject to the requirements of Section 2506.

(c) The Executive Director may disclose records determined confidential pursuant to Section 2505 or Section 2506 to:

(1) Commission employees whose Commission work requires inspection of the records;

(2) Persons under contract to the Commission whose work for the Commission requires inspection of the records and who agree in a contract to keep the records confidential; and

(3) Other governmental bodies and state-created private entities, such as the California Independent System Operator, that need the records to perform their official functions and that agree to keep the records confidential and to disclose the records only to those employees or contractors whose agency work requires inspection of the records.

(4) Data collected in association with customer surveys of the type described in Section 1343 of Article 2 of Chapter 3 and that are not masked or aggregated may be disclosed to the following entities:

(A) Demand side management program administrators, funded through the Energy Efficiency Public Goods Charge (EEPGC) established in Public Utilities Code Section 381(c), which need the survey responses to perform their official functions and that agree to keep the records confidential and to disclose the records only to those employees, and contractors, who need that data for EEPGC program evaluation and planning.

(B) Utilities that opt into collaborative surveys funded by the Commission, or that contribute funds for the implementation of a survey coordinated by the Commission, pursuant to Section 1343(e) of Article 2 of Chapter 3, may have access to that portion of survey responses by customers included within their service area provided they agree to keep the records confidential and to disclose the records only to those employees, and contractors, who need the data for distribution system planning.

(d) The Executive Director may release records designated as confidential if the information has been masked or aggregated to the point necessary to protect confidentiality.

Information described in paragraphs (1)-(4) of this subsection is deemed masked or aggregated to the point necessary to protect confidentiality.

(1) Data provided pursuant to Sections 1306(a)(1) or 1307(a)(1) of Article 1 of Chapter 3 may be disclosed at the following levels of aggregation or higher:

(A) For individual gas retailers or electric service providers, data aggregated at the statewide level by major customer sector;

(B) For the sum of all natural gas retailers or electric service providers, (1) data aggregated at the county level by residential and non-residential groups and (2) data aggregated at the service area, planning area, or statewide levels by major customer sector;

(C) For small UDCs and small LDCs, data aggregated at the service area, planning area, or statewide level by customer sector;

(D) For large UDCs and large LDCs, (1) data aggregated at the county level by residential and non-residential groups and (2) data aggregated at the service area, planning area, or statewide level by customer sector;

(E) For the total sales of the sum of all electric retailers, or the total sales of the sum of all natural gas retailers, data aggregated at the county level by the economic industry groupings used by the California Employment Development Department in its June 2000 Current Employment Statistics survey county reports.

(F) For total consumption by end users (total sales by retailers plus energy generated or produced onsite) data aggregated at the county level by the economic industry groupings used by the California Employment Development Department in its June 2000 Current Employment Statistics survey county reports.

(2) Commodity energy price data provided pursuant to Sections 1306(a)(2) or 1307(a)(2) of Article 1 of Chapter 3 may be disclosed by major customer sector at the following levels of aggregation or higher:

(A) the sum of all non-utility retailers;

(B) the sum of utility retailers; and

(C) the sum of all retailers.

(3) Electric generator fuel cost data provided pursuant to Section 1304(a)(2)(C) and electric generator fuel price data computed from fuel cost and fuel use data reported pursuant to Section 1304(a)(2)(C), may be disclosed if aggregated by fuel type and gas service area or higher, and if the disclosure is made six months after the end of the month for which prices were reported.

(4) Data of the type described in Section 1343 of Chapter 3, Article 2 and collected in association with customer surveys that are begun after December 8, 2000, of this subsection (4) may be disclosed in the following manner:

(A) Residential customer sector and commercial customer sector survey responses from persons or companies may be released after name, address, and other respondent identifiers have been removed, and usage data and responses to specific survey questions that could allow a third party to uniquely identify a respondent have been masked;

(B) Industrial major customer sector responses from companies may not be released. Tabulations of industrial major customer sector survey data may be released only after the data has been aggregated to ensure that information about respondents will not be disclosed.

(e) The Executive Director may release records previously designated as confidential in either of the following circumstances:

(1) upon written permission by all entities who have the right to maintain the information as confidential; or

(2) under any other circumstance where the information is no longer entitled to confidential treatment. In this case, the Executive Director shall provide notice of the Commission's intent to release the information to the entity who originally submitted the information. An appeal of the decision to release the information may be filed with the Commission within fourteen days of this notice. The Commission shall issue a decision on this appeal within four weeks of its filing.

(f) The Executive Director shall consult with the private third party to whom the confidential designation applies about disclosure under subsections (c) and (d) of this Section.

Note: Authority cited: Section 25218(e), Public Resources Code and Section 6253(a), Government Code. Reference: Section 25223, Public Resources Code.

§ 2508. Pending Requests for Confidentiality.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code and Section 6253(a), Government Code. Reference: Sections 25223 and 25231, Public Resources Code.

§ 2509. Security of Confidential Records.

The Executive Director is responsible for maintaining the security of confidential records and records determined by the Commission to be unavailable pursuant to Sections 2505 and 2506.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code and Section 6253(a), Government Code. Reference: Section 25223, Public Resources Code.

§ 2510. Delegation of Authority and Responsibilities.

The Executive Director may delegate any of his or her authorities or responsibilities under this Article to any Division Chief.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code and Section 6253(a), Government Code. Reference: Section 25223, Public Resources Code.

§ 2511. Information Practices Act.

Note: Authority cited: Section 25218(e), Public Resources Code. Reference: Section 25223, Public Resources Code and Section 1798.70, Civil Code.

Article 3. Role of Public Adviser

§ 2551. Application of Article.

This article defines the duties of the public adviser to the State Energy Resources Conservation and Development Commission, which duties are outlined in sections 25222 and 25519 of the Public Resources Code, and any amendments to Division 15 of the Public Resources Code.

Note: Authority cited: Sections 25213, 25218(e) and 25218(f), Public Resources Code. Reference: Sections 25217-25217.5, 25222, 25223 and 25519(g), Public Resources Code.

§ 2552. Definitions.

(a) "Member of the public" means any person, firm, association, organization, partnership, business trust, corporation, or company, and also includes any city, county, public district or agency, state or any department or agency thereof (except for the commission and members of its staff), and the United States or any department or agency thereof.

(b) "Proceeding" means any meeting, hearing, workshop, conference, or visit, of the commission or its staff, at which public attendance is required or permitted.

§ 2553. Overall Duty of the Public Adviser.

The public adviser serves as adviser to the public and to the commission to ensure that full and adequate participation by members of the public is secured in the commission's proceedings. The adviser serves the public and the commission by (1) advising the public how to participate fully in the commission's proceedings, thereby providing the commission with the most comprehensive record feasible in those proceedings; (2) advising the commission on the measures it should employ to assure open consideration and public participation in its proceedings; and (3) taking other measures to comply with sections 25222 and 25519(g) of the Public Resources Code.

§ 2554. The Adviser's Duty to Refrain from Advocating Substantive Positions.

In performing duties to the commission, including those duties discharged by advising the public, the adviser shall not represent any members of the public, nor shall he advocate any substantive position on issues before the commission.

§ 2555. The Adviser's Duty Within the Commission.

(a) Within the commission the adviser shall present recommendations to and requests for documents from line divisions of the commission only through the executive director or the division chiefs. The public adviser shall be given full and ready access to all public records.

(b) In recommending to the commission measures to assure full public participation in the commission's proceedings, the adviser shall render his or her independent advice on commission procedures that in the adviser's view will provide the optimum of public participation to benefit the commission in its work. As part of such advice, the adviser may advocate points of procedure that in the adviser's view will improve public participation in the commission's proceedings.

(c) So that the adviser may ensure that timely and complete notice of commission proceedings is disseminated to members of the public, he or she shall examine all notices of commission proceedings and shall present to the executive director any recommendations for improving the accuracy and timeliness of such notices.

§ 2556. The Adviser's Duties in Advising Members of the Public.

The adviser shall be available to any member of the public with an interest in participating in the commission's proceedings. In advising members of the public on effective means of participating in the commission's proceedings, the adviser shall render his or her independent advice to a member of the public that in the adviser's view will provide the most effective participation of that member. Specifically, the adviser shall:

(a) Respond to all inquiries he or she receives from members of the public for information on the commission's agenda and opportunity for participation in the commission's proceedings.

(b) Respond to all inquiries from members of the public seeking advice on how to participate in the commission's proceedings.

(c) Establish rosters of members of the public who have an interest in the commission's proceedings.

(d) Advise members of the public regarding when an attorney, expert witness, or other professional assistance will be necessary or helpful to their participation.

(e) Upon request, assist members of the public in obtaining access to the public records of the commission, following the procedures established by appropriate regulations.

(f) Refer members of the public to commission staff who can best respond to the inquiries of those members.

(g) Organize the appearances of public participants in the public meetings and hearings of the commission, and formally introduce public participants to the commission.

(h) Suggest consolidation and coordination between and among members of the public with similar interests or views.

(i) Solicit the participation of members of the public whose participation the adviser deems necessary or desirable to complete the record in matters before the commission.

(j) Upon the request of public participants who may be absent from the commission's place of business or proceedings when a matter of interest to them is being considered, neutrally and publicly relate those participants' points to the commission.

(k) When necessary and desirable, guide public participants in their oral presentation to elicit or emphasize the participants' main points.

§ 2557. Additional Duties.

The adviser shall perform such additional duties consistent with Division 15 of the Public Resources Code and these regulations, that the commission may from time to time assign.

Article 4. Requests for Qualifications in the Selection of Professional Services Firms

§ 2560. Definitions.

(a) "Architectural, landscape architectural, engineering, environmental, and land surveying services," and "construction project management" have the respective meanings set forth in Government Code section 4525.

(b) "Commission" means the State Energy Resources Conservation and Development Commission or the Commission's designee authorized to negotiate or contract for architectural, engineering, environmental services, and surveying, or construction project management.

(c) "Firm" has the meaning set forth for that term in section 4525 of the Government Code.

(d) "Small Business Firm" has the meaning set forth in section 14837(c) of the Government Code.

Note: Authority cited: Sections 25213, 25218(b) and 25218(e), Public Resources Code. Reference: Section 25216(c), Public Resources Code; and Sections 4525, 4526, 4526.5, 4527, 4528, 4529 and 4529.5, Government Code.

§ 2561. Publication of Announcement.

(a) The Commission shall publish, either electronically or in print, an announcement for expected architectural, engineering, environmental, land surveying, or construction project management services in the State Contracts Register and, when applicable, in a statewide publication of an appropriate professional society.

(b) The announcement shall include, but not be limited to, the following information: a contract identification number; a brief description of services required; location, and duration; submittal requirements and deadlines; name and telephone number of Commission contact for questions on the publication and for information about receiving the detailed request for qualifications.

(c) Failure of a professional publication to publish, or error by a professional publication in publishing an announcement shall not invalidate that announcement. In such a circumstance, the Commission may extend the announcement deadlines to allow further publication of the announcement.

Note: Authority cited: Sections 25213, 25218(b) and 25218(e), Public Resources Code. Reference: Section 25216(c), Public Resources Code; and Sections 4525, 4526, 4526.5, 4527, 4528, 4529 and 4529.5, Government Code.

§ 2562. Request for Qualifications.

The Commission's request for qualifications shall utilize criteria for each proposed contract which will comprise the basis for the selection and ranking of eligible firms to perform the required services. The criteria shall include, but not be limited to, such factors as professional excellence, demonstrated competence, specialized experience of the firm, education and experience of key personnel, required qualifications, staff capability, workload, ability to meet schedules, principals to be assigned, nature and quality of completed work, reliability and continuity of the firm, location, professional awards and other considerations deemed relevant by the Commission. Such factors shall be weighed by the Commission according to the nature of the project, the needs of the State, and the complexity and special requirements of the specific project.

Note: Authority cited: Sections 25213, 25218(b) and 25218(e), Public Resources Code. Reference: Section 25216(c), Public Resources Code; and Sections 4525, 4526, 4526.5, 4527, 4528, 4529 and 4529.5, Government Code.

§ 2563. Selection of Services.

After expiration of the period stated in the announcement, the Commission shall evaluate responding eligible firms' statements of qualifications based on the established selection criteria. The Commission shall conduct discussions with no less than three firms regarding qualifications and methods for furnishing the required services. From the firms with which discussions are held, the Commission shall select no less than three firms, in order of preference, based upon the established criteria, who are deemed to be the most highly qualified to provide the required services. If a Request for Qualifications results in submissions by less than three qualified firms, the Commission may, at its option, discontinue the selection process, extend the selection process and provide supplemental notice to attract additional firms, or continue the selection process with the submissions received.

Note: Authority cited: Sections 25213, 25218(b) and 25218(e), Public Resources Code. Reference: Section 25216(c), Public Resources Code; and Sections 4525, 4526, 4526.5, 4527, 4528, 4529 and 4529.5, Government Code.

§ 2564. Estimate of Value of Services.

Before conducting discussions with any firm concerning fees, the Commission shall cause an estimate of the value of such services to be prepared. This estimate shall serve as a guide in evaluating fair and reasonable compensation during negotiations. At any time the Commission determines its estimate to be unrealistic due to changing market costs, special conditions, or other relevant considerations, the estimate shall be reevaluated and modified as necessary. The Commission's estimate shall remain confidential until the award of contract or abandonment of any further procedure for the services to which it relates.

Note: Authority cited: Sections 25213, 25218(b) and 25218(e), Public Resources Code. Reference: Section 25216(c), Public Resources Code; and Sections 4525, 4526, 4526.5, 4527, 4528, 4529 and 4529.5, Government Code.

§ 2565. Negotiation.

The Commission, in compliance with Public Contract Code section 6106, shall attempt to negotiate an agreement with the most highly qualified firm. Should the Commission be unable to negotiate a satisfactory contract with the firm considered to be the most qualified at fair and reasonable compensation, negotiations with that firm shall be terminated. The Commission shall then undertake negotiations with the second most qualified firm. Failing accord, negotiations shall be terminated. The Commission shall then undertake negotiations with the third most qualified firm. Failing accord, negotiations shall be terminated. Should the Commission be unable to negotiate a satisfactory contract with any of the first three selected firms, the Commission may select additional firms in the manner described and continue the negotiation procedure or may terminate the negotiation process. The Commission may at any point reopen previously terminated negotiations with a firm.

Note: Authority cited: Sections 25213, 25218(b) and 25218(e), Public Resources Code. Reference: Section 25216(c), Public Resources Code; and Sections 4525, 4526, 4526.5, 4527, 4528, 4529 and 4529.5, Government Code.

§ 2566. Contract Agreement.

(a) After successful negotiations, the Commission and the selected firm shall complete and sign a written contract agreement.

(b) In instances where the Commission effects a necessary change during the course of performance of a contract, the firm's compensation may be adjusted by mutual written agreement in a reasonable amount where the work to be performed by the firm is changed from that previously specified in the contract.

Note: Authority cited: Sections 25213, 25218(b) and 25218(e), Public Resources Code. Reference: Section 25216(c), Public Resources Code; and Sections 4525, 4526, 4526.5, 4527, 4528, 4529 and 4529.5, Government Code.

§ 2567. Contracting in Phases.

Should the Commission determine that it is necessary or desirable that a given project be performed in phases, it will not be necessary to negotiate the total contract price in advance. The Commission shall then contract with the firm it determines is best qualified to perform the whole project at reasonable cost. Such a contract shall contain provisions specifying that the Commission may utilize the firm for other phases and that the firm will accept a fair and reasonable price for subsequent phases to be later negotiated, mutually agreed upon and reflected in a subsequent written instrument. The procedure with regard to estimates and negotiation shall otherwise be applicable.

Note: Authority cited: Sections 25213, 25218(b) and 25218(e), Public Resources Code. Reference: Section 25216(c), Public Resources Code; and Sections 4525, 4526, 4526.5, 4527, 4528, 4529 and 4529.5, Government Code.

§ 2568. Small Business Participants.

The Commission shall endeavor to provide to all small business firms who have indicated an interest in receiving such, a copy of each announcement within the scope of their request. A failure of the Commission to send a copy of an announcement to any firm shall not operate to invalidate any contract.

Note: Authority cited: Sections 25213, 25218(b) and 25218(e), Public Resources Code. Reference: Section 25216(c), Public Resources Code; and Sections 4525, 4526, 4526.5, 4527, 4528, 4529 and 4529.5, Government Code.

§ 2569. Conflict of Interest and Unlawful Activities.

As provided in Government Code section 87100, no Commission employee may participate in the selection process if the employee has a financial interest in any firm seeking a contract subject to this article is related to any person seeking a contract subject to this article.

Any Commission employee who does participate in the selection process and any firm seeking a contract under this article are prohibited from offering, soliciting, or accepting gifts, services, goods, loans, rebates or payments of any kind (such as kickbacks) to or from one another. Except as provided by the terms of the contract, this prohibition extends both to any Commission employee who manages a contract awarded under this article or reviews or approves contractor work products under the contract and to the contracting firm.

Note: Authority cited: Sections 25213, 25218(b) and 25218(e), Public Resources Code. Reference: Section 25216(c), Public Resources Code; and Sections 4525, 4526, 4526.5, 4527, 4528, 4529 and 4529.5, Government Code.

Chapter 8. Tax Credits

Article 1. Solar Electric Tax Credit

§ 2600. General Provisions.

Note: Authority cited: Section 25213, Public Resources Code; and Sections 17052.5 and 23601.5, Revenue and Taxation Code. Reference: Sections 17052.5 and 23601.5, Revenue and Taxation Code.

§ 2601. Definitions.

Note: Authority cited: Section 25213, Public Resources Code; and Sections 17052.5 and 23601.5, Taxation Code. Reference: Sections 17052.5 and 23601.5, Revenue and Taxation Code.

§ 2602. Information Filings.

Note: Authority cited: Section 25213, Public Resources Code; and Sections 17052.5 and 23601.5, Taxation Code. Reference: Sections 17052.5 and 23601.5, Revenue and Taxation Code.

§ 2603. General Safety, Reliability, Durability and Market Readiness Provisions for Solar Systems.

Note: Authority cited: Section 25213, Public Resources Code; and Sections 17052.5 and 23601.5, Taxation Code. Reference: Sections 17052.5 and 23601.5, Revenue and Taxation Code.

§ 2604. Cost Effectiveness.

Note: Authority cited: Section 25213, Public Resources Code; and Sections 17052.5 and 23601.5, Taxation Code. Reference: Sections 17052.5 and 23601.5, Revenue and Taxation Code.

§ 2605. Requirements for Photovoltaic and Solar Thermal Electric Systems of 25 Kilowatts Peak Capacity and Larger.

Note: Authority cited: Section 25213, Public Resources Code; and Sections 17052.5 and 23601.5, Taxation Code. Reference: Sections 17052.5 and 23601.5, Revenue and Taxation Code.

§ 2606. Commission Determination of Eligibility for Solar Systems Larger Than 10 Megawatts Peak Capacity.

Note: Authority cited: Section 25213, Public Resources Code; and Sections 17052.5 and 23601.5, Taxation Code. Reference: Sections 17052.5 and 23601.5, Revenue and Taxation Code.

§ 2607. Provision for Commission Action on Solar Systems and Devices Not Meeting the Requirements of This Article.

Note: Authority cited: Section 25213, Public Resources Code; and Sections 17052.5 and 23601.5, Taxation Code. Reference: Sections 17052.5 and 23601.5, Revenue and Taxation Code

§ 2608. Claims of Exemption.

Note: Authority cited: Sections 25213, 25605, Public Resources Code, and Sections 17052.5(g), 23601(d), Revenue and Taxation Code. Reference: Sections 17052.5, 23601, Revenue and Taxation Code.

Article 2. Conservation Tax Credits

§ 2611. General Provisions.

Note: Authority cited: Section 25213, Public Resources Code; and Sections 17052.8 and 23601.5, revenue and Taxation Code. Reference: Sections 17052.8 and 23601.5, Revenue and Taxation Code.

§ 2612. Definitions and Eligibility Criteria of Energy Conservation Measures.

Note: Authority cited: Section 25213, Public Resources Code; and Sections 17052.8 and 23601.5, revenue and Taxation Code. Reference: Sections 17052.8 and 23601.5, Revenue and Taxation Code.

§ 2613. Energy Conservation Measures for All Premises.

Note: Authority cited: Section 25213, Public Resources Code; and Sections 17052.4 and 23601.5, revenue and Taxation Code. Reference: Sections 17052.4 and 23601.5, Revenue and Taxation Code.

§ 2613.5. Warranty Requirements for Measures Installed in Existing Dwellings.

Note Authority and reference cited: Sections 17052.8(f) and 23601.5(d), Revenue and Taxation Code.

§ 2614. Energy Conservation Measures Installed in Existing Dwellings.

Note Authority cited: Sections 2513, 25218(e) and 25605, Public Resources Code, and Sections 17052.8 and 23601.5, Revenue and Taxation Code. Reference: Sections 17052.8, 23601 and 23601.5, Revenue and Taxation Code.

§ 2615. Additional Energy Conservation Measures for Premises Other Than Dwellings.

Note: Authority cited: Section 25213, Public Resources Code; and Sections 17052.8 and 23601.5, revenue and Taxation Code. Reference: Sections 17052.8 and 23601.5, Revenue and Taxation Code.

§ 2616. Energy Audits and Engineering Feasibility Studies.

Note: Authority cited: Section 25213, Public Resources Code; and Sections 17052.8 and 23601.5, revenue and Taxation Code. Reference: Sections 17052.8 and 23601.5, Revenue and Taxation Code.

§ 2617. Additional Energy Conservation Measures Eligible in New Residential Construction.

Note: Authority and reference cited: Sections 17052.8 and 23601.5, Revenue and Taxation Code.

§ 2618. Energy Conservation Measures for New Dwellings for Which a Building Permit is Issued on or After July 13, 1982.

Note: Authority and reference cited: Sections 17052.8 and 23601.5, Revenue and Taxation Code.

Chapter 9. Solar Energy

Note: Authority cited: Sections 25213, 25218(e) and 25605, Public Resources Code. Reference: Section 25605(a)(1), Public Resources Code.

Chapter 10. Approval of Technical Assistance Providers and Certifiers

Article 1. General Provisions

§ 2800. Purpose of Regulations.

This chapter specifies the criteria and procedures to be followed by the State Energy Resources Conservation and Development Commission in administering the Qualification Program for Certifiers and Technical Assistance Providers under Section 42870 of the Health and Safety Code.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code

§ 2801. Definitions.

In this chapter, unless otherwise indicated, the definitions found in Health and Safety Code section 42801. 1 and the following definitions apply:

(a) "Applicant" means a person submitting an application in response an RFA.

(b) "Applicant Team" means an applicant and all of the applicant's partners designated in one application.

(c) "Certifier" means a person approved by the State as qualified under these regulations to certify the emissions results of Registry Participants.

(d) "Certification Services" means any services performed in the course of determining whether a Registry Participant's greenhouse gas emissions inventory has met a minimum quality standard and complied with registry-approved procedures and protocols for submitting emissions inventory information.

(e) "Commission" means the California State Energy Resources Conservation and Development Commission.

(f) "Firm" means any individual, association, partnership, trust, corporation, company, or other organization.

(g) "General Certifier" means a certifier who certifies greenhouse gas emissions pursuant to the Registry's General Reporting Protocol.

(h) "Industry-Specific Certifier" means a certifier who certifies greenhouse gas emissions pursuant to any of the Registry's Industry-Specific Reporting Protocols.

(i) "Partner" means a person designated as such in an application for qualification as a Certifier or a person with whom the applicant shares staff or financial capability for the purposes of the application.

(j) "Registry" means the California Climate Action Registry.

(k) "Registry Participant" means a participant in the California Climate Action Registry.

(l) "Registry Service Provider" means a Certifier or Technical Assistance Provider.

(m) "Related Entity" means an organization that is related by ownership to a firm, including, but not limited to, a parent company, a holding company, a subsidiary, and a subsidiary of a parent company.

(n) "RFA" means a Request for Applications.

(o) "Technical Assistance Provider" means a firm approved by the State as qualified under this section to provide technical assistance and advice to Registry Participants.

(p) "Work Product" means any product produced for a client under contract.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code.

Article 2. Applications for Technical Assistance Providers

§ 2810. Information Requirements for Applications for Technical Assistance Providers.

(a) Any firm that provides technical assistance or advice to Registry Participants pursuant to Health and Safety Code section 42800 et seq. may be approved by the State. An application for approval shall contain the following:

(1) A cover page listing the applicant's name and address, contact person, contact e-mail, and contact telephone number.

(2) A one-page description of at least two work products delivered under contract to a client that demonstrate the applicant's mastery of one or more of the following topics:

(A) utilizing engineering principles;

(B) estimating greenhouse gas emissions;

(C) developing and evaluating air emissions inventories;

(D) auditing and accounting principles;

(E) auditing environmental responsibility; or

(F) developing greenhouse gas-related software.

(b) Applications shall not contain any confidential information.

(c) All applications, consisting of one original and three copies, shall be delivered in person, by a messenger service, or through the U.S Mail to the California Energy Commission, Climate Change Program, 1516 Ninth Street, Sacramento, CA, 95814 by the deadline identified in the request for applications. Electronic mail or facsimile transmissions will not be accepted. Unless otherwise stated, all submittals and correspondence relating to Technical Assistance Providers shall also be directed to this address.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code

§ 2811. Minimum Requirements for Technical Assistance Providers.

An applicant shall have at least two years of greenhouse gas or other air emissions-related experience in one or more of the following topics:

(a) utilizing engineering principles;

(b) estimating greenhouse gas emissions;

(c) developing and evaluating air emissions inventories;

(d) auditing and accounting principles;

(e) auditing environmental responsibility; or

(f) developing greenhouse gas-related software.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code.

Article 3. Applications for General and Industry-Specific Certifiers

§ 2820. Information Requirements for Applications for General and Industry-Specific Certifiers.

(a) Any firm that certifies a Registry Participant's greenhouse gas emissions inventory pursuant to Health and Safety Code 42800 et seq. must be approved by the State. An application for approval shall contain the following:

(1) A copy of an insurance policy showing that the applicant has a minimum of one million U.S. dollars of professional liability insurance. If the insurance is in the name of a related entity, the applicant shall also describe the financial relationship between the applicant and the related entity and provide documentation supporting the description.

(2) A one-page description of at least three work products produced within the previous five years. These work products shall have been produced, in part or in whole, by the applicant and shall consist of final reports or other materials provided to clients under contract in previous work. For work products that were jointly produced by the applicant and another entity, the role of the applicant in the work product shall be clearly explained. The work products must demonstrate the applicant's ability to organize and manage a team of technical experts to

effectively complete complex work tasks in a timely manner and demonstrate experience in multiple industry sectors for General Certifier applicants, and the relevant industry sector for Industry-Specific Certifier applicants, in each of the following topics:

(A) utilizing engineering principles;

(B) estimating greenhouse gas emissions;

(C) developing and evaluating air emissions inventories; and

(D) auditing and accounting principles.

(3) A cover page listing the applicant's name and address, contact person, contact e-mail, and contact telephone number.

(b) Applications shall not contain any confidential information.

(c) All applications, consisting of one original and six copies, shall be delivered in person, by a messenger service, or through the U.S. Mail to the California Energy Commission, Climate Change Program, 1516 Ninth Street, Sacramento, CA, 95814 by the deadline identified in the request for applications. Electronic mail or facsimile transmissions will not be accepted. Unless otherwise stated, all submittals and correspondence relating to qualifying Certifiers shall also be directed to this address.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code

§ 2821. Minimum Requirements for General Certifiers.

Any firm who certifies a Registry Participant that falls under the Registry's General Reporting Protocol shall meet the following criteria:

(a) Each applicant shall demonstrate knowledge in each of the following topics:

(1) utilizing engineering principles;

(2) estimating greenhouse gas emissions;

(3) developing and evaluating air emissions inventories;

(4) auditing and accounting principles;

(5) the purpose of the Registry and Registry Protocols; and

(6) knowledge of information management systems.

(b) Each applicant shall have at least two years' experience in certification or verification of greenhouse gas or conducting air emissions inventories.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code

§ 2822. Minimum Requirements for Industry-Specific Certifiers.

Any applicant for approval to certify an industry-specific Registry Participant shall meet the following criteria:

(a) Each applicant shall meet all of the requirements in section 2821.

(b) Each applicant, or applicant team, shall employ staff with professional licenses, knowledge, and experience appropriate to the specific industry that it seeks to certify.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code

§ 2823. Partnering.

(a) Additional firms may be used by the applicant to meet any of the criteria identified in Sections 2821 or 2822. These additional firms shall be designated as partners to the applicant.

(b) Each partner shall submit a one-page description of at least one work product. The work product shall have been produced, in part or whole, by the partner and shall consist of a final report or other material provided to clients under contract in previous work. For a work product that was jointly produced by the partner and another entity, the role of the partner in the work product shall be clearly explained. The work product will be taken into consideration when evaluating the sum of experience provided by the applicant team.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code

Article 4. Procedures for Considering Applications for Technical Assistance Providers, General Certifiers, and Industry-Specific Certifiers

§ 2830. Issuance of Request for Applications.

When issuing a Request for Applications, the Commission shall set a deadline for the submission of applications no less than 30 calendar days after the RFA is issued. All applications must be submitted in response to an RFA and must be submitted by the deadline identified in the RFA.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code.

§ 2831. Review of Applications.

(a) The Commission shall review each application to determine its completeness and compliance with the format requirements. The Commission shall then organize an Evaluation Committee to review and score all applications that are complete and comply with the required format.

(b) The Evaluation Committee shall consist of at least three members with at least one member from the Commission and one member from the Registry. Other members may be from other State agencies that have expertise in certification subject areas, as needed.

(c) In order to qualify, each applicant must achieve a passing score for each pass/fail criteria and must achieve a cumulative score of at least 80 percent for the criteria that are quantitatively scored. The evaluation criteria for applications for Certifiers and Technical Assistance Providers are contained in Appendix A and Appendix B, respectively.

(d) Applications meeting the minimum evaluation criteria shall automatically be approved for recommendation to the Registry's Service Provider approval process. For applications that do not meet the minimum required score the Evaluation Committee may conduct interviews with applicants to clarify the applicant's qualifications. Upon completion of the interviews, the Evaluation Committee may make adjustments to the scores and approve or deny the applications accordingly.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code.

§ 2832. Grounds for Rejection of an Application.

(a) An application may be rejected for any of the following reasons:

(1) it is incomplete or is received after the deadline established for receipt of the application;

(2) it contains false or intentionally misleading statements or references which do not support an attribute or condition contended by the applicant;

(3) it is not prepared using the appropriate forms;

(4) it is unsigned; or

(5) it contains any confidential information.

(b) The Commission may waive any immaterial defect or deviation contained in an application. The Commission's waiver shall in no way modify the application requirements or excuse the applicant from substantial compliance.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code.

§ 2833. Modifying an Application.

An applicant may, by letter to the Commission's Contact Person, modify a submitted application prior to the application submission deadline.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code

§ 2834. Notification of the Results of the Evaluation.

The Commission shall notify applicants of the results of the evaluation of their applications by mail no later than 30 working days after the deadline for submission. The Commission shall recommend to the Registry for its Service Provider approval process those applicants that pass the Commission's evaluation process.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code

§ 2835. Appeal of Determination.

If an application receives a failing score in the evaluation process, an applicant may dispute the evaluation by first filing an appeal with the Evaluation Committee within 30 days of receiving the results of the evaluation. The appeal shall consist of written statements explaining how the application meets the criteria and minimum score required. The Evaluation Committee shall grant or deny the appeal within 10 working days. If the applicant is not satisfied with the Evaluation Committee's response, the applicant may file a subsequent appeal with the Commission's Transportation Committee within 10 days of the Evaluation Committee's determination. The Transportation Committee shall consult with the Registry President and issue a decision on the appeal within 30 working days of receipt of the appeal.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code

§ 2836. Document Disposition.

(a) On the submission date, all applications and related material submitted in response to an RFA become the property of the State and public record.

(b) At the conclusion of the evaluation, the original application will be retained in its entirety for at least three years.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code

Article 5. Post-Qualification Changes and Submittal Requirements

§ 2840. Renewal of Approval.

Approval to act as a Registry Service Provider shall expire three years from the date of the notice of approval issued pursuant to section 2834, after which time the Registry Service Provider must re-apply pursuant to Section 2810 or 2820, as appropriate, to maintain approval.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code

§ 2841. Rescission of Approval.

The Commission, in consultation with the Registry, may rescind the approval of a Registry Service Provider for any of the following reasons:

(a) the Registry Service Provider is no longer qualified due to changes in staffing or other criteria;

(b) the Certifier has not complied with the Registry's certification and certifier policies; or

(c) the Registry Service Provider is guilty of:

(1) gross negligence;

(2) inexcusable neglect of duty;

(3) intentional misrepresentation of data or other intentional fraud; or

(4) a felony or misdemeanor involving certification services or moral turpitude.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code

§ 2842. Commission Visits to Registry Participants' Sites.

(a) Prior to any site visit the Commission shall inform the Certifier and Registry Participant in writing of the Commission's intent to make a site visit. At the Commission's request, the Registry Participant shall provide to the Commission prior to a site visit any information provided to the Certifier for the purposes of certification.

(b) During the site visit, the Registry Participant shall provide the Commission or the Commission's contractor with documentation sufficient to ascertain whether the Registry Participant has a program consistent with Registry protocols and the reasonableness of the emissions information being reported for a sample of estimates or calculations. This documentation may include the following:

(1) facility, emission source, stationary source, mobile source, and fuel inventories;

(2) organization chart, greenhouse gas management plan, documentation and retention plan;

(3) training manual, procedures manual, consultant qualifications statement;

(4) any protocols used in addition to Registry protocols;

(5) monthly electric utility bills, and emission factors of electricity use, if not a default factor;

(6) fuel purchase records, fuel in stock, vehicle miles traveled, inventory of vehicles, and emission factors of mobile combustion, if not a default factor;

(7) monthly utility bills from stationary combustion, fuel purchase records, inventory of stationary combustion facilities, and emission factors of stationary combustion, if not a default factor;

(8) monthly utility bills, fuel and efficiency data from supplier, and emission factors, if not a default factor, for each of the following:

(A) cogeneration;

(B) imported steam;

(C) district heating;

(D) district cooling; and

(E) process activities;

(9) refrigerant purchase records, refrigerant sales records, calculation methodology, and emission factors;

(10) waste-in-place data, waste landfilled, calculation methodology, and emission factors;

(11) coal production data submitted to the Energy Information Administration, calculation methodology, and emission factors;

(12) gas throughput data, calculation methodology, and emission factors; and

(13) sulfur hexafluoride purchase records, calculation methodology, and emission factors.

(c) If, as a result of a site visit, the Commission determines that a Registry Participant does not have a program for reporting greenhouse gases consistent with Registry protocols or that the Participant's reported data is not reasonable, then the Commission shall recommend to the Registry to not certify the Participant's data.

Note: Authority cited: Sections 25213 and 25218(e), Public Resources Code; and Section 42870, Health and Safety Code. Reference: Section 42870, Health and Safety Code