



**CALIFORNIA  
ENERGY COMMISSION**



**California Energy Commission  
November 13, 2024 Business Meeting  
Backup Materials for Association for Energy Affordability, Inc.**

The following backup materials for the above-referenced agenda item are available in this PDF packet as listed below:

1. Proposed Resolution
2. Grant Request Form
3. Scope of Work

**[PROPOSED]**

**RESOLUTION NO: 24-1113-08b**

**STATE OF CALIFORNIA**

**STATE ENERGY RESOURCES  
CONSERVATION AND DEVELOPMENT COMMISSION**

**RESOLUTION: Association for Energy Affordability, Inc.**

**RESOLVED**, that the State Energy Resources Conservation and Development Commission (CEC) adopts the staff CEQA findings contained in the Agreement or Amendment Request Form (as applicable); and

**RESOLVED**, that the CEC approves agreement EBD-24-003 with Association for Energy Affordability, Inc. for a block grant of up to \$130,456,690 to administer the EBD Direct Install Program in Northern California. This agreement includes up to \$94,978,500 in state funds and up to \$35,478,190 in federal funds from the U.S. Department of Energy HOMES Program, with the federal funding contingent upon the CEC receiving a federal award under the HOMES Program; and

**FURTHER BE IT RESOLVED**, that the Executive Director or their designee shall execute the same on behalf of the CEC.

**CERTIFICATION**

The undersigned Secretariat to the CEC does hereby certify that the foregoing is a full, true, and correct copy of a resolution duly and regularly adopted at a meeting of the CEC held on November 13, 2024.

AYE:

NAY:

ABSENT:

ABSTAIN:

Dated:

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Kristine Banaag  
Secretariat



## GRANT REQUEST FORM (GRF)

### A. New Agreement Number

**IMPORTANT:** New Agreement # to be completed by Contracts, Grants, and Loans Office.

**New Agreement Number:** EBD-24-003

### B. Division Information

1. Division Name: Reliability, Renewable Energy & Decarbonization Incentives (RREDI)
2. Agreement Manager: Esther Obikoya
3. MS-: Not applicable
4. Phone Number: 279-250-8841

### C. Recipient's Information

1. Recipient's Legal Name: Association for Energy Affordability, Inc.
2. Federal ID Number: 13-3374285

### D. Title of Project

Title of project: Equitable Building Decarbonization Direct Install Program - Northern Region

### E. Term and Amount

1. Start Date: 11-14-24
2. End Date: 11-13-29
3. Amount: \$130,456,690

### F. Business Meeting Information

1. Are the ARFVTP agreements \$75K and under delegated to Executive Director? No
2. The Proposed Business Meeting Date: 11-13-24
3. Consent or Discussion? Discussion
4. Business Meeting Presenter Name: Diana Maneta
5. Time Needed for Business Meeting: 10 minutes
6. The email subscription topic is: Adaptation; Barriers Report SB 350; Decarbonization Topics; Disadvantaged Communities Advisory Group; Efficiency Topics; Energy Efficiency Programs for Existing Buildings; Federal IRA Residential Incentives; Health, Equitable Energy Transition (HEET) Working Group; Tribal Program

### Agenda Item Subject and Description:

Association for Energy Affordability, Inc. Proposed resolution approving agreement EBD-24-003 with Association for Energy Affordability, Inc. for a block grant of up to \$130,456,690 to administer the EBD Direct Install Program in Northern California, and adopting staff's recommendation that this action is exempt from CEQA. This agreement includes up to \$94,978,500 in state funds and up to \$35,478,190 in federal funds from the U.S. Department of Energy HOMES Program, with the federal funding contingent upon the CEC receiving a federal award under the HOMES Program.



## G. California Environmental Quality Act (CEQA) Compliance

### 1. Is Agreement considered a "Project" under CEQA?

Yes

If yes, skip to question 2.

If no, complete the following (PRC 21065 and 14 CCR 15378) and explain why Agreement is not considered a "Project":

Agreement will not cause direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment because:

Not Applicable. See Question 2.

### 2. If Agreement is considered a "Project" under CEQA answer the following questions.

#### a) Agreement **IS** exempt?

Yes. See Categorical Exemption.

#### Statutory Exemption?

No

If yes, list PRC and/or CCR section number(s) and separate each with a comma. If no, enter "None" and go to the next question.

PRC section number: "None"

CCR section number: "None"

#### Categorical Exemption?

Yes

If yes, list CCR section number(s) and separate each with a comma. If no, enter "None" and go to the next question.

CCR section number: Cal. Code Regs., Title 14 Section 15301

Cal. Code Regs., Title 14 Section 15301 provides that projects which consist of the operation, repair, maintenance, permitting, leasing, licensing, or minor alteration of existing public or private structures, facilities, mechanical equipment, or topographical features, involving negligible or no expansion of existing or former use, are categorically exempt from the provisions of CEQA. This project is exempt under Cal. Code Regs., Tit 14, Section 15301 because this project will consist of minor alterations to existing single family and multifamily residential buildings. For these reasons, this project will have no significant impact on the environment and falls within Class 1, Section 15301.

The project will not impact an environmental resource of hazardous or critical concern where designated, precisely mapped, and officially adopted pursuant to law by federal, state, or local agencies; does not involve any cumulative impacts of successive projects of the same type in the same place that might be considered significant; does not involve unusual circumstances that might have a significant effect on the environment; will not result in damage to scenic resources within a highway officially designated as a state scenic highway; the project site is not included on any list compiled pursuant to Government Code section 65962.5; and the project will not cause a substantial adverse change in the significance of a historical resource. Therefore, none of the exceptions to categorical exemptions



listed in CEQA Guidelines section 15300.2 apply to this project, and this project will not have a significant effect on the environment.

Common Sense Exemption? 14 CCR 15061 (b) (3)

No

If yes, explain reason why Agreement is exempt under the above section. If no, enter "Not applicable" and go to the next section.

"Not applicable"

b) Agreement **IS NOT** exempt.

**IMPORTANT:** consult with the legal office to determine next steps.

No

If yes, answer yes or no to all that applies. If no, list all as "no" and "None" as "yes".

Additional Documents	Applies
Initial Study	No
Negative Declaration	No
Mitigated Negative Declaration	No
Environmental Impact Report	No
Statement of Overriding Considerations	No
None	Yes

**H. Is this project considered "Infrastructure"?**

No

**I. Subcontractors**

List all Subcontractors listed in the Budget (s) (major and minor). Insert additional rows if needed. If no subcontractors to report, enter "No subcontractors to report" and "0" to funds.

**Delete** any unused rows from the table

Subcontractor Legal Company Name	CEC Funds	Match Funds
The Ortiz Group, LLC	\$ 9,370,087	\$ 0
California Housing Partnership Corporation (CHPC)	\$ 1,614,956	\$ 0
Frontier Energy, Inc.	\$ 2,569,562	\$ 0
Vermont Energy Investment Corporation (VEIC)	\$ 908,376	\$ 0
The Tides Center (PODER)	\$ 1,359,950	\$ 0
Asian Pacific Environmental Network (APEN)	\$ 1,359,951	\$ 0
Rising Sun Center for Opportunity	\$ 542,408	\$ 0
GRID Alternatives	\$ 947,552	\$ 0



Subcontractor Legal Company Name	CEC Funds	Match Funds
<i>TBD - Sub of GRID Alternatives (GRID Alternatives Bay Area, Inc)</i>	\$ 60,000	\$ 0
<i>TBD - Sub of GRID Alternatives (GRID Alternatives North Valley, Inc)</i>	\$ 60,000	\$ 0

#### J. Vendors and Sellers for Equipment and Materials/Miscellaneous

List all Vendors and Sellers listed in Budget(s) for Equipment and Materials/Miscellaneous. Insert additional rows if needed. If no vendors or sellers to report, enter "No vendors or sellers to report" and "0" to funds. **Delete** any unused rows from the table.

Vendor/Seller Legal Company Name	CEC Funds	Match Funds
TBD- Local Community Outreach CBO's	\$ 5,205,197	\$ 0
TBD- Installation Contractors	\$ 93,608,829	\$ 0
TBD- Salesforce Consultant	\$ 97,500	\$ 0
TBD- Legal Consultant	\$ 109,166	\$ 0
TBD- Marketing Consultant	\$ 65,000	\$ 0
TBD- Various Vendors	\$162,500	\$ 0
Vendors of CHPC		
<i>TBD- External Designer for Multifamily Research Publications and Reports</i>	\$ 10,000	\$ 0
<i>TBD- External Photographer for Multifamily Research Publications and Reports</i>	\$ 2,000	\$ 0
<i>TBD- External Designer for Multifamily Marketing and Outreach materials, publications, and case studies</i>	\$ 18,000	\$ 0
<i>TBD- External Photographer for Multifamily Marketing and Outreach materials, publications, and case studies</i>	\$ 10,000	\$ 0
Vendors of Frontier Energy, Inc.		
<i>Infoglen LLC</i>	\$ 37,300	\$ 0
Vendors of PODER		
<i>Christine Selig Associates</i>	\$ 15,000	\$ 0
Vendors of APEN		
<i>TBD Translation Vendor</i>	\$ 7,124	\$ 0



## K. Key Partners

List all key partner(s). Insert additional rows if needed. If no key partners to report, enter "No key partners to report." **Delete** any unused rows from the table.

Key Partner Legal Company Name
Marin Clean Energy (MCE)
Peninsula Clean Energy (PCE)
Silicon Valley Clean Energy (SVCE)
San Francisco Environment Department (SFE)
Bay Area Regional Energy Network
San Jose Clean Energy (SJCE)
Sacramento Municipal Utility District (SMUD)
Redwood Coast Energy Authority (RCEA)

## L. Budget Information

Include all budget information. Insert additional rows if needed. If no budget information to report, enter "N/A" for "Not Applicable" and "0" to Amount. **Delete** any unused rows from the table.

Funding Source	Funding Year of Appropriation	Budget List Number	Amount
General Fund	2022-23	303.108	\$ 414,000
Greenhouse Gas Reduction Fund	2022-23	303.208	\$ 5,520,000
General Fund	2023-24	TBD	\$ 103,500
Greenhouse Gas Reduction Fund	2023-24	303.308	\$ 64,515,000
Greenhouse Gas Reduction Fund	2024-25	TBD	\$ 5,175,000
Greenhouse Gas Reduction Fund	2027-28	TBD	\$ 19,251,000
Federal HOMES	TBD	500.204	\$ 35,478,190

**TOTAL Amount:** \$130,456,690

R&D Program Area: N/A

Explanation for "Other" selection N/A

Reimbursement Contract #: N/A

Federal Agreement #: DE-SE000024

## M. Recipient's Contact Information

### 1. Recipient's Administrator/Officer

Name: Nick Dirr

Address: 5900 Hollis St.

City, State, Zip: Emeryville, CA, 94608



STATE OF CALIFORNIA  
CALIFORNIA ENERGY COMMISSION

Grant Request Form  
CEC-270 (Revised 01/2024)

Phone: (510) 431-1792

E-Mail: ndirr@aea.us.org

## 2. Recipient's Project Manager

Name: Andrew Brooks

Address: 5900 Hollis St.

City, State, Zip: Emeryville, CA, 94608

Phone: (646) 275-7384

E-Mail: abrooks@aea.us.org

## N. Selection Process Used

There are three types of selection process. List the one used for this GRF.

Selection Process	Additional Information
Competitive Solicitation #	GFO-23-404

## O. Attached Items

1. List all items that should be attached to this GRF by entering "Yes" or "No".

Item Number	Item Name	Attached
1	Exhibit A, Scope of Work/Schedule	Yes
2	Exhibit B, Budget Detail	Yes
3	CEC 105, Questionnaire for Identifying Conflicts	Yes
4	Recipient Resolution	No
5	Awardee CEQA Documentation	Yes

### Approved By

Individuals who approve this form must enter their full name and approval date in the MS Word version.

**Agreement Manager:** Esther Obikoya

**Approval Date:** October 2, 2024

**Office Manager:** Susan Mills, Supervisor

**Approval Date:** October 4, 2024

**Deputy Director:** Jennifer Nelson

**Approval Date:** October 6, 2024



## Exhibit A

### SCOPE OF WORK

#### TASK LIST TABLE

Task #	Task Name
1	AGREEMENT ADMINISTRATION
2	INTERNAL CONTROLS, PROCESSES, AND PROCEDURES
3	PROJECT TRACKING, DATA COLLECTION, AND REPORTING
4	ASSIST CEC WITH DOE HOMES APPLICATION COMPONENTS
5	IMPLEMENT STATEWIDE DIRECT INSTALL PROGRAM FOR REGION
6	CONTINUOUS IMPROVEMENT
7	COORDINATION AND LAYERING WITH OTHER PROGRAMS
8	COORDINATION WITH OTHER CEC PROGRAMS AND PUBLIC INTEREST RESEARCH

#### GLOSSARY

*Specific terms and acronyms used throughout this Scope of Work are defined as follows:*

Term/ Acronym	Definition
CAM	Commission Agreement Manager
CAO	Commission Agreement Officer
CEC	California Energy Commission
CPR	Critical Project Review
EBD	Equitable Building Decarbonization
Guidelines	Equitable Building Decarbonization Direct Install Program Guidelines developed and adopted by the CEC to be utilized as the overarching objectives for program design, implementation, and administration of the Equitable Building Decarbonization Direct Install Program. For this Agreement, the most recently adopted Guidelines will apply.
MS	Microsoft

<b>Term/ Acronym</b>	<b>Definition</b>
Recipient	The Applicant awarded to implement the EBD Direct Install Program for a region, also referred to as a regional administrator. With regard to federal funds as part of this agreement, this term is equivalent to "Subrecipient" as defined under 2 Code of Federal Regulations 200.1. With regard to the Greenhouse Gas Reduction Fund, this term is equivalent to "Funding Recipient."
Subcontractor	An entity contracted by the Recipient to assist in aspects of implementing the EBD Direct Install Program.

## **Background**

Assembly Bill 209 (Ting, Chapter 251, Statutes of 2022) directs the California Energy Commission (CEC) to develop the Equitable Building Decarbonization Program (EBD Program), including a direct install program and a statewide incentive program. The EBD Program is funded in part by the California Climate Investments (CCI) program. The CCI program requires that all funded projects must facilitate the achievement of greenhouse gas emission reductions and further the purposes of Assembly Bill 32 (Nunez, Global Warming Solutions Act of 2006, Chapter 488, 2006), Senate Bill 32 (Pavley, California Global Warming Solutions Act of 2006, Chapter 249, 2016), and related statutes. In October 2023, the CEC adopted Equitable Building Decarbonization Direct Install Program Guidelines, which will provide and install energy efficient electric appliances, energy efficiency measures, and related upgrades at no cost to low-income households in underresourced communities.

On April 30, 2024, the CEC released a Grant Funding Opportunity (Solicitation) to select regional administrators to implement the EBD Direct Install Program in each of three regions of the state. In response to GFO-23-404, the Recipient submitted application #1 to administer the program for the Northern region, which was proposed for funding in the CEC's Notice of Proposed Awards (NOPA) issued on August 7, 2024, and the revised NOPA issued on August 29, 2024. GFO-23-404 and Recipient's application are hereby incorporated by reference into this Agreement in their entirety.

In the event of any conflict or inconsistency between the terms of this Agreement and the Recipient's Application, the terms of this Agreement shall control.

## **Goals of the Agreement**

The goals of this Agreement are to reduce greenhouse gas emissions and increase energy efficiency in existing buildings; advance energy equity; improve resiliency to extreme heat, indoor air quality, energy affordability, and grid reliability; and create local workforce opportunities.

## **Objective of the Agreement**

The objective of this Agreement is for the Recipient to implement, in collaboration with the CEC, a direct install program that will deliver building decarbonization upgrades and increase the energy efficiency of households in underresourced communities in California.

## **Draft and Final Products/Reports**

All products for this contract that are intended for release to the public shall be compliant with the Americans with Disabilities Act (ADA). Documents need to follow the most current version of Web Content Accessibility Guidelines.

The Recipient may be required to produce several iterations of draft products to incorporate the Commission Agreement Manager's (CAM) comments and edits. A product is considered final when the CAM indicates in writing the product is final. When creating reports, the Recipient shall use, unless otherwise instructed in writing by the CAM, the CEC Style Manual, available at <https://www.energy.ca.gov/publications/2020/style-manual-fourth-edition-used-california-energy-commission-staff-lead>.

Products are required in an electronic format. Unless otherwise specified by the CAM, the following describes the accepted formats of electronic data and documents provided to the CEC as contract products and establishes the computer platforms, operating systems, and application versions that will be required to review and approve all products.

- Data sets shall be in Microsoft (MS) Excel, or another file format as specified by the CAM.
- Text documents shall be in MS Word file format (.doc or .docx).
- Presentations and related talking points shall be in MS PowerPoint file format.
- Documents intended for public distribution shall be in Adobe Portable Document Format (.pdf) file format, with the native file format provided as well.
- Project management documents shall be in a file format specified by the CAM.

If a hard copy product is required, each final hard copy product shall be delivered as one (1) original, reproducible, 8 ½" by 11", camera-ready master in black ink, unless otherwise directed by the CAM. Illustrations and graphs shall be sized to fit an 8 ½" by 11" page and readable if printed in black and white.

## **TASK 1 AGREEMENT ADMINISTRATION**

The Recipient's responsibilities under this task include, but are not limited to, the following:

### **Task 1.1 Kick-Off Meetings**

The goal of this task is to establish the lines of communication and procedures for implementing this Agreement. The CAM shall designate the dates and locations of the meetings and provide an agenda to the Recipient and other attendees prior to the meetings. The meetings shall not be recorded. At the discretion of the CAM, meetings, briefings, and discussions may be held via conference call, MS Teams, or Zoom.

#### **The Recipient shall:**

- Attend two "Kick-Off" meetings. The Recipient shall bring their Project Manager and any other personnel determined necessary by the CAM and Recipient to attend the meetings.
  - The first kick-off meeting will be with Recipients for all three regions (north, central, and south), the CAM, the Commission Agreement Officer (CAO), and any other CEC staff relevant to the Agreement.
  - The second kick-off meeting will be with the Recipient for the individual region (north, central, or south), the CAM, the CAO, and any other CEC staff relevant to the Agreement.
- Discuss the following administrative and technical aspects of this Agreement:
  - Agreement Terms and Conditions
  - Critical Project Review
  - Advisory Group
  - Subcontracts needed to carry out program
  - The CAM's expectations for accomplishing implementation tasks described in the Scope of Work
  - An updated Schedule of Products and Due Dates
  - Monthly Progress Reports
  - Annual Reports

- Final Report
- Prepare an updated Schedule of Products and Due Dates based on the decisions made in the kick-off meetings.

**The CAM shall:**

- Arrange the meetings including scheduling the date and time.
- Provide an agenda to all potential meeting participants prior to the kick-off meetings.

**Recipient Products:**

- Updated Schedule of Products and Due Dates

**CAM Products:**

- Kick-Off Meeting Agendas

**Task 1.2 Critical Project Review (CPR) Meetings**

CPR meetings provide the opportunity for discussions between the CEC and the Recipient. The goal of this task is to determine if the Recipient will continue to receive CEC funding to complete this Agreement and to identify any needed modifications to the tasks, products, schedule, or budget.

The CAM may schedule CPR meetings as necessary at any stage in the program to discuss any task(s) included in this Scope of Work. Meeting costs will be borne by the Recipient and not billed to the CEC.

Meeting participants include the Recipient, the CAM, CEC staff relevant to the Agreement, and may include other individuals selected by the CAM to provide support to the CEC. At the discretion of the CAM, meetings, briefings, and discussions may be held via conference call, MS Teams, or Zoom.

**The Recipient shall:**

- Prepare a CPR report that discusses the progress of the Agreement toward achieving its goals, objectives, and products. This report shall include status, barriers, timing, and recommendations regarding continued work of the program. This report shall be submitted along with any other products identified in this Scope of Work, if directed by the CAM. The Recipient shall submit these documents to the CAM and any other designated reviewers at least ten (10) calendar days in advance of each CPR meeting.
- Present and discuss the required information at each CPR meeting.

**The CAM shall:**

- Determine the location, date, and time of each CPR meeting with the Recipient and schedule meeting(s).

- Send Recipient the agenda and a list of expected participants in advance of each CPR meeting. The CAM may limit the total number of participants.
- Conduct and take notes on each CPR meeting. Prepare a schedule for providing the written determination as described below.
- Determine whether to continue the Agreement, and if continuing, whether modifications are needed to the tasks, schedule, products, and/or budget for the remainder of the Agreement. Modifications to the Agreement may require a formal amendment (see Terms and Conditions). If the CAM concludes satisfactory progress is not being made, this conclusion will be referred to the CEC Lead Commissioner for Building Decarbonization for their concurrence.
- Provide the Recipient with a written determination in accordance with the schedule. The written response may include a requirement for the Recipient to revise one or more product(s) that were included in the CPR.

**Recipient Products:**

- CPR Report(s)

**CAM Products:**

- Agenda and list of expected participants
- Schedule for written determination
- Written determination

**Task 1.3 Program Meetings and Briefings**

The goal of this task is to ensure direct collaboration with CEC staff, public agencies staff including local governments and the United States Department of Energy (DOE), other regional administrators, utilities, and external stakeholders throughout the completion of Tasks 2 through 8, and to disseminate information to all parties as needed. This may include presenting at CEC business meetings and providing briefings to CEC commissioners. The CEC expects to hold no less than two (2) program briefing meetings per month – one with all three regional administrators and one with the Recipient – in the first twelve (12) months of the program. After that, the CAM will determine the appropriate cadence.

At the discretion of the CAM, meetings, briefings, and discussions may be held via conference call, MS Teams, or Zoom.

**The Recipient shall:**

- At the request of the CAM, be available for meetings.
- At the request of the CAM, provide written program briefings. Submit briefing materials to the CAM ten (10) calendar days before meeting.

- Arrange for attendance by pertinent subcontractors, at the request of the CAM.

#### **Recipient Products:**

- Written documentation of meeting agreements

#### **CAM Products:**

- Agenda and list of expected participants

### **Task 1.4 Advisory Group**

The goal of this task is to support the establishment of an Advisory Group for the EBD Direct Install Program. There will be a single Advisory Group to provide guidance for all three regions of the program. The Advisory Group will meet quarterly. The purpose of the Advisory Group is to support the regional administrators and the CEC by providing guidance on the direction of the program, evaluating the program's progress on a regular basis, and offering recommendations for improvement. At the discretion of the CAM, meetings may be held via conference call, MS Teams, or Zoom.

Members of the Advisory Group shall include, but are not limited to, the following.

- Representatives of underresourced communities
- Technical experts in the field of building decarbonization
- Members of trades involved in building decarbonization
- Public interest environmental organizations
- Environmental justice organizations
- Utilities
- Community choice aggregators
- Representatives of federal, state, or local agencies involved in building decarbonization

#### **The Recipient shall:**

- Propose a list of five (5) potential Advisory Group members for the region at the kick-off meeting, for consideration by the CAM. Proposed members must include a representative of an underresourced community in the region.
- Following CAM approval of the list of potential Advisory Group members, recruit members to serve on the Advisory Group for the region.
- Prepare a list of confirmed Advisory Group members for the region.
- Suggest agenda items for Advisory Group meetings, if directed by the CAM.
- Participate in all Advisory Group meetings.

- Present on the status of the program at Advisory Group meetings, if directed by the CAM.

**The CAM shall:**

- Following the kick-off meeting, the CAM will coordinate with other regional CAMs under this award and consider potential members recommended by all three regional administrators to develop a final list of potential members.
- Schedule and facilitate quarterly Advisory Group meetings.
- Develop agendas for Advisory Group meetings.

**Recipient Products:**

- List of potential Advisory Group members for the region
- List of confirmed Advisory Group members for the region

**CAM Products:**

- Final list of potential Advisory Group members
- Advisory Group meeting agendas

**Task 1.5 Invoices**

The goal of this task is to ensure accurate and timely payment for work performed under the Agreement.

**The Recipient shall:**

- Collaborate with the CAM to develop an approved invoice template.
- Prepare invoices in collaboration with the CAM. Invoices must separate and distinguish all EBD costs including those to be covered by HOMES federal funds, EBD state funds, or other funds.
- Invoices must separate and distinguish Project, Project-Related, and Administrative Costs. For Project costs, Recipient must break out costs by measure and specify labor and equipment costs.
- Prepare invoices for all reimbursable expenses incurred performing work under this Agreement in compliance with the Terms and Conditions.
- Prepare invoices that provide sufficient detail to facilitate CEC federal reporting under the HOMES Award and conform to federal accounting standards in accordance with the HOMES Federal Award Terms and Conditions for all expenditures supported by HOMES funding.
- Forecast invoices of reimbursable expenses may be submitted in advance of completion of the work with the approval of the CAM.



- Document and track usage of advanced funds, bridge funds, and provide true-up updates with invoices. Collaborate with CAM on correcting and resolving discrepancies.
- Submit invoices with the same frequency as Task 1.6 Monthly Progress Reports or as specified by CAM.
- Pay subcontractors and vendors in a timely manner. Recipient may choose to offer progress or advance payments to installation contractors to the extent permitted by law, but may only invoice the CEC for completed projects that have met Quality Assurance and Quality Control requirements (Task 5.13).

#### **Recipient Products:**

- Invoices
- True-up updates for advanced funds

#### **Task 1.6 Monthly Progress Reports**

The goal of this task is to periodically verify that satisfactory and continued progress is made towards achieving the objectives of this Agreement on time and within budget and to identify any changes needed to improve program performance or metrics.

The objectives of this task are to summarize activities performed and provide program metrics during the reporting period, to identify activities planned for the next six months, to form the basis for determining whether invoices are consistent with work performed, and to proactively identify issues that may affect program performance and expenditures including an assessment of the ability to complete the Agreement within the current budget and time period. The Recipient shall provide the CAM a plan to improve program metrics and remedy any anticipated cost overruns, as well as provide burn rate estimates to the CAM, upon request.

#### **The Recipient shall:**

- Prepare a Monthly Progress Reports on a CAM provided template which summarizes all Agreement activities conducted by the Recipient for the reporting period, including an assessment of the ability to complete the Agreement within the current budget and updated program metrics detailing the successes and challenges of the program. Each progress report is due to the CAM for review and comment within ten (10) calendar days from the end of the reporting period.

#### **Recipient Products:**

- Monthly Progress Reports

## **Task 1.7 Obtain and Execute Subcontracts**

The goal of this task is to procure subcontractors required to carry out the tasks under this Agreement consistent with all CEC Terms and Conditions, Federal Award Terms and Conditions, and the Recipient's own procurement policies and procedures. It will also provide the CEC an opportunity to review the subcontract agreements, if requested, to ensure the tasks are consistent with this Agreement. Recipient shall provide budgets to ensure that budgeted expenditures are reasonable and consistent with current costs and applicable cost principles.

### **The Recipient shall:**

- Provide CAM a list of subcontractors and timeline for entering into agreements.
- Submit a draft of each subcontract agreement required to conduct the work under this Agreement upon CAM request.
- Enter into subcontract agreements.
- Submit a final copy of the executed subcontract agreement within five (5) business days of execution.
- Manage and coordinate subcontractors' and vendors' activities.
- Manage subcontractors' and vendors' quality control and timeliness.
- Enforce subcontract agreement provisions and compliance with Terms and Conditions of the Agreement.
- Notify the CAM within fifteen (15) business days if Recipient decides to replace or add new subcontractors.
- Notify the CAM of any quality and non-performance issues and recommend solutions to resolve problems.

### **Recipient Products:**

- List of subcontract agreements and timeline for execution.
- Subcontract agreements (draft, if requested, and final).

## **Task 1.8 Annual Reports and Presentations**

The goals of the Recipient's Annual Reports are to assess the EBD Direct Install Program's progress at the regional level and describe lessons learned with reference to the goals and objectives described in the Guidelines and this Agreement. The CEC may provide a template for the Annual Report. The information in the Annual Report may be shared in written report findings and presentations with CEC staff, other regional administrators, other agency staff, the Legislature, decision makers, or the public. CEC will use the Annual Reports from each region to assess the program on a statewide level.

Each Annual Report shall include a status report on regional program activities; results obtained; timeline for incomplete or future activities; and recommendations for improvements or changes to the EBD Direct Install Program.

The Annual Reports as well as any presentation materials shall be public documents.

At the discretion of the CAM, meetings, briefings, and discussions may be held via conference call, MS Teams, or Zoom.

**The Recipient shall:**

- Prepare Annual Reports and related presentations for review, comment, and approval by the CAM. The CAM shall provide written comments on the draft report and presentation. Meet and discuss edits or comments as needed.
- The final version of the regional Annual Reports must be submitted to the CAM fifteen (15) calendar days after the CAM reviews and provides comments on the draft Annual Reports. It should be submitted electronically and be compliant with CEC Style Manual and ADA requirements.
- At the request of the CAM, present an overview and findings of the Annual Report in meetings with CEC staff, other regional administrators, decision makers, and/or the public. In coordination with CAM, be available to respond to oral and written questions.

**Recipient Products:**

- Annual Reports and presentations (drafts and finals)

**Task 1.9 Final Report and Presentation**

The goal of the Recipient's Final Report is to assess the EBD Direct Install Program's success, challenges, and lessons learned at the regional level with reference to the goals and objectives described in the Guidelines and this Agreement. This information may be shared in written report findings and presentations with CEC staff, other agency staff, decision makers, or the public.

The objectives of the Final Report are to describe the program's purpose, approach, activities performed, and results; to present a public assessment of the success of the program as measured by the degree to which goals and objectives were achieved; to make observations based on results obtained; to draw conclusions; and to provide lessons learned and recommendations for future decarbonization programs.

The Final Report as well as any presentation materials shall be public documents.

At the discretion of the CAM, meetings, briefings, and discussions may be held via conference call, MS Teams, or Zoom.

**The Recipient shall:**

- Prepare a draft and final Final Report using a template provided by the CAM, and provide the Final Report and related presentations for review and approval by the CAM. The CAM shall provide written comments on the draft report and presentation. Meet and discuss edits or comments as needed.
- The Final Report must be completed at least sixty (60) calendar days before the end of the Agreement Term.
- Submit one (1) electronic copy of the Final Report with the final invoice.
- At the request of the CAM, present an overview and findings of the annual and Final Report in meetings with CEC staff, decision makers, and/or the public. In coordination with CAM, be available to respond to oral and written questions.

**The CAM shall:**

- Specify required content of the Final Report
- Review, provide comments, and approve the Final Report

**Recipient Products:**

- Final Report (draft and final)

**Task 1.10 Final Meeting**

The goal of this task is to close out this Agreement. The Final Meeting must be completed prior to the term end date of this Agreement. This Final Meeting will be attended by, at a minimum, the Recipient, the CAO, and the CAM. The technical and administrative aspects of Agreement closeout will be discussed at the Final Meeting, which may be two separate meetings at the discretion of the CAM. At the discretion of the CAM, meetings, briefings, and discussions may be held via conference call, MS Teams, or Zoom.

**The Recipient shall:**

- Participate in the final meeting.
  - The technical portion of the meeting may include an assessment of the degree to which program and task goals and objectives were achieved, findings, conclusions, recommended next steps (if any) for the Agreement, and recommendations for improvements.
  - The administrative portion of the meeting shall be a discussion with the CAM and the CAO and may address the following Agreement closeout items:
    - CEC's request for specific "generated" data (not already provided in Agreement products)

- Need to document Recipient's disclosure of "subject inventions" developed under the Agreement
- "Surviving" Agreement provisions
- Final invoicing and release of remaining retention (see Terms and Conditions for more information about retention)
- Prepare a schedule for completing the closeout activities for this Agreement, based on the determination made within the meeting.

### **Recipient Products:**

- Written documentation of meeting agreements and unresolved activities
- Schedule for completing closeout activities

## **TASK 2 INTERNAL CONTROLS, PROCESSES, AND PROCEDURES**

The goal of this task is to establish and update the written internal controls, processes, and procedures to receive, handle, and account for program funding; evaluate funding requests; effect payment for valid payment requests; and provide monthly fiscal accounting and reporting to the CAM.

### **The Recipient shall:**

- Develop and submit written internal controls, processes, and procedures to implement the program in accordance with this Agreement, for review and approval by the CAM.
- Update and submit written internal controls, processes, and procedures for review and approval by the CAM as necessary, no less than annually.
- Provide monthly fiscal accounting and reporting to the CAM as part of Task 1.6 Monthly Progress Reports in alignment with Task 1.5 Invoices.
- Establish and implement procedures to separate, accept, track, disburse, and report on funding from originating sources, including, but not limited to, General Fund, Greenhouse Gas Reduction Fund, HOMES federal funds, ratepayer funds, and nonprofit, private, or other federal funds.

### **Recipient Products:**

- Internal controls, processes, and procedures
- Updated internal controls, processes, and procedures
- Monthly fiscal accounting in Task 1.6 Monthly Progress Reports

### **TASK 3 PROJECT TRACKING, DATA COLLECTION, AND REPORTING**

The goal of this task is to collect, store, and report specified data from retrofit projects in a unified program-wide approach. This data will be used by the CEC to track the program's success and to inform the need for adjustments to the program. This data will also be used to inform the CEC's annual reporting to the Legislature, reporting to the California Air Resources Board for CCI funds, and reporting to the DOE on HOMES program activity.

#### **The Recipient shall:**

- Collect data from program activities as specified by the CAM. Data to be collected shall include, but is not limited to, the metrics and data listed in the Guidelines (Chapter 4B), HOMES Data & Tools Requirements Guide Part 1. B. and, if applicable, metrics in Part 1. C., as well as additional metrics and data for federal, state, utility, and/or other funding sources. The CAM will provide data collection and reporting requirements including technical specifications and standards for data collection and management. Data will be collected during all phases of the program as described in Task 5.
  - Recipient is not responsible for post-retrofit measurement of energy savings and utility bill impacts. These metrics will be measured for all three regions by the CEC or through a separate contract.
  - Regarding retrofit costs, data to be collected and reported to the CEC shall include but is not limited to disaggregated wholesale costs of equipment, appliances, and all other installed measures, including electrical and remediation measures; installation labor costs; and permitting costs.
- Collaborate with the CEC and other Regional Administrators to standardize data collection approach to ensure consistency across the three regions.
- Report project data to a central program database developed by the CEC on a frequent basis, with the specific frequency and reporting process to be specified by the CAM. This will most likely involve application programming interface (API) integration.
- Provide Metrics and Data Reports to CEC upon request by the CAM.
- Discuss this task at Kick-Off Meetings (Task 1.1), Program Meetings (Task 1.3) or other meetings, as needed or as requested by the CAM.

#### **Recipient Products:**

- Project Data
- Metrics and Data Reports

## **TASK 4 ASSIST CEC WITH DOE HOMES APPLICATION COMPONENTS**

The goal of this task is to assist CEC staff with required components of the CEC's DOE application for HOMES where the Recipient's planned processes and activities are germane to the CEC's application.

### **The Recipient Shall:**

- Provide and submit to the CAM a written document of planned program activities as part of the CEC's application to DOE for HOMES Program funding or in response to questions from DOE, including but not limited to activities related to implementation, as well as outreach and education strategy. Develop in collaboration with the CAM and other CEC staff.
- Provide input to CEC staff to inform the CEC's development of the DOE-required Consumer Protection Plan and to respond to questions from DOE. This will involve providing a description of Recipient's planned approach to consumer protection, contractor participation, and quality control. The description shall include Recipient's approach to Consumer Feedback, Resolution Procedures, Data Reviews, Onsite Inspections, Installation Standards, Contractor Qualifications, and Processes for Program Improvement in accordance with Section 3.2.5 of HOMES Program Requirements & Application Instructions, HOMES Program Guidance generally, and the Guidelines.
- Provide input to CEC staff to inform the CEC's development of the DOE-required Market Transformation Plan within the first year of CEC's HOMES Award and to respond to questions from DOE.
- Review and provide input on the Community Benefits Plan, Education and Outreach Strategy, Utility Data Access Plan, and Privacy and Security Risk Assessment drafted by the CEC.

### **Recipient Products:**

- Responses for DOE application components (draft and final)
- Components for Consumer Protection Plan (draft and final)
- Components for Market Transformation Plan (draft and final)
- Input on draft Community Benefits Plan, Education and Outreach Strategy, Utility Data Access Plan, and Privacy and Security Risk Assessment

## **TASK 5 IMPLEMENT STATEWIDE DIRECT INSTALL PROGRAM FOR REGION**

The goal of this task is to implement and administer the Statewide Direct Install Program for the region based on the Guidelines and this Agreement. The Recipient's responsibilities under this task include, but are not limited to, the following.

## **Task 5.1 Community Focus Areas**

The goal of this task is to identify the Community Focus Areas to be served by the Recipient. All building retrofits conducted through the program will occur in Community Focus Areas identified in this task or through the Community Application Process (Task 5.2).

### **The Recipient shall:**

- Provide recommended Initial Community Focus Areas List and Justification for the region.
- Present the recommended Initial Community Focus Areas at Program Meetings (Task 1.3) for iterative discussion, review, and approval by the CAM. Submit presentation to the CAM ten (10) calendar days before meeting to discuss.
- Propose additional Community Focus Areas for program expansion and prepare an Amended Community Focus Areas List and Justification as requested by the CAM and in accordance with the Community Focus Area criteria listed in the Guidelines or CAM guidance. Submit additional Community Focus Areas to the CAM ten (10) calendar days before meeting to discuss. Additional Community Focus Areas are subject to review and approval by the CAM.
- Communicate with the electric utility that serves each Community Focus Area regarding program plans, including the likely need for electric service upgrades at some homes retrofitted by the program. Discuss potential capacity constraints on the distribution system and identify locations where electric service upgrades are least likely to require distribution system upgrades.
- Meet and discuss Initial Community Focus Areas and any Amended Community Focus Areas with other regional administrators if requested by the CAM.

### **Recipient Products:**

- Proposed Initial Community Focus Areas List and Justification
- Final Initial Community Focus Areas List
- Amended Community Focus Areas List and Justification (if requested by the CAM)

## **Task 5.2 Community Application Process**

The goal of this task is to establish an application process to allow communities not identified as, or included in, Initial Community Focus Areas to apply to the Recipient for participation in the program.



**The Recipient shall:**

- Submit a Proposed Community Application Process and Selection Criteria for review and approval by the CAM.
  - Applying communities must meet the community eligibility requirements described in the Guidelines (Chapter 2C, Community Eligibility).
  - Scoring criteria shall incorporate the Initial Community Focus Area criteria described in the Guidelines (Chapter 2D, Initial Community Focus Areas).
  - Bonus points shall be awarded to communities with existing partnerships and program infrastructure in place that would allow EBD-funded building retrofits to begin sooner following the approval of the application.
- Present the Proposed Community Application Process and Selection Criteria to the CAM for discussion at a Program Meeting (Task 1.3). Submit presentation to the CAM ten (10) calendar days before meeting to discuss.
- Open the community application process upon review and approval of the Final Community Application Process and Selection Criteria by the CAM. The Community Application Process must include CEC staff identified by the CAM.

**Recipient Products:**

- Proposed Community Application Process and Selection Criteria
- Final Community Application Process and Selection Criteria

**Task 5.3 Workforce Plan and Contractor Enrollment**

The goal of this task is to develop and implement a Workforce Plan, in accordance with the Workforce Standards and Requirements identified in the Guidelines and HOMES Guidance.

**The Recipient shall:**

- Collaborate with the CAM and the other regional administrators to develop a Workforce Plan outline.
- Develop a Workforce Plan for discussion with the CAM and other regional administrators. Submit to CAM ten (10) calendar days before program meeting to discuss. The Workforce Plan should describe the Recipient's approach to enrolling contractors to conduct retrofits in the Recipient's region in the program. In this context, the word "contractor" refers to installation contractors, who may be either subcontractors or vendors with regard to the Recipient, depending on their specific role in the program. The Workforce Plan must include, at a minimum, the following elements:

- Required Qualifications. Recipient's plan to establish minimum training and experience qualifications for construction workers consistent with the Workforce Standards and Requirement section of the Guidelines and HOMES Program Requirements and Application Instructions Section 3.2.5, and method for evaluating whether a contractor complies with the minimum qualifications.
- Contractor Preference. Recipient's plan for establishing an initial priority period for each funding round which limits applications and awards to contractors who meet at least three of the preference criteria listed in the Workforce Standards and Requirements section of the Guidelines.
- Contractor Outreach. Recipient's plan to conduct outreach to a diverse set of licensed contractors to participate in the program, with a focus on local contractors in participating underresourced communities and those trained under the CEC's administration of Training for Residential Energy Contractors (TREC) Program grants.
- Contractor List. Recipient's plan for establishing agreements with contractors enrolled in the program, providing preference for contractors consistent with criteria established in the Workforce Standards and Requirements section of the Guidelines, identifying reasons and processes for removing contractors, and publicizing the list.
- Bundling. Recipient's plan to group projects per contractor for economies of scale and to encourage contractor participation.
- Identify quality installation standards for packages of measures including any necessary testing and for compliance with local and state laws, permits, codes, and industry standards as well as Guidelines.
- Recipient's plan to ensure contractors working on EBD Direct Install Program limit installations and other activities to only the Program and other CEC-approved third-party program measures, and not engage in offering or installing other products not approved by CEC when engaging with program participants.
- Recipient's plan to measure the results of the Workforce Plan, including collecting data, tracking metrics, and sharing data specified by the CAM.
- Any other requirements per HOMES Guidance, if applicable, particularly HOMES Program Requirements and Application Instructions Section 3.2.5.
- Implement the Workforce Plan.
- Submit related data as part of Task 3

**Recipient Products:**

- Workforce Plan outline
- Workforce Plan (draft and final)
- Data submitted as part of Task 3

**Task 5.4 Standard Packages of Measures**

The goal of this task is to develop standard packages of eligible measures to be applied to homes receiving retrofits. The intent of developing standard packages is to simplify and streamline the program for participants and contractors with highly replicable activity, and avoid the need for a custom solution to be developed for each building.

**The Recipient shall:**

- Develop a proposed set of Packages of Measures to be applied to participating buildings in each Community Focus Area, for review and written approval by the CAM. Discuss with the CAM at a Program Meeting (Task 1.3). Submit to the CAM ten (10) calendar days before the meeting.
  - All measures included in the packages must be eligible measures and meet minimum requirements as listed in the Guidelines (Chapter 2I, Eligible Measures).
  - Design packages to achieve greenhouse gas emission reductions and bill savings in participating buildings, while also mitigating impacts from extreme weather events and improving air quality, resiliency, and grid reliability, where possible.
  - Some packages may include a broad range of eligible measures, while other packages may include a more limited or targeted number of measures.
  - In developing packages, consider variations in appropriate measures based on property attributes such as building types and characteristics, age and condition of existing appliances, climate zone, utility service territory, likely bill impacts, and site conditions.
  - Identify expected greenhouse gas and energy savings from individual measures and packages of measures.
- Meet and discuss standard packages of measures as requested by the CAM.
- Develop a Bi-Annual Report on Packages of Measures to report on their efficacy and propose adjustments if needed, for review and approval by the CAM. This may include suggested modifications to the eligible measures identified in the Guidelines, if needed. Submit to the CAM ten (10) calendar days before meeting to discuss.

**Recipient Products:**

- Packages of Measures
- Bi-Annual Report on Packages of Measures

**Task 5.5 Pricing and Cost Caps**

The goal of this task is to develop and implement mechanisms to control the costs of building decarbonization retrofits conducted through the program.

**The Recipient shall:**

- Develop proposed Cost-Control Mechanisms, such as cost analysis, competitive bidding, and standard pricing, for review and approval by the CAM. Discuss at a Program Meeting (Task 1.3). Submit to the CAM ten (10) calendar days before meeting to discuss.
- Ensure the *average* per-home cost of remediation and safety measures, including wiring and electrical panel upgrades, does not exceed the maximums listed in the Guidelines.
- Meet and discuss Cost-Control Mechanisms as requested by CAM.
- Submit data on remediation measures and costs as part of Task 3.

**Recipient Products:**

- Cost-Control Mechanisms
- Data submitted as part of Task 3

**Task 5.6 Household/Property Pre-Screening**

The goal of this task is to identify households and properties within each Community Focus Area that are the most viable candidates for the EBD Direct Install Program, based on the likelihood the household will experience utility bill savings from decarbonization and other criteria identified in the Guidelines (Chapter 2F). The CEC has an existing contract with Recurve Analytics, Inc. (Agreement 800-23-004) to create a screening tool for this purpose that leverages utility meter, temperature, and other data and utilizes open-source computational approaches pioneered in California over the last decade. This screening tool ("EBD screening dashboard") is initially expected to include properties within the electric service territories of Pacific Gas and Electric, Southern California Edison, San Diego Gas and Electric, Sacramento Municipal Utilities District, and Los Angeles Department of Water and Power, since the CEC receives meter data from these utilities under the authority of California Code of Regulations Title 20, Section 1353. The EBD screening dashboard is expected to distinguish single-family from multifamily properties, but may not distinguish manufactured homes from other single-family homes.

**The Recipient shall:**

- Receive a prioritized list of pre-screened addresses in each Community Focus Area in the region from the CAM and/or from Recurve Analytics, Inc., based on the EBD screening dashboard. In addition, Recipient is encouraged to contract with Recurve Analytics, Inc. for direct access to the EBD screening dashboard for addresses that consent to sharing their utility meter data with Recipient during Initial Enrollment (Task 5.9).
- Develop a Household Identification and Screening Plan to identify households and properties that are the most viable candidates for the EBD program in Community Focus Areas located in electric utility service territories not covered by the EBD screening dashboard. Present and discuss the plan with the CAM at Program Meetings (Task 1.3). Incorporate input from the CAM and prepare a final plan.

**Recipient Products:**

- Household Identification and Screening Plan (draft and final)

**Task 5.7 Set-Aside for Manufactured Homes**

The goal of this task is to develop and implement an intentional approach to serve manufactured and mobile homes under the EBD Direct Install Program, recognizing the unique challenges to decarbonizing these housing types, as described in the Guidelines.

**The Recipient shall:**

- Propose a Manufactured and Mobile Homes Service Plan for the awarded region, for review and approval by the CAM. This may include coordinating with other programs that serve these housing types, such as the CPUC Mobilehome Park Utility Conversion Program.
- Present and discuss the Manufactured and Mobile Homes Service Plan with the CAM at Program Meetings (Task 1.3).
- Set aside at least five (5) percent of program funds for eligible manufactured and mobile homes.
- Ensure that retrofits of manufactured homes comply with applicable standards such as the National Manufactured Home Construction and Safety Standards and California Housing and Community Development requirements.
- Track and report on funds spent on manufactured homes separately in Task 1.6 Monthly Progress Report.
- Collect data on manufactured home retrofits in accordance with Task 3.

**Recipient Products:**

- Manufactured and Mobile Homes Service Plan (draft and final)
- Data submitted as part of Task 3

**Task 5.8 Outreach and Engagement**

The goal of this task is to conduct culturally appropriate outreach and engagement to potential program participants (owners and occupants) in each Community Focus Area to share information about the EBD Direct Install Program and address questions and concerns.

**The Recipient shall:**

- Work with partner community-based organizations to develop and customize culturally appropriate Outreach Materials for each Community Focus Area, for review and approval by the CAM.
  - Include standardized elements across Community Focus Areas, where appropriate.
  - Include CEC, CCI, and DOE logo on Outreach Materials. CEC, CCI, and DOE branding extend to publications, websites, signage, invitations, and social media.
- Conduct culturally appropriate outreach and engagement in each Community Focus Area, with a focus on occupants and owners of pre-screened buildings as identified in Task 5.6 (Household/Property Pre-Screening). Provide potential program participants with educational materials in appropriate languages about the EBD Direct Install Program, the benefits of building decarbonization, who and how to contact if issues or questions arise with the equipment after the retrofit, and respond to their questions and concerns.
- Ensure outreach and engagement includes clear information on CEC approved programs and products and does not include third-party services or products not associated with the EBD Direct Install Program or otherwise approved by CEC.
- Include prevention measures to ensure the CEC, CCI, and DOE names and logos and EBD Direct Install Program aren't used for private party advertising or gain or used to mislead or otherwise exploit property owners or occupants.
- Maintain an Outreach and Engagement Log to track outreach activities.
- Discuss this task at Program Meetings (Task 1.3), as needed or as requested by the CAM.

**Recipient Products:**

- Outreach Materials
- Outreach and Engagement Log

**Task 5.9 Household Eligibility and Initial Enrollment**

The goal of this task is to verify household/property eligibility and conduct initial enrollment of eligible households/properties in the program. Final enrollment will occur after the home assessment (Task 5.10).

**The Recipient shall:**

- Collaborate with the CAM and the other regional administrators to develop an Application Template for participating households/properties. The Application Template shall include fields to collect information about the household and property, including but not limited to address, building type, fuel type, gas and electric service identifiers, income eligibility, consent for Recipient and the other regional administrators to receive the household's utility meter data, and consent to a home assessment. Separate Application Templates may be developed for single-family, multifamily, and manufactured homes.
- Support interested households/properties through all steps of initial program enrollment.
- Collaborate with the CAM to develop a procedure for income verification in compliance with the Guidelines, HOMES Program Requirements, and Application Instructions Sections 3.1.3, 4.1.3, and 4.1.6, Federal Programs Approved for Categorical Eligibility for DOE Home Energy Rebates. This shall include ensuring proof of income documents are current.
- Document household/property eligibility in accordance with Guidelines for building type, building location, fuel type, and income as part of initial program enrollment. As described in the Guidelines (Chapter 2E), eligibility for multifamily buildings will be determined at the whole-building level rather than unit by unit.
- Discuss this task at Program Meetings (Task 1.3), as needed or as requested by the CAM.
- Submit related data as part of Task 3.

**Recipient Products:**

- Application Template
- Data submitted as part of Task 3

## **Task 5.10 Home Assessments**

The goals of this task are (1) to assess homes that have completed Initial Enrollment in the program; (2) identify recommended measures to be installed in each assessed home; (3) model energy savings for HOMES funded projects; and (4) collect data points as part of the home assessment. For projects expected to utilize HOMES funding, data must be collected in line with the Data and Tools Requirement Guide for the IRA Programs.

### **The Recipient shall:**

- Establish Home Assessment Approach and Processes, including any special considerations for different building types, for review and approval by the CAM. For multifamily buildings, the Recipient shall consider energy used by common areas in addition to within units. For projects supported by HOMES funding, the Home Assessment Approach and Processes must meet the requirements of HOMES Guidance for the Modeled savings path, particularly Program Requirements & Applications Instructions Section 3.2.2. In addition, the Home Assessment Approach and Processes shall include the following elements:
  - Interview with the homeowner/occupant(s) (if available) about any concerns or issues they may have related to the performance of their home.
  - Evaluation of the following home appliances' operation, condition, efficiency, and fuel type as applicable:
    - Heating appliance(s)
    - Cooling appliance(s)
    - Domestic water heater
    - Clothes dryer
    - Cooking appliance
  - Evaluation of heating and cooling system duct work (if present).
  - Evaluation of occupant-controlled thermostat.
  - Evaluation of the home envelope including insulation level and assess possible sources of air-leakage (blower door test not required).
  - Evaluation of any interior and exterior incandescent, compact fluorescent, halogen, or T12 linear florescent light fixtures.
  - Evaluation of condition and Minimum Efficiency Reporting Value of air filters.
  - Evaluation of the main electrical panel condition, open slot availability, and capacity to support full home electrification using load calculation methodology in California Electrical Code Section 220.87.



- Identification of obvious electrical hazards.
- Identification of building-related health and safety conditions that may require remediation for the installation of decarbonization equipment including repair of roof or envelope leaks/damage, galvanized pipe, lead paint, asbestos, mold, smoke and carbon monoxide alarms, and ventilation.
- Identify whether the home is expected to receive HOMES funding prior to the home assessment.
- Conduct an assessment of the home, for each home that has completed Task 5.9 Household Eligibility and Initial Enrollment. The home assessment shall be conducted in accordance with the approved Home Assessment Approach and Processes.
- Identify recommended measures for the home following the home assessment, including any needed remediation and electrical work, based on the following information:
  - Information obtained through the home assessment
  - Standard packages of measures (Task 5.4)
  - Analysis of the home's utility meter data.
- Recommended measures must include, at a minimum, the Required Measures identified in the Eligible Measures section of the Guidelines.
  - All recommended measures must be eligible measures as listed in Table 4 of the Guidelines, unless the Recipient has submitted a request for substitute equipment and the request has been approved by the CEC Executive Director, as described in the Product Availability Constraints section of the Guidelines.
  - When identifying recommended measures, avoid the need for unnecessary electrical panel upgrades by incorporating the strategies described in the Electrical Upgrades section of the Guidelines, where appropriate.
  - When identifying recommended remediation measures, consider the program cost caps (see Task 5.5). The program cost caps are an average across all homes receiving retrofits.
- Estimate energy savings and bill impacts associated with the recommended measures.
  - For Projects expected to receive HOMES funding, expected energy savings must be modeled consistent with the HOMES Program Requirements and Application Instructions Section 3.2.4.1. HOMES funded Projects must be predicted to achieve a minimum of 20 percent energy savings to be eligible for funding.

- Conduct other assessments as needed if home is participating in public interest research or data collection (see Task 8). To the extent feasible, these research assessments shall be done at the same time as home retrofit assessment to minimize impact on occupants.
- Discuss this task at Program Meetings (Task 1.3), as needed or as requested by the CAM. Update Home Assessment Approach and Processes as requested by CAM.
- Collect and submit related data as part of Task 3.
- Retain required documentation related to the Home Assessment per HOMES Guidance, particularly Program Requirements & Application Instructions Section 3.2.2.

### **Recipient Products:**

- Home Assessment Approach and Processes (draft and final)
- Updated Home Assessment Approach and Processes (if requested by CAM)
- Data submitted as part of Task 3
- **Task 5.11 Program Participation Agreements and Tenant Protections**

The goal of this task is to execute Program Participation Agreements with property owners and occupants. Program Participation Agreements will identify the measures to be installed in the home as well as the rights and responsibilities of program participants, including tenant protections. See the Guidelines (Chapter 4C, Tenant Protection), HOMES Program Requirements and Application Instructions Section 3.1.3: Low-Income Homes, and Terms and Conditions for additional details about tenant protections.

### **The Recipient shall:**

- Develop Program Participation Agreement Template in collaboration with the CAM and documents that may be provided by the CEC. The Program Participation Agreement Template may take the form of a lease addendum, deed recording, or other documents. The form of the Program Participation Agreement may vary depending on whether the property is already deed-restricted, the number of units, or other factors.
- For each home for which a Task 5.10 Home Assessment has been completed:
  - Provide information about the program to the property owner and tenant (if applicable). Ensure information is available to the occupant and owner in any of the predominant languages spoken in the community. Such information shall include:

- Measures to be installed, including labor and materials warranty information.
  - Benefits expected from installed measures, including modeled energy savings and bill impacts.
  - Expected duration of construction and construction hours.
  - Whether temporary displacement is required and who will be paying for it.
  - For rental properties, rights, responsibilities, and limitations related to participation in this program, including rent increases; displacements and evictions; and for property owners, obligations with regard to future tenants and sale of property, pursuant to Guidelines and HOMES Program Requirements and Application Instructions regarding Low-Income Homes Section 3.1.3.
  - Expected timing of post-project follow-up surveys.
  - Number to call regarding any concerns related to a project funded by this program, including tenant protections.
  - If the home was selected to be a part of a public interest research activity, such as monitoring indoor air quality before and after or testing decarbonization equipment.
  - If applicable, the portion of the project cost supported by HOMES funding.
  - Penalties associated with the violation of Program Participation Agreement terms, including tenant protection provisions. As stated in the Terms and Conditions, penalties may include repayment of all project costs.
  - Any other information specified by the CAM.
- Customize Program Participation Agreement for the home.
  - Collect needed signatures on Program Participation Agreement, including attestation that all information provided by the Participant during the process is true and correct.
  - Take any additional steps that may be required to formalize the Program Participation Agreement, as specified by the CAM.
  - Follow up within 5 business days on any complaints received regarding violation of tenant protection provisions, and coordinate with the CEC to enact penalties if needed.

- Discuss this task at Program Meetings (Task 1.3), as needed or as requested by the CAM.
- Submit related data as part of Task 3.

### **Recipient Products:**

- Program Participation Agreement Template
- Data submitted as part of Task 3

### **Task 5.12 Building Decarbonization Retrofits**

The goal of this task is to conduct decarbonization retrofits in homes. Retrofit work must be done by enrolled contractors in accordance with the approved Workforce Plan (see Task 5.3).

### **The Recipient shall:**

- Obtain permits required for the retrofit, including utility approval of electrical panel upgrade, if needed.
- Install agreed upon measures in homes in accordance with the Program Participation Agreement and with installation standards specified in Task 5.3.
- Remove replaced equipment from the site and recycle or dispose of it properly in accordance with federal, state, and local regulations. For appliances containing refrigerant with global warming potential greater than 150, removal and disposal must follow refrigerant recovery procedures required by California Code of Regulations Section 95390 and Code of Federal Regulations Title 40, Part 82, Subpart F.
- Limit project construction for a single home or apartment unit to thirty (30) calendar days whenever possible.
- Minimize disruption to home occupants during construction. Avoid the need for temporary displacement if possible and reduce the duration of displacement if it is necessary. If displacement is needed, tenants shall have the right to return to the same unit once construction is complete and state and local laws governing tenant displacement shall apply.
- Ensure participating households are enrolled in the most appropriate rate plan from their utility, as well as any rate discounts and demand response programs for which they are eligible. Offer to assist households to enroll in appropriate rates, discounts, and demand response for which they are not already enrolled, including budget billing/level pay programs to smooth out monthly variability in energy bills.

- Programmable equipment shall be programmed to achieve energy efficiency, comfort, minimize consumption during peak periods, and facilitate enrollment in demand response programs if available.
- Inform building owners and occupants about the proper operation of their new equipment and any recommended maintenance (for example, the changing or cleaning of filters, setback temperatures, warm-up periods, and programming of equipment). Operation, maintenance, and warranty information shall be provided in writing in English and any other predominant language spoken in the community, if needed.
- Post-Installation Project Certificate. For projects supported by HOMES funding, ensure that participants receive the information required pursuant to HOMES Program Requirements and Application Instructions Section 3.2.6. The information may be provided by a Home Energy Rating System (HERS) Rater, the Recipient (but not the installer), another third-party or a combination of the above.
  - Templates for the Post-Installation Project Certificate must be approved by the CAM.
- Discuss this task at Program Meetings (Task 1.3), as needed or as requested by the CAM.
- Submit related data as part of Task 3.

### **Recipient Products:**

- Data submitted as part of Task 3
- Post-installation Project Certificate Template (draft and final)

### **Task 5.13 Quality Assurance and Quality Control (QA/QC)**

The goal of this task is to ensure the successful operation of installed equipment, and to address participant questions and concerns, consistent with the Guidelines, HOMES Program Guidance, and this Agreement.

### **The Recipient shall:**

- Develop QA/QC Procedures for review and approval by the CAM. Submit to CAM ten (10) calendar days before meeting for discussion. QA/QC Procedures will include the following, contemplate the various building types, and align with the Consumer Protection Plan described in Task 4 and with HOMES Program Guidance, specifically Program Requirements and Application Instructions Section 3.2.5:
  - Processes for consumer feedback

- Conflict resolution procedures
- Data or file reviews of all projects
- Onsite or Virtual Inspections for a portion of projects (if HOMES requirements are not already satisfied through permitting process)
- Verification that installation standards have been met
- Document retention of QA/QC Procedures
- Methods to use QA/QC Procedures and systems to inform program improvements
- Implement Final QA/QC Procedures.
- Ensure the quality of installation work for a minimum of twelve (12) months, and promptly address any deficiencies.
- Maintain a hotline for program participants to report problems and questions regarding equipment operation for the duration of this agreement, and record problems and questions in a Hotline Call Log Tracker. Provide the hotline telephone number to customers in a clear and useful format, for example on stickers affixed to equipment.
- Ensure that contractors adhere to installation standards devised under Task 5.3 including any legally required testing.
- Discuss this task at Program Meetings (Task 1.3), as needed or as requested by the CAM.
- Submit related data as part of Task 3.
- Facilitate CEC audits of a subset of homes retrofitted through the program.

#### **Recipient Products:**

- Hotline Call Log Tracker
- QA/QC Procedures (draft and final)
- Data submitted as part of Task 3

#### **Task 5.14 Participant Surveys**

The goal of this task is to collect feedback and data about participant experience and satisfaction.

#### **The Recipient shall:**

- Develop a Draft Participant Survey to obtain feedback from participating households, for review and approval by the CAM. The survey will address

resident satisfaction with program staff, installation contractors, construction, and new equipment and will include, at minimum, the relevant questions listed in and adhere to the timelines specified in HOMES Requirements & Application Instructions, Appendix B. Submit to CAM ten (10) calendar days before meeting to discuss.

- Integrate CAM feedback into Final Participant Survey.
- Discuss this task at Program Meetings (Task 1.3), as needed or as requested by the CAM.

### **Recipient Products:**

- Participant Survey (draft and final)
- Data submitted as part of Task 3

## **TASK 6 CONTINUOUS IMPROVEMENT**

The goal of this task is to align the Recipient and the CAM on Program performance, ensure Program effectiveness and provide timely adjustments for improvement.

### **The Recipient shall:**

- Consider results, lessons learned, and data from program implementation to evaluate success, and propose course corrections and adjustments on a periodic basis.
- In proposing course corrections and adjustments, factors that the Recipient shall consider include but are not limited to:
  - Contractor performance as measured by critical review of project scopes and pricing, participant reviews, site visits, and other Quality Control measures
  - Actual energy savings results for projects (calculated by the CEC or another contractor utilizing standardized, open-source analytical methods)
  - Actual bill impacts for completed projects
  - Program Participant Hotline calls
  - Participant Surveys
  - Feedback and input from the Advisory Group and CEC staff
  - Budgeted versus actual expenditures
  - Other agreed upon metrics
- Implement proposed course corrections and adjustments after review and approval by CAM.

- Take corrective action if fraudulent activity on the part of contractors or property owners is brought to the Recipient's attention.
- Discuss this task at Program Meetings (Task 1.3) or other meetings, as needed or requested by the CAM.

## **TASK 7 LEVERAGING AND LAYERING WITH OTHER PROGRAMS**

The goal of this task is to ensure coordination with other CEC-approved programs, where possible, to leverage other funding sources to allow more homes to be reached and maximize the benefits of the EBD Direct Install Program. Program coordination should be designed to reduce greenhouse gas emissions and advance energy equity.

### **The Recipient shall:**

- Develop a draft Coordination Plan addressing coordination with other programs, for review and approval by the CAM, that includes the following elements:
  - When EBD Direct Install Program funds are used to fund specific measures as part of a project, other complementary (non-HOMES) funding sources are considered first, whenever possible.
  - Complexity for program participants and contractors is minimized.
  - For HOMES supported projects, confirmation to the best of Recipient's ability that property did not receive a federal grant for any measure receiving HOMES funding, including rebates under the IRA Home Electrification and Appliance Rebate Program.
  - Legal and regulatory requirements of each funding source are met.
  - Total amount of funding applied to a project does not exceed the actual project cost.
- Coordination Plan may include:
  - Coordination with programs that provide funding for one or more measures that are also eligible through the EBD Direct Install Program, such as remediation, smart thermostats, electrical panel upgrades, or heat pumps.
  - Coordination with programs that provide funding for complementary measures that are not eligible for EBD Direct Install Program funding, including, but not limited to, solar photovoltaic panels, electric vehicle charging, shade trees, windows, and battery storage.
- Discuss this task at Program Meetings (Task 1.3) or other meetings, as needed or as requested by the CAM, and develop a final Coordination Plan.
- Implement the final Coordination Plan.



- Track layering by project and provide data as part of Task 3 and Monthly Progress Report (Task 1.6)

**Recipient Products:**

- Coordination Plan (draft and final)
- Data submitted as part of Task 3

**TASK 8 COORDINATION WITH OTHER PROGRAMS AND PUBLIC INTEREST RESEARCH**

The goal of this task is to coordinate with other programs and public interest research for purposes other than layering and leveraging funds.

**The Recipient shall:**

- Coordinate with representatives of other CAM-approved programs to advance shared goals and align activities, as opportunities arise. For example, this may include coordination with the California Heat Pump Public-Private Partnership.
- Coordinate with CAM-approved public interest research programs to advance research or evaluate the efficacy or impact of building decarbonization technologies, as opportunities arise. For example, this may include:
  - Identifying and facilitating access to a group of sample homes, in a variety of climate zones and building types, for the installation of air monitors and data collection pre and post retrofit, and subsequent removal of air quality monitoring equipment.
  - Identifying a sample of homes in different regions of the state to evaluate building decarbonization or communication technologies.
- Discuss this task at Program Meetings (Task 1.3) or other meetings, as needed or as requested by the CAM.
- Track coordination with other programs as part of Task 3.

**Recipient Products:**

- Data submitted as part of Task 3