SUBMITTAL TO THE BOARD OF SUPERVISORS
COUNTY OF RIVERSIDE, STATE OF CALIFORNIA

ITEM: 3.40
(ID # 27730)
MEETING DATE:
Tuesday, June 10, 2025

FROM : HOUSING AND WORKFORCE SOLUTIONS

SUBJECT: HOUSING AND WORKFORCE SOLUTIONS/COMMUNITY ACTION PARTNERSHIP (HWS/CAP): Approve the Weatherization Inspection Services Agreement with Oakridge Energy and Construction, Inc. DBA Oakridge Construction and Energy through June 30, 2028; All Districts. [$400,000 Total Aggregate; 100% State of California Department of Community Services and Development Funds]

RECOMMENDED MOTION: That the Board of Supervisors:

1. Approve the Weatherization Inspection Services ("Agreement") with Oakridge Energy and Construction, Inc., through June 30, 2028 not to exceed the aggregate amount of $400,000, and authorize the Chair of the Board of Supervisors to sign three (3) copies of the same on behalf of the County;

2. Authorize the Purchasing Agent, in accordance with Ordinance No. 459, based on the availability of fiscal funding and as approved as to form by County Counsel, to: (a) sign amendments that exercise the options of the agreement including modifications of the statement of work that stay within the intent of the agreement; and (b) sign amendments to the compensation provisions that do not exceed the sum total of ten percent (10%) aggregate;

Continued on page 2

ACTION:Policy

Heidi Marshall, Director 4/30/2025

MINUTES OF THE BOARD OF SUPERVISORS

On motion of Supervisor Gutierrez, seconded by Supervisor Washington and duly carried by unanimous vote, IT WAS ORDERED that the above matter is approved as recommended.

Ayes:	Medina, Spiegel, Washington, Perez and Gutierrez
Nays:	None
Absent:	None
Date:	June 10, 2025
xc:	HWS, CAP

Kimberly A. Rector
Clerk of the Board
By: _____ Deputy

RECOMMENDED MOTION: That the Board of Supervisors:

3. Authorize the Purchasing Agent, or designee, to issue Purchase Orders for goods and/or services that do not exceed the Board approved amount; and

4. Direct the Clerk of the Board to return two original copies of each of the attached Agreements to Community Action Partnership for distribution.

FINANCIAL DATA	Current Fiscal Year:	Next Fiscal Year:	Total Cost:	Ongoing Cost
COST	$200,000	$200,000	$400,000	$ 0
NET COUNTY COST	$ 0	$ 0	$ 0	$ 0
SOURCE OF FUNDS: State of California Community Services and Development Funds 100%			**Budget Adjustment:** No **For Fiscal Year:** 24/25 – 27/28	

C.E.O. RECOMMENDATION: Approve

BACKGROUND:

Summary

Annual Award of LIHEAP Funds

The State of California's Department of Community Services and Development (CSD) sponsors the Department of Energy (DOE) Bipartisan Infrastructure Law (BIL) and Weatherization Assistance Program (WAP) for cities and local governments with populations of 50,000 or more within California. Funds for the LIHEAP program originate annually through the Federal appropriations process and are granted to CSD by the United States Department of Health and Human Services (HHS). Among other things, LIHEAP provides local agencies with the financial resources to hire contractors to install, repair, or renovate the heating, cooling, insulation, and weatherization needs of dwellings belonging to or occupied by low-income residents of Riverside County.

CSD has awarded Housing and Workforce Solutions/Community Action Partnership (CAP) several grants, supplemental funding, and amendments with additional funding:

- A total of $6,312,214 in Bipartisan Infrastructure Law Department of Energy Weatherization Assistance Program grant funding with Contract #22P-7020 (referred to as BIL DOE WAP 2023) which expires on June 30, 2027.

- A total of $351,404 in Department of Energy Weatherization Assistance Program grant funding with Contract amendment #22C-6021 (referred to as DOE WAP 2024) which expires on June 30, 2025.

These funds are to be used for emergency heating and cooling repair services for CAP's approved low-income clients. The continued awarding of these grants is dependent on

CAP's ability to perform in servicing the many low-income residents currently on the Weatherization Program's waiting list.

CAP is the Project Sponsor and has administered these Weatherization programs for many years. As Project Sponsor, CAP plans, coordinates, and monitors weatherization services for eligible Riverside County residents. Such services include the repair or replacement of HVAC systems, insulation, weatherstripping, furnaces, heaters, and energy efficient lighting in effort to reduce energy costs. CAP utilizes the services of subcontractors to perform this work and typically divides the CSD awarded amounts among all qualified subcontractors depending on their production capacities.

In order to continue the work funded by these grant awards, CAP requires specialized subcontractors to perform program-specific inspection services for eligible weatherization projects. County Purchasing recently advertised a Request for Qualifications (RFQu) for weatherization inspection services, and Oakridge Energy and Construction, Inc., was the contractor deemed qualified and was subsequently selected by CAP as the eligible subcontractor.

Staff recommends that the Board of Supervisors now accept and approve the award of the Weatherization contract to Oakridge Energy and Construction, Inc. (Contractor) and approve the form of Professional Services Agreement effective upon signature and shall continue until all funds are expended or until June 30, 2028, whichever occurs first.

Impact on Residents and Businesses

There is no negative impact as CAP's contractors will be able to install, repair, or renovate the heating, cooling, insulation, and weatherization needs of dwellings belonging to or occupied by low-income residents of Riverside County.

Additional Fiscal Information

No County General Funds would be required. The total dollar amount of the Weatherization Subcontractor Agreements with each of CAP's contractors is not a guarantee of payment amount. This total dollar amount is the maximum amount that is available per contractor for performing billable work under the CSD contract. Any unspent contract amount will be carried forward to the next fiscal year, pursuant to the terms of the funding source.

Contract History and Price Reasonableness

The County of Riverside Purchasing Department, on behalf of Community Action Partnership, issued a Request for Qualification (RFQu) CAARC-0067 released on PublicPurchase.com which is open to the public until December 30, 2025. Thirty-four (34) bidders were notified, twenty (20) downloaded the bid package, and three (3) bids were received thus far.

After careful evaluation of the responses, the County determined that Oakridge Energy and Construction, Inc., was determined to be the most responsive and responsible bidder of the three that were received. The contractor possesses all the required licensure and current certifications to perform this service. The request for qualification packets were reviewed by Purchasing and scored based on pass or failure. Oakridge Energy and Construction, Inc. possessed a valid, C-20 Warm-Air Heating, Ventilating, Air-Conditioning Contractor's license, Energy Assessment, and Quality Control Inspection Services (HEP & QCI) Energy auditing necessary to do the work.

ATTACHMENTS:

- Professional Services Agreement with Oakridge Energy and Construction, Inc., for INSPECTION SERVICES FOR WEATHERIZATION PROJECTS (PSA)
- PSA Exhibit C- BIL DOE WAP Standard Agreements: 22P-7020, 22C-6021
- PSA Exhibit D- Community Service and Development (CSD) Technical Reference Manual

Melissa Curtis
Melissa Curtis, Deputy Director of Purchasing and Fleet 5/15/2025

Brianna Lontajo
Brianna Lontajo, Principal Management Analyst 6/3/2025

Aaron Gettis
Aaron Gettis, Chief of Deputy County Counsel 5/30/2025

Weatherization Inspection Services Agreement

Between

The County of Riverside

and

Oakridge Energy & Construction, Inc.

dba Oakridge Construction & Energy

JUN 10 2025 3.40

AGREEMENT FOR WEATHERIZATION INSPECTION SERVICES ("Agreement"), is made and entered into between OAKRIDGE ENERGY & DEVELOPMENT INC., DBA OAKRIDGE CONSTRUCTION & ENERGY a California corporation ("CONTRACTOR") and the COUNTY OF RIVERSIDE, a political subdivision of the State of California, on behalf of its Community Action Partnership agency (CAP). This Agreement shall become effective upon execution by both parties. The parties agree as follows:

Description of Services

CONTRACTOR shall provide CAP Riverside low-income clients and their families with the State Department of Energy (DOE) and Low Income Home Energy Assistance Program (LIHEAH) contract-required assessments and inspections for projects and services as outlined in the Scope of Service, attached hereto as Exhibit A and incorporated herein by this reference.

1.1 CONTRACTOR represents that it has the skills, experience, and knowledge necessary to fully and adequately perform under this Agreement, and CAP Riverside relies upon this representation. CONTRACTOR shall perform to the satisfaction of CAP, and CONTRACTOR shall perform the services and duties in conformance to and consistent with the standards generally recognized as being employed by professionals in the same discipline in the State of California.

CONTRACTOR further represents and warrants to CAP that it has all licenses, permits, qualifications and approvals of whatever nature are legally required to practice its profession and provide DOE weatherization inspection services. CONTRACTOR further represents that it shall keep all such licenses and approvals in effect during the term of this Agreement.

CONTRACTOR further represents that it is familiar with all the California State Community Services and Development Department (CSD) compliance documents that are available online on the CSD website at hhtp://www.providers.csd.ca.gov.

1.2 CONTRACTOR shall comply with all applicable terms as set forth in the State of California Department of General Services Standard Agreement 22P-7020, 22C-6021 (Exhibit C) and CSD Technical Reference Manual (TRM) 1.41 effective as of January 1, 2025 (Exhibit D).

1.3 CONTRACTOR affirms that it is fully apprised of all work to be performed under this Agreement as stated in Exhibit A, and CONTRACTOR agrees it can properly perform this work at the fees stated in Exhibit B, attached hereto and incorporated herein by this reference, or in the amounts as otherwise structured by CAP. If the CONTRACTOR'S fees are more than the maximum allowable amounts, CONTRACTOR shall

not perform services or provide products that are not set forth in this Agreement, unless by prior written request of CAP.

1.4 Acceptance by CAP of CONTRACTOR'S performance under this Agreement does not operate as a release of CONTRACTOR'S responsibility for full compliance with the terms of this Agreement.

1.5 CAP shall provide the CONTRACTOR with weatherization projects to assess for DOE or LIHEAP. Scope of Work for that job will be based on assessment & inspection needs as required by the Technical Reference Manual (TRM) for each type of funding.

2. Period of Performance

2.1 This Agreement shall commence upon signature of this Agreement by both parties and shall continue for a period of two (2) years, with two (2) one-year options to renew, or until all funds are expended, whichever occurs first, unless earlier terminated pursuant to either Paragraph 3.4 or Paragraph 5 below but in no event shall Agreement continue beyond June 30, 2028. CONTRACTOR shall commence performance upon that date and shall diligently and continuously perform thereafter.

3. Compensation

3.1 CAP shall pay CONTRACTOR for services performed, products provided, and expenses incurred in accordance with CONTRACTOR'S bid and the Pricing Matrix shown at Exhibit B. Maximum payment by CAP to CONTRACTOR for the services provided herein shall not exceed FOUR HUNDRED THOUSAND DOLLARS ($400,000), including all expenses, (Contracted Amount) over the term of this Agreement.

CAP shall not be responsible for any fees or costs incurred above or beyond the Contracted Amount, and CAP shall have no obligation to purchase any specified amount of services or products unless agreed to in writing by CAP pursuant to Paragraph 4 below. CONTRACTOR shall not be entitled to any additional fees for any of the Weatherization Services other than those set forth below. No compensation shall be allowed for administrative, overhead, word processing (normal or overflow secretarial time or overtime, or computer time or service) and related expenses.

3.2 The maximum amounts payable to the CONTRACTOR pursuant to this Agreement shall not exceed the amounts listed in Exhibit B and/or those authorized by LIHEAP and DOE and CSD standards for that particular calendar year. If any of the amounts listed in Exhibit B are in excess of these maximum allowable costs, then those costs shall be reduced to the maximum allowable amount(s) by CAP in its sole and absolute discretion.

3.3 CONTRACTOR shall be paid only in accordance with an invoice submitted to CAP by CONTRACTOR. CAP shall pay the invoice within thirty (30) working days from the date of receipt of the invoice. Payment shall be made to CONTRACTOR only after services have been rendered or delivery of materials or products, and acceptance has been made by CAP. For this Agreement, invoices may be mailed or emailed as follows:

Rivco Community Action Partnership
Attn: CAP Fiscal Team
2038 Iowa Avenue Ste. B-102
Riverside, CA 92507

HWS-CAP-Fiscal@rivco.org
(951) 955-4900

a) The CONTRACTOR shall submit a weekly invoice for actual expenses incurred in providing the Service along with appropriate documentation of expenditures (receipts, copies of checks issued, timecards, travel expense, etc.); remittance address; and an invoice total.

b) The Invoice must be submitted within five (5) working days of the end of the reporting period. Expenditures may not be reimbursed if all documentation is not received in a timely manner.

c) If the eligibility of expenditures cannot be determined because CONTRACTOR'S records or documentation are nonexistent or inadequate, according to generally accepted accounting practices, the questionable costs shall be disallowed by CAP.

3.4 CAP's obligation for payment of this Agreement beyond June 30 of any year within the term of agreement is contingent upon and limited by the availability of funding from which payment can be made. No legal liability on the part of CAP shall arise for payment beyond June 30, unless funds are made available for such payment. In the event that such funds are not forthcoming for any reason, CAP shall immediately notify CONTRACTOR in writing, and this Agreement shall be deemed terminated and have no further force and effect.

3.5 CONTRACTOR acknowledges and agrees that this Agreement and the provision of services hereunder is nonexclusive and that the CAP may enter into similar agreements with other entities for the provision of similar services.

3.6 The CONTRACTOR agrees that if, during the period of performance, CAP determines that the total Contracted Amount will not be expended, CAP, in its sole and absolute discretion, reserves the right to reduce the Contracted Amount, as determined by a review of CONTRACTOR'S invoices. Any reductions

will be made in accordance with the terms outlined below in Paragraph 4 and/or Paragraph 5

4. Alteration or Changes to the Agreement

4.1 No alteration or variation of the terms of this Agreement shall be valid unless made in writing and signed by the parties hereto, and no oral understanding or agreement not incorporated herein shall be binding on any of the parties hereto other than as defined below.

4.2 No additional services shall be performed by CONTRACTOR without a written amendment to this Agreement. CONTRACTOR understands that the Contracting Officer or the HWS Director or designee are the only authorized CAP representatives who may, at any time by written order, make any alterations within the general scope of this Agreement.

4.3 Additional Required Measures: If any new or additional construction, weatherization or rehabilitation measures, requirements or standards are adopted or required by the County of Riverside, the State of California, or the U.S. Government during the term of this Agreement, those new measures shall be considered the required standards and shall replace all relevant current Scope of Work requirements upon two (2) working days written notice to the CONTRACTOR.

4.4 Any claim by the CONTRACTOR for additional payment related to this Agreement shall be made in writing by the CONTRACTOR within 30 days of when the CONTRACTOR has or should have notice of any actual or claimed change in the Scope of Service which results in additional and unanticipated cost to the CONTRACTOR. If the Contracting Officer decides that the facts provide sufficient justification, they may authorize additional payment to the CONTRACTOR pursuant to the claim. Nothing in this Section shall excuse the CONTRACTOR from proceeding with performance of the Agreement even if there has been a change in the Scope of Service.

5. Termination

5.1 CAP may, by written notice to CONTRACTOR, terminate this Agreement in whole or in part at any time. Such termination may be for CAP's convenience or because of CONTRACTOR'S failure to perform its duties and obligations under this Agreement including, but not limited to, the failure of CONTRACTOR to timely perform services pursuant to this Agreement including, but not limited to, the Scope of Service attached hereto as Exhibit A and incorporated herein by this reference.

5.2 Discontinuance of Services: Upon Termination, CONTRACTOR shall, unless otherwise directed by the notice, discontinue all services and deliver to CAP all data, estimates, graphs, summaries,

reports, and other related materials as may have been prepared or accumulated by CONTRACTOR in performance of services, whether completed or in progress.

5.3 Effect of Termination for Convenience: If the termination is to be for the convenience of CAP, then CAP shall compensate CONTRACTOR for services satisfactorily provided through the date of termination. CONTRACTOR shall provide documentation deemed adequate by CAP to show the services completed by CONTRACTOR prior to the date of termination. This Agreement shall terminate thirty (30) days following receipt by CONTRACTOR of the written notice of termination.

5.4 Effect of Termination for Cause: If the termination is due to the failure of CONTRACTOR to fulfill its obligations under this Agreement, CONTRACTOR shall be compensated for those services which have been completed in accordance with this Agreement and accepted by CAP. In such case, CAP may take over the work and prosecute the same to completion by contract or otherwise. Further, CONTRACTOR shall be liable to CAP for any reasonable additional costs incurred by CAP to revise work for which CAP has compensated CONTRACTOR under this Agreement but which CAP has determined in its sole discretion needs to be revised in part or whole to complete the project. Prior to discontinuance of services, CAP may arrange for a meeting with CONTRACTOR to determine what steps, if any, CONTRACTOR can take to adequately fulfill its requirements under this Agreement. In its sole discretion, CAP may propose an adjustment to the terms and conditions of the Agreement, including the Contract Amount. Such contract adjustments, if accepted in writing by the parties, shall become binding on CONTRACTOR and shall be performed as part of this Agreement. In the event of termination for cause, unless otherwise agreed to in writing by the parties, this Agreement shall terminate seven (7) days following the date the notice of termination was mailed to CONTRACTOR. Termination of this Agreement for cause may be considered by CAP in determining whether to enter into future agreements with CONTRACTOR.

5.5 Notwithstanding any of the provisions of this Agreement, CONTRACTOR'S rights under this Agreement shall terminate (except for fees accrued prior to the date of termination) upon dishonesty or a willful or material breach of this Agreement by CONTRACTOR, or in the event of CONTRACTOR'S unwillingness or inability for any reason whatsoever to perform the duties hereunder, or if the Agreement is terminated pursuant to this Paragraph 5. In such event, CONTRACTOR shall not be entitled to any further compensation under this Agreement.

5.6 If this Agreement is Federally or State funded, CONTRACTOR shall not be debarred from the System for Award Management (SAM). CONTRACTOR must notify CAP immediately of a debarment. Reference: System for Award Management (SAM) at https://www.sam.gov for the Central Contractor

Registry (CCR), Federal Agency Registration (FedReg), Online Representations and Certifications Application, (ORCA) and Excluded Parties List System (EPLS). (Executive Order 1 2549, 7 CFR Part 3017, 45 CFR Part 76, and 44 CFR Part 17). The System for Award Management (SAM) is the Official U.S. Government system that consolidated the capabilities of CCR, FedReg, ORCA, and EPLS.

5.7 The rights and remedies of CAP provided in this Paragraph 5 shall not be exclusive and are in addition to any other rights and remedies provided by law or this Agreement.

6. Ownership/Use of Contract Materials and Products

CONTRACTOR agrees that all materials, reports, or products in any form, including electronic, created by the CONTRACTOR for which the CONTRACTOR has been compensated by CAP pursuant to this Agreement, shall be the sole property of CAP. The material, reports or products may be used by CAP for any purpose that it deems to be appropriate, including but not limited to duplication and/or distribution within CAP or third parties. CONTRACTOR agrees not to release or circulate in whole or part such materials, reports, or products without prior written authorization of CAP.

7. Conduct of Contractor

7.1 CONTRACTOR covenants that it presently has no interest which would conflict in any manner or degree with the performance of services required under this Agreement, including but not limited to other projects or independent contracts, and shall not acquire any such interest, direct or indirect. CONTRACTOR further covenants that in the performance of this Agreement, no person having any such interests shall be employed or retained by it under this Agreement. CONTRACTOR agrees to inform CAP of all CONTRACTOR'S interests, if any, which are or may be perceived as incompatible with CAP'S interests.

7.2 CONTRACTOR shall not, under circumstances which could be interpreted as an attempt to influence the recipient in the conduct of his/her duties, accept any gratuity or special favor from individuals or firms with whom CONTRACTOR is doing business or proposing to do business in accomplishing the work under this Agreement.

7.3 CONTRACTOR or its employees shall not offer gifts, gratuity, favors, or entertainment directly or indirectly to CAP employees.

7.4 CONTRACTOR agrees to submit to CAP, prior to release, copies of any proposed publicity pertaining to this Agreement. CAP reserves the right to modify or withdraw said publicity in its sole and absolute discretion.

8. Inspection of Service; Quality Control/Assurance

8.1 All performance (which includes services, workmanship, materials, supplies, and equipment furnished or utilized in the performance of this Agreement) shall be subject to performance of DOE and LIHEAP Assessments and Inspections as per contract requirements outlined in the Technical Reference Manual (TRM) exhibit D and by CAP or other regulatory agencies at all times. The CONTRACTOR shall provide adequate cooperation to CAP representative(s) to permit them to determine CONTRACTOR'S conformity with the terms of this Agreement. If any services performed or products provided by CONTRACTOR are not in conformance with the terms of this Agreement, CAP shall have the right to require CONTRACTOR to perform the services or provide the products in conformance with the terms of the Agreement at no additional cost to CAP. When the services to be performed or the products to be provided are of such nature that the difference cannot be corrected, CAP shall have the right to: (1) require CONTRACTOR immediately to take all necessary steps to ensure future performance in conformity with the terms of the Agreement; and/or (2) reduce the Agreement price to reflect the reduced value of the services performed or products provided. CAP may also terminate this Agreement for default and charge to CONTRACTOR any costs incurred by CAP because of CONTRACTOR'S failure to perform.

8.2 CONTRACTOR shall establish adequate procedures for self-monitoring to ensure proper performance under this Agreement; and shall permit CAP representative(s) to monitor, assess, or evaluate CONTRACTOR'S performance under this Agreement at any time upon reasonable notice to CONTRACTOR.

9. Independent Contractor/Employment Eligibility

9.1 CONTRACTOR is, for purposes relating to this Agreement, an independent contractor and shall not be deemed an employee of CAP. It is expressly understood and agreed that CONTRACTOR (including its employees, agents, and subcontractors) shall in no event be entitled to any benefits to which CAP employees are entitled, including but not limited to overtime, any retirement benefits, worker's compensation benefits, and injury leave or other leave benefits. There shall be no employer-employee relationship between the parties, and CONTRACTOR shall hold CAP harmless from any and all claims that may be made against CAP based upon any contention by a third party that an employer-employee relationship exists by reason of this Agreement. It is further understood and agreed by the parties that CONTRACTOR in the performance of this Agreement is subject to the control or direction of CAP merely as to the results to be accomplished and not as to the means and methods for accomplishing the results.

9.2 CONTRACTOR warrants that it shall make its best effort to fully comply with all federal and state

statutes and regulations regarding the employment of aliens and others and to ensure that employees performing work under this Agreement meet the citizenship or alien status requirement set forth in federal statutes and regulations. CONTRACTOR shall obtain from all employees performing work hereunder, all verification and other documentation of employment eligibility status required by federal or state statutes and regulations including, but not limited to, the Immigration Reform and Control Act of 1986, 8 U.S.C. §1324 et seq., as they currently exist and as they may be hereafter amended. CONTRACTOR shall retain all such documentation for all covered employees for the period prescribed by the law.

10. Subcontract for Work or Services

No contract shall be made by CONTRACTOR with any other party for furnishing any of the work or services under this Agreement without the prior written approval of CAP. This provision shall not require the approval of contracts of employment between CONTRACTOR and personnel assigned under this Agreement, or for parties previously named in the RFQu and agreed to under this Agreement.

11. Disputes

11.1 The parties shall attempt to resolve any disputes amicably at the working level. If that is not successful, the dispute shall be referred to the senior management of the parties. Any dispute relating to this Agreement which is not resolved by the parties shall be decided by the Contracting Officer who shall furnish the decision in writing. The decision of the Contracting Officer shall be final and conclusive unless determined by a court of competent jurisdiction to have been fraudulent, capricious, arbitrary, or so grossly erroneous as necessarily to imply bad faith.

11.2 CONTRACTOR shall not delay or postpone any work pending resolution of any disputes or disagreements, except as the COUNTY or CONTRACTOR may otherwise agree in writing. Pending final resolution of a dispute and/or claim, the CONTRACTOR shall proceed diligently with performance of the Agreement and the COUNTY shall continue to make payments for undisputed work in accordance with the Agreement Documents. CONTRACTOR shall proceed diligently with the performance of this Agreement pending the resolution of a dispute.

11.3 Prior to the filing of any legal action related to this Agreement, the parties shall be obligated to attend a mediation session in Riverside County before a neutral third-party mediator. A second mediation session shall be required if the first session is not successful. The parties shall share the cost of the mediations. Each party shall be responsible for its own legal fees and other expenses incident to the preparation for mediation.

12. Licensing and Permits

CONTRACTOR shall comply with all State or other licensing requirements, including but not limited to the provisions of Chapter 9 of Division 3 of the Business and Professions Code. All licensing requirements shall be met at the time proposals are submitted to CAP, including all licensing requirements found in the CSD Technical Reference Manual ver. 1.4 (Exhibit D). CONTRACTOR is required to maintain in good standing a Class B General Building Contractors license and/or all required specialty licenses. CONTRACTOR shall confirm the applicability and requirements for licensing at http://www.cslb.ca.gov/. Specialty licenses include C-20 HVAC, C-36 Plumbing, and BPI – Energy Audit. CONTRACTOR warrants that it has all necessary permits, approvals, certificates, waivers, and exemptions necessary for performance of this Agreement as required by the laws and regulations of the United States, the State of California, the County of Riverside, and all other governmental agencies with jurisdiction and shall maintain these throughout the term of this Agreement.

13. Data Security

13.1 Definitions: Terms used herein shall have the meanings set forth in this Paragraph 13.

"Authorized Employees" means CONTRACTOR'S employees who have a need to know or otherwise access Personal Information to enable CONTRACTOR to perform its obligations under this Agreement.

"Authorized Persons" means (i) Authorized Employees; and (ii) CONTRACTOR'S subcontractors, agents, and auditors who have a need to know or otherwise access Personal Information to enable CONTRACTOR to perform its obligations under this Agreement, and who are bound in writing by confidentiality obligations sufficient to protect Personal Information in accordance with the terms and conditions of this Agreement.

"Highly Sensitive Personal Information" means an (i) individual's government- issued identification number (including social security number, driver's license number or state-issued identified number); (ii) financial account number, credit card number, debit card number, credit report information, with or without any required security code, access code, personal identification number or password, that would permit access to an individual's financial account; or (iii) biometric or health data.

"Personal Information" means information provided to CONTRACTOR by or at the direction of CAP, or to which access was provided to CONTRACTOR by or at the direction of CAP, in the course of CONTRACTOR'S performance under this Agreement that: (i) identifies or can be used to identify an individual (including, without limitation, names, signatures, addresses, telephone numbers, e-mail addresses

and other unique identifiers); or (ii) can be used to authenticate an individual (including, without limitation, employee identification numbers, government-issued identification numbers, passwords or PINs, financial account numbers, credit report information, biometric or health data, answers to security questions, and other personal identifiers). In case of both subclauses (i) and (ii), including, without limitation, all Highly Sensitive Personal Information, business contact information is not by itself deemed to be Personal Information.

13.2 Standard of Care:

A. CONTRACTOR acknowledges and agrees that, in the course of its engagement by CAP, CONTRACTOR may receive or have access to Personal Information. CONTRACTOR shall comply with the terms and conditions set forth in this Agreement in its collection, receipt, transmission, storage, disposal, use, and disclosure of such Personal Information and be responsible for the unauthorized collection, receipt, transmission, access, storage, disposal, use, and disclosure of Personal Information under its control or in its possession by all Authorized Employees/Authorized Persons. CONTRACTOR shall be responsible for and remain liable to CAP for the actions and omissions of all Authorized Persons that are not Authorized Employees concerning the treatment of Personal Information as if they were CONTRACTOR's own actions and omissions.

B. Personal Information is deemed to be Confidential Information of CAP and is not Confidential Information of CONTRACTOR. In the event of a conflict or inconsistency between this Section 13 and compliance with California law, the terms and conditions set forth in this Section 13 shall govern and control.

C. In recognition of the foregoing, CONTRACTOR agrees and covenants that it shall: (i) keep and maintain all Personal Information in strict confidence, using such degree of care as is appropriate to avoid unauthorized access, use or disclosure; (ii) use and disclose Personal Information solely and exclusively for the purposes for which the Personal Information, or access to it, is provided pursuant to the terms and conditions of this Agreement, and not use, sell, rent, transfer, distribute, or otherwise disclose or make available Personal Information for CONTRACTOR'S own purposes or for the benefit of anyone other than CAP, in each case, without CAP'S prior written consent; and (iii) not, directly or indirectly, disclose Personal Information to any person other than its Authorized Employees/Authorized Persons, (an "Unauthorized Third Party"), without express written consent from CAP, unless and to the extent required by government authorities or as otherwise to the extent expressly required by applicable law, in which case, CONTRACTOR shall (i) use best efforts to notify CAP before such disclosure or as soon thereafter as reasonably possible. and (ii) require the Unauthorized Third Party that has access to Personal Information to execute a written agreement to comply with the terms and conditions of this Agreement relating to the treatment of Personal

Information.

13.3 Information Security:

A. CONTRACTOR represents and warrants that its collection, access, use, storage, disposal, and disclosure of Personal Information does and will comply with all applicable federal, state, privacy, and data protection laws, as well as all other applicable regulations and directives.

B. At a minimum, CONTRACTOR'S safeguards for the protection of Personal Information shall include: (i) limiting access of Personal Information to Authorized Employees/Authorized Persons; (ii) securing business facilities, data centers, paper files, servers, back-up systems and computing equipment, including, but not limited to, all mobile devices and other equipment with information storage capability; (iii) implementing network, device application, database and platform security; (iv) securing information transmission, storage and disposal; (v) implementing authentication and access controls within media, applications, operating systems and equipment; (vi) encrypting Highly Sensitive Personal Information stored on any mobile media; (vii) encrypting Highly Sensitive Personal Information transmitted over public or wireless networks; (viii) strictly segregating Personal Information from information of CONTRACTOR or its other customers so that Personal Information is not commingled with any other types of information; (ix) implementing appropriate personnel security and integrity procedures and practices, including, but not limited to, conducting background checks consistent with applicable law; and (x) providing appropriate privacy and information security training to CONTRACTOR'S employees.

14. Non-Discrimination

CONTRACTOR shall not discriminate in the provision of services, allocation of benefits, accommodation in facilities, or employment of personnel on the basis of ethnic group identification, race, religious creed, color, national origin, ancestry, physical handicap, medical condition, marital status or sex in the performance of this Agreement; and, to the extent they shall be found to be applicable hereto, shall comply with the provisions of the California Fair Employment Practices Act (commencing with Section 1410 of the Labor Code), the Federal Civil Rights Act of 1964 (P.L. 88-352), the Americans with Disabilities Act of 1990 (42 U.S.C. §12101 et seq.), and all other applicable laws or regulations.

15. Records and Documents

CONTRACTOR shall make available, upon written request by any duly authorized Federal, State, or County agency, a copy of this Agreement and such books, documents, and records as are necessary to certify the nature and extent of the CONTRACTOR'S costs related to this Agreement. All such books, documents,

and records shall be maintained by CONTRACTOR for at least five (5) years following termination of this Agreement and be available for audit by CAP. CONTRACTOR shall provide to CAP reports and information related to this Agreement as requested by CAP.

16. Confidentiality

16.1 CONTRACTOR shall not use for personal gain or make other improper use of privileged or confidential information which is acquired in connection with this Agreement. The term "privileged or confidential information" includes but is not limited to unpublished or sensitive technological or scientific information; medical, personnel, or security records; anticipated material requirements or pricing/purchasing actions; CAP information or data which is not subject to public disclosure; CAP operational procedures and knowledge of selection of contractors, subcontractors, or suppliers in advance of official announcement.

16.2 CONTRACTOR shall protect from unauthorized disclosure the names and other identifying information concerning persons receiving services pursuant to this Agreement, except for general statistical information not identifying any person. CONTRACTOR shall not use such information for any purpose other than carrying out CONTRACTOR'S obligations under this Agreement. CONTRACTOR shall promptly transmit to CAP all third-party requests for disclosure of such information. CONTRACTOR shall not disclose, except as otherwise specifically permitted by this Agreement or authorized in advance in writing by CAP, any such information to anyone other than CAP for purposes of this Paragraph 16, identifying information which shall include, but not be limited to, name, date of birth, social security number, symbol, identifying number, or other identifying particulars assigned to the individual, such as finger or voice print or a photograph.

16.3 CONTRACTOR is subject to and shall operate in compliance with all relevant requirements contained in the Health Insurance Portability and Accountability Act (HIPAA) for sensitive patient data protection. Companies that deal with protected health information (PHI) must have physical, network, and process security measures in place and follow them to ensure HIPAA Compliance. Covered entities (anyone providing treatment, payment, and operations in healthcare) and business associates (anyone who has access to patient information and provides support in treatment, payment, or operations) must meet HIPAA Compliance. Other entities, such as subcontractors and any other related business associates must also be in compliance with HIPPA and the related laws and regulations promulgated subsequent thereto.

17. Administration/Contract Liaison

The Executive Director or designee shall administer this Agreement on behalf of CAP, and is

authorized to take any and all actions on behalf of CAP as set forth herein and to terminate services in accordance with Paragraph 5 of this Agreement. Whenever a reference is made herein to an action or approval to be undertaken by CAP, the Executive Director, or designee, is authorized to act unless this Agreement specifically provides otherwise.

18. Notices

All correspondence and notices required or contemplated by this Agreement shall be delivered to the respective parties at the addresses set forth below, or at such other address provided by a party in writing, and are deemed submitted one (1) day after their deposit in the United States Mail, postage prepaid.

CAP
Rivco Community Action Partnership
Attention: Executive Director
2038 Iowa Avenue Ste. B-102
Riverside, CA 92507

CONTRACTOR
Oakridge Construction & Energy
Attention: Stefanie Stark, President
P.O. Box B
Yucaipa, CA 92399

19. Force Majeure

If either party is unable to comply with any provision of this Agreement due to causes beyond its reasonable control and which could not have been reasonably anticipated, such as Acts of God, acts of war, civil disorders, or other similar acts, such party shall not be held liable for such failure to comply, provided the subject party provides written notice to the other party no later than five (5) days after the commencement of such force majeure event.

20. EDD Reporting Requirements

In order to comply with child support enforcement requirements of the State of California, CAP may be required to submit a Report of Independent Contractor(s) form DE 542 to the Employment Development Department (EDD). CONTRACTOR agrees to furnish the required data and certifications to CAP within 10 days of notification of award of Agreement when required by EDD. This data will be transmitted to governmental agencies charged with the establishment and enforcement of child support orders. Failure of CONTRACTOR to timely submit the data and/or certificates required may result in the contract being award to another CONTRACTOR. In the event a contract has been issued, failure of CONTRACTOR to comply with all federal and state reporting requirements for child support enforcement or to comply with all lawfully

served Wage and Earnings Assignments Orders and Notice of Assignment shall constitute a material breach of Agreement. If CONTRACTOR has any questions concerning this reporting requirement, please call (916) 657-0529. CONTRACTOR should also contact its local Employment Tax Customer Service Office listed in the telephone directory in the State Government section under Employment Development Department, or access their Internet site at www.edd.ca.gov.

21. Hold Harmless/Indemnification

21.1 CONTRACTOR shall indemnify and hold harmless Community Action Partnership Riverside, the County of Riverside, its Agencies, Districts, Special Districts, and Departments, their respective directors, officers, Board of Supervisors, elected and appointed officials, employees, agents, and representatives (collectively, "Indemnified Parties") from any liability, claim, damage, or action whatsoever, based or asserted upon any act or omission of CONTRACTOR, its officers, employees, subcontractors, agents, or representatives arising out of or in any way relating to this Agreement, including but not limited to property damage, bodily injury, or death. CONTRACTOR shall defend, at its sole cost and expense, including but not limited to attorney fees, cost of investigation, defense, and settlements or awards, Community Action Partnership Riverside, the County of Riverside, its respective Agencies, Districts, Special Districts, and Departments, their respective directors, officers, Board of Supervisors, Board of Commissioners, elected and appointed officials, employees, agents, and representatives in any such action or claim.

21.2 With respect to any action or claim subject to indemnification herein by CONTRACTOR, CONTRACTOR shall, at its sole cost, have the right to use counsel of its own choice and shall have the right to adjust, settle, or compromise any such action or claim without the prior consent of CAP; provided, however, that any such adjustment, settlement, or compromise in no manner whatsoever limits or circumscribes CONTRACTOR'S indemnification of CAP and the Indemnified Parties.

21.3 CONTRACTOR'S obligations hereunder shall be satisfied when CONTRACTOR has provided to CAP the appropriate form of dismissal (or similar document) relieving CAP from any liability for the action or claim involved.

21.4 The specified insurance limits required in this Agreement shall in no way limit or circumscribe CONTRACTOR'S obligations to indemnify and hold harmless CAP and Indemnified Parties.

21.5 In the event there is conflict between this clause and California Civil Code Section 2782, this clause shall be interpreted to comply with Civil Code 2782. Such interpretation shall not relieve CONTRACTOR from indemnifying CAP to the fullest extent allowed by law. The indemnification and hold

harmless obligations set forth in this Paragraph 21 shall survive the termination and expiration of this Agreement.

22. Insurance

Without limiting or diminishing CONTRACTOR'S obligation to indemnify or hold CAP harmless, CONTRACTOR shall procure and maintain or cause to be maintained, at its sole cost and expense, the following insurance coverage during the term of this Agreement. As respects to the insurance section only, CAP herein refers to the Community Action Partnership Riverside, the County of Riverside, its respective Agencies, Districts, Special Districts, and Departments, their respective directors, officers, Board of Supervisors, Board of Commissioners, employees, volunteers, elected or appointed officials, agents or representatives as Additional insureds.

A. Workers' Compensation: If the CONTRACTOR has employees as defined by the State of California, the CONTRACTOR shall maintain statutory Workers' Compensation insurance (Coverage A) as prescribed by the laws of the State of California. Policy shall include Employers' Liability (Coverage B) including Occupational Disease with limits not less than $1,000,000 per person per accident. The policy shall be endorsed to waive subrogation in favor of CAP.

B. Commercial General Liability: Commercial General Liability insurance coverage, including but not limited to premises liability, unmodified contractual liability, products and operations liability, personal and advertising injury, and cross liability coverage covering claims which may arise from or out of CONTRACTOR'S performance its obligations hereunder. Policy shall name CAP as Additional Insured. Policy's limit of liability shall not be less than $2,000,000 per occurrence combined single limit. If such insurance contains a general aggregate limit, it shall apply separate to this agreement or be no less than two (2) times the occurrence limit.

C. Vehicle Liability: If vehicles or mobile equipment are used in the performance of the obligation under this Agreement, then CONTRACTOR shall maintain liability insurance for all owned, non-owned or hired vehicles so used in an amount not less than $1,000,000 per occurrence combined single limit. If such insurance contains general aggregate limit, it shall apply separately to this agreement or be no less than two (2) times the occurrence limit. Policy shall name the CAP as Additional Insureds.

D. Professional Liability: If required, CONTRACTOR shall maintain Professional Liability Insurance providing coverage for the CONTRACTOR'S performance of work included within this Agreement, with a limit of liability of not less than $1,000,000 per occurrence and $2,000,000 annual aggregate. If

CONTRACTOR'S Professional Liability Insurance is written on a claims-made basis rather than an occurrence basis, insurance shall continue through the term of this Agreement and CONTRACTOR shall purchase at his sole expense either:

1) An Extended Reporting Endorsement (also, known as Tail Coverage);

2) Prior Dates Coverage from new insurer with a retroactive date back the date of, or prior to, the inception of this Agreement; or,

3) Demonstrate through Certificates of Insurance that CONTRACTOR has maintained continuous coverage with the same or original insurer. Coverage provided under items; 1), 2) or 3) will continue as the law allows.

E. General Insurance Provisions - All lines:

1) Any insurance carrier providing insurance coverage hereunder shall admitted to the State of California and have an A.M. BEST rating of not less than A:VIII (A:8) unless such requirements are waived, in writing, by County of Riverside's Risk Manager. If the County's Risk Manager waives a requirement for a particular insurer, such waiver is only valid for the specific insurer and only for one policy term.

2) The CONTRACTOR shall declare its insurance self-insured retention for each coverage required herein, if any such self-insured retention. $500,000 per occurrence each such retention shall have the prior written consent of the Risk Manager before the commencement of operation under this Agreement. Upon notification of self-insured retention unacceptable to CAP, and at the election of the County's Risk Manager, CONTRACTOR'S carriers shall either; 1) reduce or eliminate such as insured retention as respects this Agreement with CAP, or 2) procure bond which guarantees payment of losses and related investigations claim administration, and defense costs and expenses.

3) CONTRACTOR shall cause CONTRACTOR'S insurance carrier(s) furnish CAP with either 1) a properly executed original Certificate(s) of Insurance and certified original copies of Endorsements effecting coverages required herein, and 2) if requested to do so orally or in writing by County's Risk Manager, provide original Certified copies of policy including all Endorsements and all attachments thereto, showing self-insurance is in full force and effect. Further, said Certificate(s) and Policy of Insurance shall contain the covenant of the insurance carrier(s) that (30) days written notice shall be given to CAP prior to any material modification, cancellation, expiration or reduction in coverage of insurance. In the event of a material modification, cancellation, expiration or reduction in coverage, this Agreement shall terminate forthwith, unless the CAP receives, prior to such effective date, another properly executed original Certificate of

Insurance and original copies of Endorsements, certified original Policies including all Endorsements, and attachment thereto evidencing coverages set forth herein and the insurance required herein is in full force and effect. CONTRACTOR shall not continue operations until CAP has been furnished original Certificate(s) of Insurance and certified original copies of Endorsements and requested review of original of the Policies of Insurance including Endorsements and any and all other attachments as required in Section. An individual authorized by the insurance carrier to do so its behalf shall sign the original endorsements for each policy and Certificate of Insurance. Upon CAP'S request, CONTRACTOR make available for inspection by County's Risk Manager, at a mutually agreeable location, copies of CONTRACTOR'S insurance policies.

4) It is understood and agreed to by the parties hereto and the insurance company(s) that the CONTRACTOR'S insurance shall be construed a primary insurance, and CAP'S insurance and/or deductible and/or self insured retentions or self-insured programs shall not be construed contributory.

5) If, during the term of this Agreement or any extension thereof, there is material change in the Scope of Work, or there is a material change in the equipment to be used in the performance of the Scope of Work, or the term of this Agreement, including any extensions thereof, exceeds five (5) years, CAP reserves the right to adjust the types of insurance and limits of liability required under this Agreement if in the County's Risk Manager's reasonable judgment the amount or type of insurance carried by the CONTRACTOR has become inadequate.

6) CONTRACTOR shall pass down the insurance obligations contained herein to all tiers of subcontractors working under this Agreement.

7) The insurance requirements contained in this Agreement may be met with a program(s) of self-insurance acceptable to CAP.

8) CONTRACTOR agrees to notify CAP of any claim by a third party or any incident or event that may give rise to a claim arising from the performance of this Agreement.

23. General

23.1 CONTRACTOR shall not delegate or assign any interest in this Agreement, whether by operation of law or otherwise, without the prior written consent of CAP.

23.2 Any waiver by CAP of any breach of any one or more of the terms of this Agreement shall not be construed to be a waiver of any subsequent or other breach of the same or of any other term of this

Agreement. Failures on the part of CAP to require exact, full and complete compliance with any terms of this Agreement shall not be construed as in any manner changing the terms or stopping CAP from enforcement of the terms of this Agreement.

23.3 In the event CONTRACTOR receives payment under this Agreement which is later disallowed by CAP Riverside for nonconformance with the terms of the Agreement, CONTRACTOR shall promptly refund the disallowed amount to CAP on request; or at its option, CAP may offset the amount from any payment due.

23.4 CONTRACTOR shall not provide partial delivery or shipment of services or products unless specifically stated in the Agreement.

23.5 CONTRACTOR shall not provide any services or products subject to any chattel mortgage or under a conditional sales contract or other agreement by which an interest is retained by a third party. The CONTRACTOR warrants that it has good title to all materials or products used by CONTRACTOR or provided to CAP pursuant to this Agreement, free from all liens, claims, or encumbrances.

23.6 Nothing in this Agreement shall prohibit CAP from acquiring the same type or equivalent equipment, products, materials, or services from other sources, when deemed by CAP to be in its best interest. CAP reserves the right to purchase more or less than the quantities specified in this Agreement.

23.7 CAP agrees to cooperate with CONTRACTOR in the CONTRACTOR'S performance under this Agreement, including, if stated in the Agreement, providing the CONTRACTOR with reasonable facilities and timely access to CAP data, information, and personnel.

23.8 CONTRACTOR warrants that during the term of this Agreement the CONTRACTOR shall retain sufficient financial resources necessary to perform all aspects of its obligations as described under this Agreement. Further, the CONTRACTOR warrants that there has been no adverse material change in the CONTRACTOR, parent, or subsidiary business entities resulting in negative impact to the financial condition and circumstances of the CONTRACTOR since the date of this most recent financial statements.

23.9 CONTRACTOR shall comply with all applicable Federal, State, and local laws and regulations. CONTRACTOR shall comply with all applicable CAP policies and procedures. In the event that there is a conflict between the various laws or regulations that may apply, CONTRACTOR shall comply with the more restrictive law or regulation.

23.10 CONTRACTOR shall comply with all air pollution control, water pollution, safety and health

ordinances, statutes, or regulations which apply to performance under this Agreement.

23.11 CONTRACTOR shall comply with all requirements of the Occupational & Safety and Health Administration (OSHA) standards and codes as set forth by the U.S. Department of Labor and the State of California (Cal/OSHA).

23.12 This Agreement shall be governed by the laws of the State of California. Any legal action related to the performance or interpretation of this Agreement shall be filed only in the Superior Court of the State of California located in Riverside, California, and the parties waive any provision of law providing for a change of venue to another location. In the event any provision in this Agreement is held by a court of competent jurisdiction to be invalid, void, or unenforceable, the remaining provisions will nevertheless continue in full force without being impaired or invalidated in any way.

24. Online Access:

All of the California State Community Services and Development Department (CSD) compliance documents are available on-line on the CSD website at: https://www.csd.ca.gov/ (On-line registration is required for access to the CSD web site.)

25. Lead Hazards (Pre-1979 Buildings):

In Pre-1979 dwellings, CONTRACTOR is to proceed as though a lead hazard exists, performing in a manner to protect against that hazard in accordance with CSD Lead Safe Weatherization and EPA Renovations Rules.

26. Nonliability of CAP Officials and CAP Riverside Employees

No member, official employee, consultant, or volunteer of CAP Riverside shall be personally liable to the CONTRACTOR or any successor in interest in the event of any default or breach by CAP for any amount which may become due to the CONTRACTOR or successor or any obligation under this Agreement.

27. No Third-Party Beneficiaries

The parties intend that no rights nor remedies be granted to any third party as a benefit of this Agreement or of any covenant, duty, obligation, or undertaking established herein.

28. Entire Agreement

This Agreement, including any attachments or exhibits, constitutes the entire Agreement of the parties with respect to its subject matter and supersedes all prior and contemporaneous representations, proposals,

discussions, and communications, whether oral or in writing. This Agreement may be changed or modified only by a written amendment signed by authorized representatives of both parties

29. Counterparts/Digital Signature

This Agreement may be executed in any number of counterparts, each of which will be an original, but all of which together will constitute one instrument. The Parties agrees to the use of electronic signatures, such as digital signatures that meet the requirements of the California Uniform Electronic Transactions Act (("CUETA") Cal. Civ Code §§ 1633.1 to 1633.17). The Parties further agree that the electronic signatures of the parties included in this Agreement are intended to authenticate this writing and to have the same force and effect as manual signatures. Electronic signature means an electronic sound, symbol, or process attached to or logically associated with an electronic record and executed or adopted by a person with the intent to sign the electronic record pursuant to CUETA as amended from time to time. Digital signature means an electronic identifier, created by computer, intended by the Party using it to have the same force and effect as manual signatures.

[Signatures on Next Page]

IN WITNESS WHEREOF, the parties hereto have caused their duly authorized representatives to execute this Agreement as of the dates set forth above:

COUNTY OF RIVERSIDE:

A political subdivision
of the State of California

By: _____

V. Manuel Perez
Chair of Board of Supervisors

Dated: JUN 10 2025

ATTEST:
KIMBERLY A. RECTOR, Clerk

By _____
DEPUTY

CONTRACTOR:

Oakridge Energy & Development Inc., a California corporation, dba Oakridge Construction & Energy

By: Stefanie Stark
Stefanie Stark (May 21, 2025 15:16 PDT)

Stefanie Stark
President

Dated: 05/21/2025

By: Christopher Stark
Christopher Stark (May 29, 2025 08:43 PDT)

Christopher Stark
Secretary

Dated: 05/29/2025

APPROVED AS TO FORM:
Minh C. Tran
County Counsel

By: _____

Paula Salcido
Deputy County Counsel

Dated: 05-29-2025

JUN 10 2025 3.40

Oakridge PSA Contract FINAL FOR SIGNATURE

Final Audit Report 2025-05-29

Created:	2025-05-21
By:	Megan Gomez (MeGomez@RIVCO.Org)
Status:	Signed
Transaction ID:	CBJCHBCAABAA50BYw4COcvqxNSJRJC3xz-X95QvezaGf

"Oakridge PSA Contract FINAL FOR SIGNATURE" History

Document created by Megan Gomez (MeGomez@RIVCO.Org)
2025-05-21 - 10:21:51 PM GMT

Document emailed to Stefanie Stark (stefanie@oakridgeenergyca.com) for signature
2025-05-21 - 10:21:56 PM GMT

Document emailed to Christopher Stark (oakridgedd@gmail.com) for signature
2025-05-21 - 10:21:57 PM GMT

Email viewed by Christopher Stark (oakridgedd@gmail.com)
2025-05-21 - 10:28:00 PM GMT

Email viewed by Stefanie Stark (stefanie@oakridgeenergyca.com)
2025-05-21 - 10:30:18 PM GMT

Document e-signed by Stefanie Stark (stefanie@oakridgeenergyca.com)
Signature Date: 2025-05-21 - 10:30:56 PM GMT - Time Source: server

Email viewed by Christopher Stark (oakridgedd@gmail.com)
2025-05-29 - 3:42:27 PM GMT

Document e-signed by Christopher Stark (oakridgedd@gmail.com)
Signature Date: 2025-05-29 - 3:43:50 PM GMT - Time Source: server

Agreement completed.
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Adobe Acrobat Sign

Exhibit A

Scope of Work

DOE Weatherization Inspection Services

Energy Assessment & Quality Control Inspection Services (HEP & QCI) as required by (TRM), exhibit D

CONTRACTOR shall provide Energy auditing services in adherence with California Department of Community Services and Development (CSD), Technical Reference Manual (TRM), exhibit D.

CONTRACTOR shall provide a qualitive and quantitative assessment of combustion appliances where applicable: building envelope (air leakage, insulation effectiveness, moisture), duct tightness, HVAC equipment, lighting, appliances, water usage and operating procedures, thermal imaging camera.

CONTRACTOR shall approximate energy savings (kWh and dollars) based on implementing recommended measures.

CONTRACTOR shall provide a Standard Home Performance Assessment:

CONTRACTOR services shall include and are not limited to the following:

- Air infiltration testing (blower door) with infrared imaging
- Duct leakage testing
- Insulation performance evaluation
- Air Conditioning performance analysis
- Appliance and lighting performance evaluation
- Visual moisture inspection.
-
- Report with findings and recommended improvements
- Combustion safety testing
- BPI/HEP testing

CONTRACTOR understands that COUNTY operations will provide an excel control spreadsheet. CONTRACTOR and COUNTY shall review spreadsheet and collaborate at the bi-weekly standing projects update meetings.

Exhibit B

PAYMENT PROVISIONS

CONTRACTOR agrees to adhere to (TRM) Exhibit D hourly requirements estimate of assessments to be 2.5-3.5 hours for inspection and 1-1.5 hours for written report.

COUNTY agrees to reimburse CONTRACTOR based on an hourly rate of $145.00/hour required by (TRM) Exhibit D

Exhibit C

STANDARD AGREEMENTS

22P-7020, 22C-6021

EXHIBIT "C"

GENERAL CONDITIONS

(behind this page)

GENERAL CONDITIONS
TABLE OF CONTENTS

ARTICLE 1 GENERAL PROVISIONS ..... - 1 -
1.1 - Definitions ..... - 1 -
1.2 - Authorities and Limitations ..... - 1 -
1.3 - Legal Requirements ..... - 3 -
1.4 - Standard References ..... - 3 -
1.5 - Permits, Licenses, Fees & Taxes ..... - 4 -
1.6 - Separate Contracts ..... - 4 -
1.7 - CAP's Authorized Representative, Inspector(s) & Architect ..... - 4 -

ARTICLE 2 BONDS & INSURANCE ..... - 5 -
2.1 - Bids of $25,000 or Less ..... - 6 -
2.2 - Performance and Payment Bonds ..... - 6 -
2.3 - Insurance ..... -6 -
2.4 - Indemnification ..... - 7 -

ARTICLE 3 SITE CONDITIONS ..... - 9 -
3.1 - Differing Site Conditions ..... - 10 -
3.2 - Site Investigation and Conditions Affecting the Work ..... - 10 -
3.3 - Dimensions and Measurements ..... - 10 -

ARTICLE 4 SPECIFICATIONS AND DRAWINGS ..... - 10 -
4.1 - General Provisions ..... - 11 -
4.2 - Summary of the Order of Precedence ..... - 11 -
4.3 - Clarifications/Request for Information and Additional Instructions ..... - 11 -

ARTICLE 5 SHOP DRAWINGS AND SUBMITTALS ..... - 12 -
5.1 - Shop Drawings, Product Data, Coordination Drawings and Schedules ..... - 13 -
5.2 - Samples ..... - 13 -
5.3 - Substitutions ..... - 14 -

ARTICLE 6 SCHEDULES ..... - 15 -
6.1 - Construction Schedule ..... - 15 -

ARTICLE 7 TIME, LIQUIDATED DAMAGES AND EXTENSIONS ..... - 15 -
7.1 - Time of Work ..... - 16 -
7.2 - Liquidated Damages ..... - 16 -
7.3 - Unavoidable Delays ..... - 16 -
7.4 - Request for Time Extension ..... - 16 -

ARTICLE 8 PERFORMANCE ..... - 17 -
8.1 - Supervision & Construction Procedures ..... - 18 -
8.2 - Supervision ..... - 18 -
8.3 - Conduct of Work ..... - 18 -
8.4 - Protection of Work & Property ..... - 19 -
8.5 - Contractor's Responsibility for Work ..... - 18 -
8.6 - Utilities ..... - 19 -
..... - 19 -

8.7 - Working Hours ..... - 20 -
8.8 - Material & Workmanship ..... - 20 -
8.9 - Layout of Work ..... - 21 -
8.10 - Use of Premises ..... - 21 -
8.11 - Operations & Storage ..... - 21 -
8.12 - Heat/Power/Light ..... - 21 -
8.13 - Cleaning Up ..... - 21 -

ARTICLE 9 SAFETY & HEALTH ..... - 22 -
9.1 - Accident Prevention ..... - 22 -
9.2 - Sanitary Facilities ..... - 22 -
9.3 - Responsibility for Compliance with Cal- OSHA ..... - 22 -
9.4 - Toxic and Hazardous Materials and Waste ..... - 23 -

ARTICLE 10 CAP-FURNISHED PROPERTY ..... - 23 -
10.1 - CAP-Furnished Property ..... -24 -

ARTICLE 11 BENEFICIAL OCCUPANCY ..... - 24 -
11.1 - Beneficial Occupancy ..... - 24 -

ARTICLE 12 INSPECTION AND TESTING ..... - 24 -
12.1 - Inspection and Testing ..... - 24 -
12.2 ..... - 25 -
12.3 - Final Inspection and Tests ..... - 26 -

ARTICLE 13 ACCEPTANCE ..... - 26 -
13.1 - Acceptance of the Work ..... - 26 -

ARTICLE 14 WARRANTY AND GUARANTEES ..... - 26 -
14.1 - Contractor's Warranty and Guarantee ..... - 27 -

ARTICLE 15 ENVIRONMENTAL PROTECTION ..... - 27 -
15.1 - Dust Control ..... - 28 -
15.2 - Excessive Noise ..... - 28 -
15.3 - Pollution Control, Cleaning ..... - 28 -

ARTICLE 16 EMPLOYMENT PRACTICES ..... - 28 -
16.1 - Qualifications for Employment and Apprenticeship Standards ..... - 28 -
16.2 - Wages & Records ..... - 29 -
16.3 - Notice of Labor Disputes ..... - 30 -
16.4 - Nondiscrimination ..... - 31 -

ARTICLE 17 SUBCONTRACTING ..... - 31 -
17.1 - Subcontractors ..... - 32 -
17.2 - Relations of Contractor and Subcontractor ..... - 32 -
17.3 - Subcontracts ..... - 32 -

ARTICLE 18 TAXES ..... - 32 -
18.1 - Sales and Payroll Taxes ..... - 32 -

ARTICLE 19 CHANGES ..... - 32 -
19.1 - Change Order Work ..... - 32 -
19.2 - Change Orders and Labor Rates Guidelines ..... - 36 -
19.3 – Audit ..... - 37 -
ARTICLE 20 PAYMENT ..... - 37 -
20.1 - Payment ..... - 37 -
20.2 - Final Payment ..... - 39 -
ARTICLE 21 SUSPENSION OF WORK, TERMINATION ..... - 39 -
21.1 - Non-Compliance with Contract Requirements ..... - 39 -
21.2 - Termination ..... - 40 -
ARTICLE 22 DISPUTES/CLAIMS ..... - 43 -
22.1 - Claims ..... - 43 -
22.2 - Claim Format/Requirements ..... - 44 -
22.3 – Notice of Third Party Claims ..... - 44 -

GENERAL CONDITIONS OF THE CONTRACT

ARTICLE 1 GENERAL PROVISIONS

1.1 DEFINITIONS

THE CONTRACT DOCUMENTS - The Contract Documents consist of the Contract, the Performance Bond and Payment Bond and any other bond required by the Contract, the drawings, the specifications, addenda issued prior to execution of the Contract, and all modifications thereto.

THE CONTRACT - The Contract Documents form the Contract. The Contract represents the entire and integrated agreement between the parties hereto, and supersedes all prior negotiation, representations, or agreements, either written or oral, including the bidding documents.

ACT OF GOD - An Act of God is an earthquake of magnitude 4.5 or greater on the Richter scale, flood, tornado, or other cataclysmic phenomenon of nature, or rain, snowstorm, windstorm, high water, or other natural phenomenon in excess of the normal as established by National Oceanic and Atmospheric Administration weather data.

ACCEPTANCE - Acceptance is when CAP determines all of the Contract requirements have been completed. Execution of the Notice of Completion will signify acceptance. A copy of the Notice of Completion will be sent to the Contractor after execution by CAP. Upon receipt of the Notice of Completion, the Contractor will be relieved of the duty of protecting the work, and CAP will initiate final settlement and payment.

ARCHITECT - Architect means the person or other entity [illegible] architectural, engineering, design and other services related to the work as provided for in the contract. When CAP uses an engineer to act in this capacity, the terms "architect" and "engineer" shall be synonymous. The Architect shall serve as a technical representative of the Contracting Officer. The Architect's authority is as set forth elsewhere in this contract.

BENEFICIAL OCCUPANCY - The right of the CAP to occupy all or any portion of the project prior to final Acceptance of the Work. Such occupancy does not constitute acceptance or completion by the Contractor of the Work or any portion thereof, nor will it relieve the Contractor of the responsibility for correcting defective work or materials found at any time before Acceptance of the Work.

COUNTY - The term County when used herein shall mean the Board of Supervisors of the County of Riverside, a political subdivision of the State of California.

CHANGE ORDER - A Change Order is the document issued by CAP authorizing any change or adjustment to the Contract Documents in accordance with Article 19 of this Contract.

CONTRACT DRAWINGS - "Contract drawings" or "drawings" means and includes (a) all drawings which have been prepared on behalf of CAP and are included in the Contract Documents and all clarification drawings issued by notice to the bidders thereto; (b) all drawings submitted pursuant to the terms of the Contract by the Contractor to CAP during the progress of the Work, which are accepted by CAP.

CONTRACTING OFFICER – the person delegated the authority by CAP to enter into, administer, and/or terminate this contract and designated as such in writing to the Contractor. The

term includes any successor Contracting Officer and any duly authorized representative of the Contracting Officer also designated in writing. The Contracting Officer shall be deemed the authorized agent of CAP in all dealings with the Contractor.

CONTRACTOR'S AGENT - The representative of the Contractor, approved by CAP, who shall be present at the Work and be authorized to receive and act upon instructions from CAP and to execute and direct the Work on behalf of the Contractor.

CONTRACTOR - When used herein, Contractor means the prime or principal Contractor licensed to perform work in the State of California, including all joint ventures and entering into the contract with CAP. References to subcontractor or others are only for convenience and all such references shall be considered to refer to the Contractor. The prime or principal Contractor shall be responsible for all subcontractors, and all subcontractors shall require their subcontractors to comply with the relevant provisions of the prime or principal contract.

CRITICAL PATH METHOD (CPM) - "Critical Path Method" is a schedule technique.

DAY - The use of "day" herein means calendar day and shall include every day including Saturdays, Sundays, and legal holidays.

DIRECTOR - The use of "Director" shall mean the Director of Housing and Workforce Solutions, who acts as the Director of CAP or his/her designated representative.

CAP – means the Community Action Partnership, an agency of the County of Riverside's Department of Housing and Workforce Solutions, organized under applicable state laws which are a party to this contract.

INSTALL - When used herein, "install" shall mean the complete installation, in place, of any item, equipment or material.

MATERIAL - Material shall be construed to include machinery, equipment, manufactured articles, or construction such as form work, fasteners, etc., and any other classes of material to be furnished in connection with the Contract. All materials shall be new.

NOTICE OF COMPLETION - The Notice of Completion ("NOC") shall be issued at that point in the Contract when the Contractor has completed all Work required in the Contract Documents. The time for issuance shall be determined by CAP through a final inspection. The NOC shall be issued by the Board of Supervisors.

NOTICE TO PROCEED - The Notice to Proceed is the written notification from CAP giving the Contractor notice to commence with the project. The Notice to Proceed will specify project details such as the mobilization start date, construction start date, and Work completion date.

PROJECT – means the entire project, whether construction or rehabilitation, the work for which is provided for in whole or in part under this contract.

REQUEST FOR INFORMATION - (RFI) The form and procedure established for communication between the Contractor and CAP to clarify or interpret the Contract Documents.

REQUEST FOR QUOTATION - (RFQ) A document consisting of supplemental details, instruction, or information issued by the Architect, through CAP, for the purpose of obtaining price quotations for possible changes in the Work.

SHALL - When used herein, "shall" means anything, which is mandatory to be performed by the Contractor.

SPECIFICATIONS - The term "Specifications" means that portion of the Contract Documents consisting of the written requirements for materials, equipment, construction systems, standards and workmanship for the Work.

SUBCONTRACTOR - The term "Subcontractor" means a person or firm that has a contract with Contractor or with another subcontractor to perform a portion of the Work. Unless otherwise specifically provided, the term Subcontractor includes Subcontractors of any tier, suppliers, manufacturers, and distributors. The term Subcontractor is referred to throughout the Contract Documents as if singular in number.

WORK - The term "Work" comprises the services and materials required by the Contract Documents, as may be amended, and includes all labor necessary to produce the construction required by the Contract Documents, and all materials and equipment incorporated or to be incorporated in such construction.

1.2 AUTHORITIES AND LIMITATIONS

1.2.1 The Board of Supervisors alone have the power to bind CAP and to exercise the rights, responsibilities, authorities, and functions vested therein by the Contract Documents, except that they shall have the right to designate authorized representatives to act for them.

1.2.2 Neither the Contract, nor any part thereof, nor [illegible] by the Contractor without the prior written approval of CAP, with the exception of the assignments to CAP which may be required under the terms of this Contract.

1.3 LEGAL REQUIREMENTS

1.3.1 Contractor shall keep informed of, and comply with, all federal, state and county laws, ordinances, rules, and regulations applicable to the Work or to those engaged or employed in the Work of this Contract, especially (but not limited to) those laws relating to hours of employment, prevailing wages, payment of wages, sanitary and safety conditions for workers, workers' compensation insurance, type and kind of materials that can be used, non-discrimination in employment and affirmative action programs. Failure to identify a specific provision in these Contract Documents shall not excuse the Contractor from complying with such applicable statutory requirements.

1.3.2 If conflict arises between provisions of the Contract Documents and any such laws, rules, or regulations, the Contractor shall notify CAP at once in writing. If, before receiving clarification, Contractor performs any portion of the Work affected by such apparent conflict, such performance shall be at Contractor's own risk. Contractor shall not be entitled to any additional compensation or time by reason of the conflict or its later correction.

1.3.3 All work and materials shall be in full accordance with the latest applicable (or otherwise noted) codes, rules, and regulations including, but not limited to, the following:
.Uniform Building Code
.Uniform Plumbing Code
.Uniform Mechanical Code
.Uniform Fire Code

.State Fire Marshal
.State Industrial Accident Commission's Safety Orders
.Rules of Local Utilities

1.3.4 Nothing in the specifications is to be construed to permit work not conforming to the above, and expense incurred complying with the above shall be borne by the Contractor. Whenever the specifications and working details require higher standards than those required by the ordinances, codes and statutes, the specifications and working details shall take priority over the ordinances, codes and statutes.

1.3.5 In submitting a bid on this public works projects, or any subcontractor agreeing to supply goods, services, or materials, and entering a contract pursuant thereto, the contractor and\or subcontractor do offer and agree to assign CAP all rights, title, and interest in and to all causes of action it may have under Section 4 of the Clayton Act (15 U.S.C. Section 15) or under the Cartwright Act (Chapter 2 (commencing with Section 16700) of Part 2 of Division 7 of the Business and Professions Code), arising from purchases of goods, services, or materials pursuant to the public works contract or the subcontract. This assignment shall be made and become effective at the time the awarding body tenders final acknowledgement by the parties.

1.4 STANDARD REFERENCES

1.4.1 All documents and publications (such as, but not limited to, manuals, handbooks, codes, standards, and specifications) which are cited in this Contract for the purpose of establishing technical (non-administrative) requirements applicable to equipment, materials, or workmanship under this Contract, shall be deemed to be incorporated herein as though fully set forth.

1.4.2 Whenever reference is made to any particular document or publication, the Contractor shall comply with the requirements set out in the edition specified in this Contract, or if not specified, the latest edition or revision thereof, in effect on the date of the solicitation of bid on this project, except as modified by, as otherwise provided in, or as limited to type, class, or grade, in the specifications of this Contract.

1.5 PERMITS, LICENSES, FEES & TAXES

1.5.1 CAP RESPONSIBILITIES

a. CAP will apply for all plan checks and will apply for and obtain the Building Permit(s), the Grading Permit and Construction Permits required by the County of Riverside or other local jurisdictions within the County of Riverside, paying all fees in connection therewith.

b. CAP will furnish, at no expense to the Contractor, all on-site inspection of the Work and will arrange and pay for off-site inspection only as noted in the Contract Documents.

1.5.2 CONTRACTOR'S RESPONSIBILITIES

a. The Contractor shall obtain and pay for all other permits and licenses required for the Work, including excavation permit and for plumbing, mechanical and electrical work and for operations in or over public streets or right of way under jurisdiction of public agencies other than CAP.

b. Exclusive of off-site inspection specified herein to be CAP's responsibility, the Contractor shall arrange and pay for all off-site inspection of the Work, including certification, required by the specifications, drawings, or by governing authorities.

c. Before Acceptance of the project by the CAP, the Contractor shall submit all licenses, permits, and certificates of inspection to the CAP.

1.6 SEPARATE CONTRACTS

1.6.1 CAP reserves the right to perform work related to this project with its own forces, and to award separate contracts in connection with other portions of the project or other work on the site. The Contractor shall cooperate with others in the prosecution of all work and shall not interfere with material, appliances or workmen of CAP or any other contractor engaged by CAP at the site of the Work. In case of disagreement regarding such use, the matter shall be referred to CAP whose decision relative to said use shall govern.

1.6.2 The Contractor shall afford CAP and separate contractors' reasonable opportunity for the introduction and storage of their materials and equipment and the execution of their work, and shall properly connect and coordinate Contractor's Work with theirs.

1.6.3 If any part of the Contractor's Work depends for proper execution or results upon the work of the CAP or any separate contractor, the Contractor shall inspect and promptly report to CAP any discrepancies or defects in such other work that render it unsuitable for such proper execution and results. Failure of the Contractor to so inspect and report shall constitute an acceptance of CAP's or the separate contractor's work as fit and proper to receive the Work, except as to defects which may develop in the other separate contractor's work after the execution of the Contractor's Work.

1.6.4 Should any damage to the work or property of any separate contractor on the Project, the Contractor shall, upon due notice, settle with such other contractor by agreement or arbitration, if such separate contractor sues CAP because of any damage alleged to have been so sustained, the Contractor agrees to indemnify and defend CAP in such proceedings with CAP retaining the right to select and hire independent counsel for CAP paid by the Contractor.

1.6.5 Any cost caused by defective or ill-timed work shall be borne by the party responsible therefore.

1.7 CAP'S AUTHORIZED REPRESENTATIVE, INSPECTOR(S), & ARCHITECT

1.7.1 AUTHORIZED REPRESENTATIVE

CAP shall designate a representative during the Work, who shall have the right to be present at the job site during construction and shall supervise any additional representatives appointed by CAP.

1.7.2 CONTRACTING OFFICER

The Contracting Officer or authorized designee shall have the right to observe the installation of all materials and equipment to be incorporated into the Work and the placing of such material and equipment to determine in general if the Work is proceeding in accordance with the Contract Documents. The Contracting Officer is not authorized to make changes in the Contract Documents. On the basis of his observations, he shall keep CAP informed as to the progress of the Work. The Contracting Officer shall not be responsible for means, methods, techniques, sequences, or procedures of construction nor for safety precautions and programs in connection with the Work. Nor will the Contracting Officer be responsible for the Contractor's failure to carry out the Work in accordance with the Contract Documents.

1.7.3 ARCHITECT

a. CAP has retained an Architect for this project. The Architect will advise and consult with CAP, and CAP will issue instructions to the Contractor. The Architect will be requested to interpret the requirements of the Contract. When requested by CAP, the Architect will, within a reasonable time, render such interpretations as he may deem necessary for the proper execution of the Work.

b. The Architect will make periodic visits to the job site to familiarize himself generally with the progress and quality of the Work and to determine in general whether the work is proceeding in accordance with the Contract Documents. Based on such observations he will recommend approval of applications for progress payments made by Contractor. The Architect shall not be responsible for means, methods, techniques, sequences, or procedures of construction nor for safety precautions and programs in connection with the Work. Nor will the Architect be responsible for the Contractor's failure to carry out the Work in accordance with the Contract Documents.

ARTICLE 2 BONDS AND INSURANCE

2.1 BIDS OF $25,000 OR LESS

2.1.1 If the total amount bid on the Work is $25,000 or less, the payment bond and performance bond are not required, provided that one payment of all compensation shall be made following Acceptance of all work.

2.2 BONDS

2.2.1 GENERAL REQUIREMENTS

a. Before commencing any Work under this Contract, the Contractor shall file two of each bond with the CAP. These bonds shall be in the amounts and for the purposes specified below. They shall be surety bonds issued by:

(1) Either a California Admitted Surety OR a current Treasury Listed Surety (Federal Register).

And

(2) Either a current A.M. Best A VIII rated Surety OR an admitted surety insurer which complies with the provisions of the Code of Civil Procedure, § 995.660.

b. Should any surety or sureties upon said bonds or any of them become insufficient, Contractor shall renew said bond or bonds with good and sufficient sureties within ten (10) calendar days after receiving notice from the CAP that the surety or sureties are insufficient. Cost of bonds shall be included in the bid price.

2.2.2 PERFORMANCE BOND

The successful bidder shall deliver to CAP an executed Performance Bond on the attached form in an amount equal to 100% of the accepted bid as security for the faithful performance of the Contract.

2.2.3 PAYMENT BOND

The successful bidder shall deliver to CAP an executed Payment Bond on the attached form in an amount equal to 100% of the accepted bid as security for the payment of all persons performing labor and furnishing

materials in connection with the Work.

2.3 INSURANCE

2.3.1 GENERAL REQUIREMENTS

Before commencing this Work under the Contract, and without limiting or diminishing CONTRACTOR'S obligation to indemnify and hold the CAP harmless, the Contractor shall procure and maintain, or cause to be maintained at its sole cost and expense, the following insurance coverages during the term of this Contract.

2.3.2 WORKERS' COMPENSATION INSURANCE

Contractor shall secure Workers' Compensation Insurance (Coverage A) as prescribed by the laws of the State of California. Policy shall include Employers' Liability (Coverage B) including Occupational Disease with limits not less than $1,000,000 per person per accident. Policy shall be endorsed, if applicable, to contain a Waiver of Subrogation in favor of the CAP. Pursuant to Section 3700 of the Labor Code of the State of California, Contractor shall file with the CAP before commencing the Work the following signed certification:

> "I am aware of the provisions of Section 3700 of the Labor Code, which requires every employer to be insured against liability for workers' compensation or to undertake self-insurance in accordance with the provisions of that Code, and I shall comply with such provisions before commencing the performance of the Work of this Contract."

2.3.3 COMMERCIAL GENERAL LIABILITY

Commercial General Liability insurance coverage, including but not limited to, premises liability, unmodified contractual liability, products and completed operations if applicable, personal and advertising injury, and cross liability coverage, covering claims which may arise from or out of Contractor's operations, use, and management of the premises, or the performance of its obligations hereunder. Policy shall name the CAP, County of Riverside, their respective directors, officers, Board of Supervisors, employees, elected or appointed officials, agents or representatives as Additional Insured, and contain a Waiver of Subrogation in favor of the CAP and County. Policy limits shall not be less than $1,000,000 per occurrence combined single limit. If such insurance contains a general aggregate limit, it shall apply separately to this agreement or be no less than two (2) times the occurrence limit.

2.3.4 VEHICLE LIABILITY:

If Contractor's vehicles or licensed mobile equipment are used in the performance of the obligations under the contract, or used in any manner on behalf of the CAP, Contractor shall maintain auto liability insurance for all owned, non-owned and hired automobiles in an amount not less than $1,000,000 per occurrence combined single limit. If such insurance contains a general aggregate limit, it shall apply separately to this contract or be no less than two (2) times the occurrence limit. Policy shall name the CAP, County of Riverside, their respective directors, officers, Board of Supervisors, employees, elected or appointed officials, agents, or representatives as Additional Insured, and provide a Waiver of Subrogation in favor of the CAP and County.

2.3.5 PROPERTY (PHYSICAL DAMAGE):

All-Risk property insurance coverage for the full replacement value of all Contractor's equipment, improvements/alterations, temporary structures, and systems (Care, Custody, and Control of Contractor) used on CAP property, or used in any way connected with the accomplishment of the Work performed in this

contract.

2.3.6 COURSE OF CONSTRUCTION INSURANCE

Contractor shall provide All Risk Builder's Risk (Course of Construction) insurance, including earthquake and flood if in an earthquake or flood zone (required on financed or bond financing arrangements), covering the CAP, the Contractor and every subcontractor of every tier for the entire project including property to be used in the construction of the project while such property is at off site storage locations or while in transit. Policy shall include coverage for collapse, faulty workmanship, debris removal, expediting expense, Fire Department Service charges; valuable papers and records; trees, grass, shrubbery and plants. If scaffolding, falsework and temporary buildings are insured separately by the CONTRACTOR or others, evidence of such separate coverage shall be provided to CAP prior to the start of the work. Policy shall be written on a completed value form. Policy shall also provide coverage for temporary structures (onsite offices, etc.), fixtures, machinery and equipment being installed as part of the construction project.

CONTRACTOR shall provide a bid price with Course of Construction insurance as outlined herein, and shall also separately provide the cost of the Course of Construction insurance and deductible; and shall declare all terms, conditions, coverages and limits upon request of CAP RETAINS THE RIGHT TO CHOOSE TO USE ITS OWN COURSE OF CONSTRUCTION PROGRAM. If the CAP program is chosen, CONTRACTOR shall assume the cost of any and all applicable policy deductibles (currently $50,000 per occurrence), and shall insure its own machinery, equipment, tools, etc., from any loss of any nature whatever. If CAP elects the CONTRACTOR's All Risk Builder's Risk Program, CONTRACTOR shall be responsible for any and all policy deductibles.

2.3.7 GENERAL INSURANCE PROVISION – ALL LINES:

a. Any insurance carrier providing insurance coverage hereunder shall be admitted to the State of California and shall have an A.M. BEST rating of not less than an A:VIII unless such requirements are waived, in writing, by the Risk Manager. If the Risk Manager waives a requirement for a particular insurer, such waiver is only valid for that specific insurer and only for one policy term.

b. The Contractor must declare its insurance self-insured retention for each coverage required herein. If any such self-insured retention exceeds $500,000 per occurrence, each such retention shall have the prior written consent of the Risk Manager before he commencement of operations under this contract. Upon notification of self-insured retention unacceptable to the CAP, and at the election of the Risk Manager, Contractor's carriers shall either 1) reduce or eliminate such self-insured retention as respects this contract, or 2) procure a bond which guarantees payment of losses and related investigations, claims administration, and defense costs and expenses.

c. Contractor shall cause its insurance carrier(s) to furnish the CAP with either 1) a properly executed original Certificates(s) of Insurance and certified original copies of Endorsements effecting coverage as required herein, or 2) if requested to do so in writing by the Risk Manager, provide original Certified copies of policies including all Endorsements and all attachments thereto, showing such insurance is in full force and effect. The CAP, County of Riverside, its Agencies, Districts, Special Districts and Departments, their respective directors, officers, Board of Commissioners, Board of Supervisors, elected and appointed officials, employees, agents and representatives are named as Additional Insureds. Further, said Certificates(s) and policies of insurance shall contain the covenant of the insurance carrier(s) that shall provide no less than thirty (30) days written notice be given to the CAP prior to any material modification or cancellation of such insurance. In the event of a material modification or cancellation of coverage, this Agreement shall terminate forthwith, unless the CAP receives, prior to such effective date, another properly executed original Certificate of Insurance and

original copies of endorsements or certified original policies, including all endorsements and attachments thereto evidencing coverages set forth herein and the insurance required herein is in fullforce and effect. **CONTRACTOR shall not take possession, or use the Premises, or commence operations under this Agreement until the CAP has been furnished original Certificate(s) of Insurance and certified original copies of Endorsements or policies of insurance including all Endorsements and any and all other attachments as required in this Section. The original Endorsements for each policy and the Certificate of Insurance shall be signed by an individual authorized by the insurance carrier to do so on its behalf.**

d. It is understood and agreed to by the parties hereto and the insurance company(s), that the Certificate(s) of Insurance and policies shall so covenant and shall be construed as primary, and the CAP's insurance and/or deductibles and/or self-insured retentions or self-insured programs shall not be construed as contributory.

The CAP's Reserved Rights-Insurance. The CAP reserves the right to adjust the monetary limits of insurance coverage's during the term of this agreement or any extension thereof if in the Risk Manager's reasonable judgment, the amount or type of insurance carried by the Contractor becomes inadequate.

e. Contractor shall pass down the insurance obligations contained herein to all tiers of sub-consultants working under this Agreement.

2.4 **INDEMNITY AND HOLD HARMLESS**

Agencies, Districts, Special Districts and Departments, their Officers, employees, agents and representatives (individually and collectively hereinafter referred to as Indemnitees), from any liability whatsoever, including but not limited to property damage, bodily injury or death, based or asserted upon any services of Contractor, its officers, employees, agents, invitees, or any subcontractor of Contractor relating to or in any way connected with the accomplishment of the work or performance of services under this Agreement, regardless of the existence or degree of fault or negligence on the part of the CAP or any officer or employee of said CAP, other than the sole active negligence or willful misconduct of CAP, its Directors and Officers, Special Districts, Board of Supervisors, elected officials, employees, agents or representatives. As part hereto of the foregoing indemnity Contractor agrees to protect and defend at its own expense, including attorneys' fees the CAP, its Directors and Officers, Specials Districts, Board of Supervisors, elected officials, employees, agents or representatives from any and all legal action based upon any acts or omissions, as stated hereinabove, by any person or persons.

2.4.2 If any such claim, action, or proceeding is brought against CAP or CAP's officers, agents, employees, or independent contractors, Contractor, upon notice from CAP, shall defend the same at Contractor's expense by counsel satisfactory to CAP shall promptly notify Contractor of any claim, action, or proceeding against CAP or CAP's officers, agents' employees, independent contractors, and consultants relating to

2.4.3 the performance, or omission to perform, any term or condition of this Contract. CAP shall cooperate fully in the defense of such claim, action, or proceeding.

CAP shall not be liable or responsible for any accident, loss or damage occurring to the Work prior to the completion and Acceptance of same, unless otherwise specifically agreed to at the time of occupancy

2.4.4 by the CAP.

ARTICLE 3 SITE CONDITIONS

3.1 DIFFERING SITE CONDITIONS

3.1.1 The Contractor shall have reviewed and ascertained pertinent local conditions such as location, accessibility, and general character of the site and satisfy himself as to the conditions under which the Work is to be performed. No claim for allowances shall be made because of Contractor's error or negligence in acquainting himself with the conditions at the site.

3.1.2 The Contractor shall carefully study and compare the Contract Documents with each other and with information furnished by CAP. The Contractor shall promptly report in writing to CAP any errors, inconsistencies, or omissions in the Contract Documents or inconsistencies with applicable code requirements observed by Contractor.

3.1.3 If Contractor performs any construction activity which it knows or should know involves an error, inconsistency, or omission without notifying and obtaining the written consent of CAP, Contractor shall be responsible for the resultant losses, including, without limitation, the costs of correcting defective work.

3.1.4 The CAP will furnish surveys necessary to properly locate the property and establish the boundaries thereof with general reference points as well as to enable the Contractor to proceed with the Work.

3.1.5 The Contractor shall provide competent engineering services to lay out the Work and all parts thereof and to establish all grades and elevations in accordance with the Contract requirements. He shall verify the figures shown on the survey and approach drawings before undertaking any construction work and shall be responsible for the accuracy of the finished work.

3.1.6 The Contractor shall protect and preserve established bench marks and monuments and shall make no changes in locations without the written approval of the CAP. Any bench marks or monuments that are lost or destroyed shall be replaced by the Contractor subsequent to notification and approval from CAP.

3.2 SITE INVESTIGATION AND CONDITIONS AFFECTING THE WORK

3.2.1 The Contractor acknowledges by submission of his/her bid that he has satisfied himself as to the character, quality, and quantity of surface and subsurface materials or obstacles to be encountered insofar as this information is reasonably ascertainable from an inspection of the site, including any exploratory work deemed necessary by the Contractor. Any failure of the Contractor to take the actions described and acknowledged in this paragraph will not relieve the Contractor from responsibility for estimating the difficulty and cost of successfully performing the Work, or for proceeding to successfully perform the Work without additional expense to the CAP.

3.3 DIMENSIONS AND MEASUREMENTS

3.3.1 All dimensions shown for existing conditions and all dimensions required for work that is to connect with work now in place, shall be verified and calculated by the Contractor by actual measurement of the existing work. Any discrepancies between the Contract Documents and the existing conditions shall be referred to the authorized representative of the CAP before any work affected thereby has been performed. Failure to notify the CAP before starting work will be considered acceptance by the Contractor. Where doubts as to dimensions exist, CAP shall determine the correct dimensions.

ARTICLE 4 SPECIFICATIONS AND DRAWINGS

4.1 GENERAL PROVISIONS

4.1.1 SUBDIVISIONS

For convenience, the specifications are arranged into several sections, but such separation shall not be considered as the limits of the work required of any separate trade. The terms and conditions of such limitations are wholly between the Contractor and his subcontractors. Requirements contained in any section are required as if contained in all sections and are the responsibility of the Contractor. The Contractor, prior to awarding subcontracts, will assure the Work required as a whole has been coordinated among the subcontracts.

4.1.2 RECORD DOCUMENTS

a. The Contractor shall keep on the Work site a copy of the awarded construction documents (drawings and specifications) and shall at all times give the CAP and Architect access thereto.

b. The Contractor will be given one set of drawings and specifications which shall be kept at the site of the Work at all times and updated weekly. Payment may be withheld if drawings are not kept current. Exact locations of all pipes and conduits and all changes in construction and details shall be indicated and dimensions provided upon these drawings, and all changes in materials and equipment installed shall be indicated in these specifications. Upon completion and prior to Acceptance of the Work, a final reproducible (transparencies) set of project record documents and specifications shall be submitted to the CAP by the Contractor. CAP will furnish a set of reproducibles.

c. The working details will indicate dimensions [illegible] the specifications, qualities, and methods. Any Work indicated on the working details and not mentioned in the specifications, or vice versa, shall be furnished as though fully set forth in both. Work not particularly detailed, marked, or specified shall be the same as similar work that is detailed, marked, or specified.

d. In case of discrepancy in the documents, the matter shall be promptly submitted to the CAP, who shall make a determination in writing. Any adjustment by the Contractor without such a determination shall be at its own risk and expense. The CAP shall furnish from time to time such detailed information as considered necessary to clarify the Work.

e. Where the word "similar" occurs on the drawings, it shall have a general meaning and not be interpreted as meaning identical, and all details shall be worked out in relation to their location and their connection with other parts of the work.

f. Standard details or specification drawings are applicable when listed, bound with specifications, noted on the drawings or referenced elsewhere in the specifications. Where the notes on the drawings indicate modifications, such modifications shall govern.

g. All drawings, specifications and copies thereof furnished to the Contractor are the property of the CAP and shall not be used on other work without its consent. Upon completion of this project, all copies of the drawings and specifications shall be returned to the CAP.

4.2 SUMMARY OF THE ORDER OF THE PROCEDURE

4.2.1 In case of conflicts between the Contract Documents, the order of precedence shall be as follows:

1) Modifications or changes last in time are first in precedence.
2) Addenda.
3) CAP-Contractor agreement.
4) General Conditions except for specific modifications thereto stated in the Supplementary Conditions.
5) Supplementary Conditions.
6) Specifications.
7) Drawings - as between figured dimensions given on drawings and the scaled measurements, the figured dimension shall govern; as between large-scale drawings and small-scale drawings, the larger scale shall govern.
8) Structural drawings
9) Architectural drawings.
10) As between detailed drawings and typical details bound within the specifications, the detailed drawings govern.
11) In the event provisions of codes, safety orders, contract documents, referenced manufacturer's specifications or industry standards are in conflict, the more restrictive and higher quality shall govern.
12) Schedules shown on the drawings take precedence over conflicting information given on other drawings.
13) Mechanical drawings.
14) Electrical drawings.

4.3 CLARIFICATIONS/REQUEST FOR INFORMATION AND ADDITIONAL INSTRUCTIONS

4.3.1 NOTIFICATION BY CONTRACTOR

a. Should Contractor discover what he perceives to be conflicts, omissions, or errors in the Contract Documents, or have any question concerning interpretation or clarification of the Contract Documents, or if it appears that the work to be done or any matters relative thereto are not sufficiently detailed or explained in the Contract Documents, then, before proceeding with the work affected, Contractor shall notify CAP's authorized representative in writing, and request interpretation, clarification, or additional detailed information concerning the work. The Contractor shall ask for the clarification (Request for Information) immediately upon discovery but no less than 14 calendar days prior to the start date of the activities related to the clarification, based on the latest updated version of the accepted Progress Schedule. CAP, whose decision shall be final and conclusive, shall resolve such questions and issue instructions to Contractor. Should Contractor proceed with work affected before receipt of instructions from CAP, Contractor shall remove and replace or adjust work which is not in accordance with the instructions from CAP and shall be responsible for resultant damage, defect or added cost. In event of failure to agree as to scope of Contract requirements, Contractor shall follow the procedure set forth in the DISPUTES article.

b. The Contractor shall not be entitled to any compensation for delays, disruptions, inefficiencies or additional administrative effort caused by the Contractor's untimely review of the Contract Documents for potential conflicts, omissions, discrepancies or ambiguities.

c. CAP may charge back to the Contractor, time and expense associated with RFI's, as may be reasonably determined by the CAP to be unnecessary.

4.3.2 ADDITIONAL DETAILED INSTRUCTIONS

a. The CAP may furnish additional detailed written instructions on any Request for Information to

further explain the Work. If in the opinion of Contractor, the additional detailed instructions constitute work in excess of the scope of the Contract, he must submit written notice thereof immediately to the CAP, but no later than seven (7) calendar days following receipt of such instruction(s), and in any event prior to commencement of work thereon. The Contractor shall not be entitled to additional compensation due to any additional instructions unless the Contractor shall have given the appropriate written notice. CAP will then consider such notice and, if in its judgment it is justified, the CAP instructions will be revised or extra work shall be authorized by Change Order. In the event of a dispute hereunder, attention is directed to the DISPUTES article.

ARTICLE 5

SHOP DRAWINGS AND SUBMITTALS

5.1 SHOP DRAWINGS, PRODUCT DATA, COORDINATION DRAWINGS AND SCHEDULES

5.1.1 Shop drawings are drawings submitted to the CAP by the Contractor showing detail of the proposed fabrication and assembly of structural elements and the installation (i.e., form, fit, and attachment details) of materials or equipment. It includes drawings, diagrams, layouts, schematics, descriptive literature, illustrations, schedules, fabrication, erection and setting drawings, manufacturers' scale drawings, wiring and control diagrams, cuts or entire catalogs, pamphlets, and performance and test data, and similar materials furnished by the Contractor to explain in detail specific portions of the Work required by the Contract. The CAP may duplicate, use, and disclose in any manner and for any purpose shop drawings delivered under this Contract.

5.1.2 The Contractor shall coordinate all shop drawings and review them for accuracy, completeness, and compliance with Contract requirements, and shall indicate its approval thereon as evidence [illegible] submitted to the CAP without evidence of the Contractor's approval shall be returned for resubmission. The [illegible] compliance of the shop drawings, and if not in compliance as submitted, shall indicate the reasons therefore. Any work done before such review shall be at the Contractor's risk. Review by the Architect shall not relieve the Contractor from responsibility for any [illegible] omissions in such drawings, nor from responsibility for complying with the requirements of this Contract, except with respect to variations described and approved in accordance with paragraph 5.1.3.

5.1.3 If shop drawings show any variations from the Contract requirements, the Contractor shall describe such variations in writing, separate from the drawings, at the time of submission. If the Architect approves any such variation, no change in time or price will be allowed for Contractor changes. Should the Architect make changes on the shop drawings which affect time and/or cost, the Contractor will immediately notify the CAP with a Request for Information. If the Contractor fails to issue the Request for Information within seven (7) calendar days from receipt of the returned shop drawing, the Contractor shall have waived his right to any potential Change Order.

5.1.4 The Contractor shall submit shop drawings, coordination drawings, and schedules for review as required by the Contract Documents. The Contractor will provide a submittal schedule listing all shop drawings and submittals, the submission dates by the Contractor, and return dates from the Architect. This schedule will be provided fourteen (14) calendar days after the Notice to Proceed.

5.1.5 Shop drawings and schedules, other than catalogs, pamphlets, and similar printed material, shall be submitted with one reproducible plus one copy.

5.1.6 Each shop drawing or coordination drawing shall have a blank area 4 by 4 inches located adjacent to the title block. The title block shall display the following:

1) Number and title of drawing
2) Date of drawing or revision

3) Name of project building or facility
4) Name of Contractor and (if appropriate) name of subcontractor submitting drawings
5) Clear identity of contents and location on the work
6) Project title and project number
7) Submittal number

5.1.7 Unless otherwise provided in this Contract or otherwise directed by CAP, shop drawings, coordination drawings, and schedules shall be submitted to the Architect with a letter, sufficiently in advance of construction requirements to permit no less than twenty (21) calendar days for checking and appropriate action.

5.2 **SAMPLES**

5.2.1 After the award of the Contract, the Contractor shall deliver samples required by the specifications to the CAP for approval. The Contractor shall prepay any shipping charges. Any materials or equipment for which samples are required shall not be used in the Work until reviewed by CAP.

5.2.2 Each sample shall have a label indicating:

1) Name of project building or facility, project title, and project number.
2) Name of Contractor and, if appropriate, name of subcontractor.
3) Identification of material or equipment with specification requirement.
4) Place of origin.
5) Name of manufacturer and brand (if any).
6) Identify by specification section.

5.2.3 Samples of finished materials shall have additional markings that will identify them in reference to the finish schedules.

5.2.4 The Contractor shall mail a letter in triplicate under separate cover submitting each shipment of samples and containing the information required in paragraph 5.2.2. He shall enclose a copy of this letter with the shipment and send a copy to the CAP representative on the project. Approval of a sample shall be only for the characteristics or use named in such review and shall not be construed to change or modify any Contract requirement. Substitutions will not be permitted unless they are approved under paragraph 5.3.

5.2.5 Approved samples not destroyed in testing will be sent to the CAP. Approved samples of hardware in good condition will be marked for identification and may be used in the Work. Materials and equipment incorporated in the Work shall match the approved samples. Other samples not destroyed in testing or not approved will be returned to the Contractor at his expense if so requested at time of

5.2.6 submission.

5.2.7 Failure of any material to pass the specified tests will be sufficient cause for refusal to consider any further samples of the same brand or make of that material or equipment under this Contract.

5.2.8 Samples of various materials or equipment delivered on the site or in place, may be taken by the CAP for testing. Samples failing to meet Contract requirements will automatically void previous approvals of the items tested. The Contractor shall replace such materials or equipment found not to have met Contract requirements, or there shall be a proper adjustment of the Contract price as determined by the CAP.

Unless otherwise specified, when tests are required, only one test of each sample proposed for use will be made at the expense of the CAP. Samples which do not meet specification requirements will be rejected. Requests for testing of additional samples by Contractor may be made by the CAP at the expense of the Contractor.

5.3 SUBSTITUTIONS

5.3.1 Wherever the name, or brand, or manufacturer of an article is specified in the Contract Documents, it is used as a measure of quality and utility or a standard. Except in those instances where the product is designated to match others presently in use, specifications calling for a designated material, product, thing or service by specific brand or trade name shall be deemed to be followed by the words "or equal" so that bidders may propose any equal material, product, thing or service in their bid. If the Contractor desires to use any other brand or manufacturer of equal quality and utility to that specified, he shall list definite particulars of that which he considers equivalent to the specified item in his bid. The Contractor shall have thirty-five (35) days after the award of the Contract for submission of data substantiating substitution of "equal" items. The CAP will then determine whether or not the proposed name brand or article is equal in quality and utility to that specified in the Contract Documents, and its written decision shall be final.

5.3.2 No proposal will be considered unless accompanied by complete information and descriptive data necessary to determine the equality of the offered materials, articles, or equipment. Samples shall be provided when requested by the CAP.

5.3.3 The burden of proof as to the comparative quality or suitability of the offered materials, articles, or equipment shall be upon the Contractor. The CAP shall be the sole judge as to such matters. In the event that the CAP rejects the use of such alternative materials, articles, or equipment, then one of the particular products designated by brand name in the specifications shall be furnished.

5.3.4 The CAP will examine Contractor's submittals with reasonable promptness. Return of the submittals to the Contractor shall not relieve the Contractor from responsibility for deviations and alternatives from the Contract [illegible] from responsibility for errors in the submittals. A failure by the Contractor to identify, in his letter of transmittal, material deviations [illegible] submittal and any action taken thereon by the CAP. When specifically requested by the CAP, the Contractor shall resubmit such shop drawing(s), descriptive data, and samples as may be required.

5.3.5 If any mechanical, electrical, structural, or design revisions are required for the proper installation and fit of alternative materials, articles, or equipment, or because of deviations from the Contract Documents, such changes shall not be made without the consent of the CAP's authorized representative, and shall be made without additional cost to the CAP, such costs, including the fees of the Architect, to be borne by the Contractor.

ARTICLE 6 SCHEDULES

6.1 CONSTRUCTION SCHEDULE

6.1.1 The Contractor shall prepare and submit to the CAP within five days after work commences on the contract or another period of time determined by the Contracting Officer, three copies of a practicable schedule showing the order in which the Contractor proposes to perform the work, and the dates on which the Contractor contemplates starting and completing the salient features of the work (including acquiring materials and equipment). The schedule shall be in the form of a progress chart of suitable scale to indicate appropriately the percentage of work scheduled for completion by any given date during the period. The scheduled completion date shall be the same as the contractual completion date, for the initial schedule and subsequent updates. Any proposed early completion date shall show the difference between that date and the contract completion date as Float, which shall belong to both the CAP and Contractor. If the Contractor fails to submit a schedule within the time prescribed, the Contacting Officer may withhold approval of progress payments or take other remedies under the contract until the Contractor submits the required schedule.

6.1.2 The Contractor shall submit any supplementary schedule or schedules as the Contracting Officer deems necessary to demonstrate how the approved rate of progress will be regained. If, in the opinion of the Contracting Officer, the Contractor falls behind the approved schedule, the Contractor shall take steps necessary to improve its progress, without additional cost to the CAP. In this circumstance, the Contracting Officer may require the Contractor to increase the number of shifts, overtime operations, days of work, and/or the amount of construction plant, and to submit for approval any supplementary schedule or schedules in chart form as the Contracting Officer deems necessary to demonstrate how the approved rate of progress will be regained. Failure of the Contractor to comply with the requirements of the Contracting Officer under this clause shall be grounds for a determination by the Contracting Officer that the Contractor is not prosecuting the work with sufficient diligence to ensure completion within the time specified in the contract, and the Contracting Officer may terminate the Contractor's right to proceed with the work, or any separable part of it, in accordance with the default clause of the contract.

6.1.3 All schedule updates must accurately reflect the as-built schedule. There shall be no change to the Critical Path without the CAP's written consent. The Contractor shall enter the actual progress on the chart as required by the Contracting Officer, and immediately deliver three copies of the annotated schedule to the Contracting Officer.

ARTICLE 7 TIME, LIQUIDATED DAMAGES AND EXTENSIONS

7.1 TIME OF WORK

The Contractor shall commence the project upon receipt of the written Notice to Proceed (See: Article 1 for the Definition of the Notice to Proceed) and shall perform the work diligently to completion within the number of calendar days specified in the Contract. Neither site access nor physical work shall be commenced before the Contract is fully executed, and bonds, insurance and the schedule are submitted as required by the Contract Documents. No work shall be done on Saturday, Sunday and holidays and no work shall be performed outside of normal working hours without the prior written consent of the CAP, unless required by these Specifications. See: Working Hours.

7.2 LIQUIDATED DAMAGES

If the Work is not completed within the time required, damage will be sustained by the CAP. It is and will be impracticable and extremely difficult to ascertain and determine actual damage which CAP will sustain by reason of such delay; and it is therefore agreed that Contractor will pay to CAP the sum of $ 300.00 per day for each and every day's delay in finishing the Work beyond the time prescribed. If the Contractor fails to pay such liquidated damages, the CAP may deduct the amount thereof from any money due or that may become due the Contractor under the Contract.

7.3 UNAVOIDABLE DELAYS

7.3.1 TIME EXTENSION

a. The Contractor will be granted an extension of time for completion of the Work beyond that named in the Contract Documents, for delays which may result through causes beyond the control of the Contractor and which he could not have avoided by the exercise of care, prudence, foresight and diligence. The appropriate extension of time shall constitute full compensation. Costs associated with extended overhead will not be considered.

b. If the Contractor is allowed extensions of time in which to complete the Work equal to the

sum of all unavoidable delays, plus any adjustments of contract time due to contract change orders, during such extension of time liquidated damages shall not be charged to the Contractor.

c. Unavoidable delays within the meaning of this section shall be those caused by Acts of God or of the public enemy, fire, epidemics, or strike. There will be no liquidated damages for delays as described within this paragraph.

d. Delays in the performance of parts of the work which may in themselves be unavoidable, but do not necessarily prevent or delay the performance of critical activity(s) while the activity(s) is on the Critical Path, will not be considered as unavoidable delays within the meaning of the contract and shall not be the basis of a claim for delay.

7.3.2 WEATHER

Inclement weather shall not be a prima facie reason for granting a time extension. The Contractor shall make every effort to continue work under prevailing conditions. However, if the inclement weather prevents the Contractor from beginning at the usual starting time, or prevents the Contractor from proceeding with seventy-five percent (75%) of the normal labor and equipment force towards completion of the day's current Critical Path activities (shown on the most current, and accepted schedule update) for a period of at least five (5) hours, and the crew is dismissed as a result thereof, the CAP will designate such time as unavoidable delay and grant a one (1) calendar day, non-compensable, time extension.

7.3.3 NOTICE OF DELAYS

a. Whenever the Contractor foresees any [illegible] Critical Path work activity, and in any event immediately upon the occurrence of any delay which he regards as an unavoidable delay, the Contractor shall notify the CAP in writing of such delay and its cause, in order that the CAP may take immediate steps to prevent, if possible, the occurrence or continuance of the delay, and may determine whether the delay is to be considered avoidable or unavoidable, how long it continues, and to what extent the prosecution and completion of the work are to be delayed thereby.

b. After the completion of any part or the whole of the Work, CAP, in calculating the amount due the Contractor, will assume that any and all delays which have occurred have been avoidable delays, except such delays as shall have been called to the attention of CAP at the time of their occurrence and found by CAP to have been unavoidable as substantiated by a change order. The Contractor shall make no claims that any delay not called to the attention of CAP at the time of its occurrence has been an unavoidable delay.

7.4 REQUEST FOR TIME EXTENSION

7.4.1 In the event the Contractor requests an extension of contract time for unavoidable delay, justification shall be submitted no later than seven (7) calendar days after the initial occurrence of any such delay. When requesting time for proposed change orders, the request(s) must be submitted with the proposed change order with full justification. If the Contractor fails to submit justification he shall waive his right to a time extension at a later date. Justification must be based on the currently accepted contract schedule as updated at the time of occurrence of delay or execution of work related to any change(s) in the scope of work. The justification must include a schedule, including, but not limited to, the following information:

a. The duration to perform the activity relating to the change(s) in the work and the resources (manpower, equipment, material, etc.) required to perform these activities within the stated duration.

b. Logical activity ties to the contract schedule for the proposed changes and/or delay showing the activity/activities in the schedule whose start or completion dates are affected by the change and/or delay.

7.4.2 CAP, after receipt of such justification and supporting evidence, shall make its finding of fact. CAP's decision shall be final and conclusive and the CAP will advise the Contractor in writing of such decision. If CAP finds that the Contractor is entitled to any extension of Contract time, CAP's determination as to the total number of days of extension shall be based upon the latest updated version of the approved contract schedule.

7.4.3 In the event the Contractor disagrees with CAP's decision, the Contractor shall be required to submit a claim pursuant to the DISPUTE article.

ARTICLE 8 PERFORMANCE

8.1 SUPERVISION & CONSTRUCTION PROCEDURES

8.1.1 The Contractor shall supervise and direct the work. The Contractor shall be solely responsible for all construction means, methods, techniques, sequences, procedures, project safety, and shall coordinate all portions of the Work under the Contract, including the relations of the various trades to the progress of the Work, in accordance with the provisions of the Contract Documents.

8.1.2 The Contractor shall be responsible to CAP for the acts and omissions of the Contractor's employees, subcontractors, and their agents and employees, and any other persons performing any of the work under a contract with the Contractor.

8.1.3 The Contractor is an independent contractor and nothing in the Contract Documents shall be interpreted to make the Contractor an agent of CAP.

8.2 SUPERVISION

8.2.1 Within seven (7) days after the Notice to Proceed, the Contractor shall provide to CAP an organization chart outlining key job personnel. The Contractor will also provide a Letter of Authority or Corporate Resolution for the individual(s) authorized to sign documents on its behalf, i.e., payment requests, change orders, inspection reports, etc.

8.2.2 The Contractor shall employ, during the progress of the Work, a competent Project Superintendent and any necessary assistants, as approved by CAP. The Project Superintendent shall not be changed except with the consent of the Authorized Representative of CAP, unless the Superintendent proves to be unsatisfactory to the Contractor or ceases to be in his employ. CAP shall be notified immediately of any new Superintendent appointed to the Work and the Contractor shall submit qualifications for approval. The Superintendent shall represent the Contractor and all directions given to him shall be as binding as if given to the Contractor.

8.2.3 CAP shall be supplied at all times with the name and telephone number of a person in charge of or responsible for the Work, who can be reached for emergency work twenty-four (24) hours a day, seven (7) days a week.

8.3 CONDUCT OF WORK

8.3.1 In connecting one kind of work with another, marring or damaging same will not be permitted and, in the event such occurs, shall be corrected by the Contractor at its cost prior to acceptance by CAP. Should improper work of any trade be covered by another which results in damage or defects, the whole work affected shall be made good by the Contractor without expense to CAP.

8.4 PROTECTION OF WORK & PROPERTY

8.4.1 The Contractor shall continuously maintain adequate protection of the Work from damage and shall protect the CAP's property from injury or loss in connection with this Contract. He shall make good any such damage, injury, or loss, except what may be directly due to errors in the Contract Documents or caused by agents or employees of the CAP. He shall adequately protect adjacent property as provided by law and the Contract Documents.

8.4.2 The Contractor shall preserve and protect all structures, equipment, and vegetation (such as trees, shrubs, and grass) on or adjacent to the Work site which are not to be removed and which do not unreasonably interfere with the work required under this Contract.

8.4.3 The Contractor shall protect from damage all existing improvements and utilities at or near the Work site and on adjacent property of a third party, the locations of which are made known to or should be known by the Contractor. The Contractor shall repair any damage to those facilities, including those that are the property of a third party, resulting from failure to comply with the requirements of this Contract or failure to [illegible] the Contractor fails to repair the damage promptly, the CAP may have the necessary work performed and charge

8.5 CONTRACTOR'S RESPONSIBILITY FOR WORK

8.5.1 Until Acceptance of the Work by CAP, Contractor shall have the charge and care thereof and shall bear the risk of injury or damage to any part of the Work by action of the elements. If a separate Contractor sues the Owner, on account of any loss so sustained, CAP shall notify the Contractor, who shall indemnify and hold harmless CAP against any expenses, or judgment arising therefrom.

8.5.2 Contractor, at its cost, shall rebuild, repair, restore and make good all damages from the elements to any portion of the Work occasioned by such causes before its Acceptance.

8.5.3 No advertising of any description will be permitted in or about the Work, except by order of CAP.

8.5.4 Contractor shall not create or permit the continued existence of any nuisance in or about the Work.

8.6 UTILITIES

8.6.1 Unless otherwise provided for under separate sections herein, Contractor will arrange all water, gas, and electricity required for construction purposes until acceptance of the Work. Contractor shall pay for such services unless otherwise specifically noted.

8.6.2 Utilities shall not be interrupted except with the approval of the CAP. A two (2) work day written notice is required prior to any and all interruptions. Interruptions shall be scheduled so as to minimize duration and disruption to existing operations.

8.6.3

a. The Contractor shall send notices, make all necessary arrangements, and perform all other services required in the care and maintenance of all public utilities.

b. Enclosing or boxing in, for protection of any public utility equipment, shall be done by the Contractor. Upon completion of the Work, the Contractor shall remove all enclosures, and leave in a finished condition.

c. All connections to public utilities shall be made and maintained in a manner so as not to interfere with the continuing use of same by the CAP during the entire progress of the Work.

8.7 WORKING HOURS

8.7.1 All work shall be performed on a calendar day basis during the customary working hours of the trades involved unless otherwise specified in this Contract. Work performed by the Contractor of his own volition outside such established working hours shall be at no additional expense to the CAP and without CAP approval.

8.7.2 It is expressly stipulated that no laborer, workman, or mechanic employed at any time by the Contractor or by any subcontractor(s) under this Contract upon the Work or any part thereof, shall be required or permitted to work thereon more than eight (8) hours during any one calendar day and forty (40) hours during any one calendar week, except, as provided by Section 1815 of the California Labor Code. It is further expressly stipulated that for each and every violation of Sections 1811-1815, inclusive, of the California Labor Code, all the provisions of which are deemed to be incorporated herein, said contractor shall forfeit, as a penalty to CAP, twenty-five dollars ($25.00) for each laborer, workman, or mechanic employed in the execution of this Contract by contractor for each calendar day during which said laborer, workman, or mechanic is required or permitted to work more than eight hours in any one calendar day and forty hours in any one calendar week in violation of the provisions of said Sections of the Labor Code.

8.7.3 The Contractor, and each subcontractor, shall keep an accurate record showing the names of and actual hours worked each calendar day and each calendar week by all laborers, workmen, and mechanics employed by them in connection with the Work contemplated by this Contract, which record shall be open at all reasonable hours to the inspection of the CAP or its officers or agents and to the Division of Labor Standards Enforcement of the Department of Industrial Relations.

8.7.4 No construction work shall be done on Saturdays, Sundays or CAP holidays and no work shall be performed outside of normal working hours without the prior written consent of the CAP. In any event, all work shall be subject to approval of the CAP. Prior to start of such work, the Contractor shall arrange with the CAP for the continuous or periodic inspection of the Work and testing of materials, when necessary. If requests are made by the Contractor for permission to work overtime, nights, Saturdays, Sundays or CAP holidays, and such requests are granted, the Contractor shall bear all extra expense to the CAP for inspection and other incidental expenses caused by such overtime work. If contractors are requested, in the interest of the CAP, to work overtime by the CAP, or if overtime work is specifically required by these specifications, all extra expense of inspection will be paid by the CAP.

8.8 MATERIAL & EQUIPMENT

8.8.1 Materials, equipment, and articles incorporated into the Work shall be new and of equal quality to the types and grades specified. When not particularly specified, the Contractor shall submit for approval satisfactory evidence as to the kind and quality of material. See SUBSTITUTION provision 5.3 concerning "or equal" requirements and procedure for submitting alternative material, articles, or equipment.

8.8.2 All materials shall be delivered so as to insure a speedy and uninterrupted progress of the Work. All materials shall be stored so as to cause no obstruction and so as to prevent overloading of any portion of the structure on the Work site, and the Contractor shall be entirely responsible for damage or loss by weather, theft, vandalism, or other cause.

8.8.3 Materials shall be stored to assure the preservation of their quality and fitness for the Work. Stored materials shall be reasonably accessible for inspection. When considered necessary by the CAP, stored materials shall be placed on wooden platforms or on other hard, clean surfaces and not directly on the ground, and shall be placed under cover when so directed.

8.9 LAYOUT OF WORK

8.9.1 The Contractor shall lay out its work from established base lines and bench marks indicated on the drawings, and shall be responsible for all measurements in connection with the layout. The Contractor shall furnish, at its own expense, all stakes, templates, platforms, equipment, tools, material, and labor required to lay out any part of the Work. The Contractor shall be responsible for executing the Work to the lines and grades that may be established or indicated in the Contract Documents. The Contractor shall also be responsible for maintaining and preserving all stakes and other marks established by the CAP until authorized to remove them. If such marks are destroyed by the Contractor before their removal is authorized, the CAP may replace them and deduct the expense of the replacement from any amounts due or to become due to the Contractor.

8.10 USE OF PREMISES

8.10.1 The Contractor shall maintain the entire premises under his control in an orderly condition. He shall store his [illegible] and equipment in such a manner as will not interfere with the progress of his work or the work of other contractors.

8.11 OPERATIONS & STORAGE

8.11.1 The Contractor shall confine all operations (including storage of materials) on CAP premises to areas authorized or approved by the CAP.

8.11.2 Temporary buildings (e.g., storage sheds, shops, offices) and utilities may be erected by the Contractor only with the approval of the CAP and shall be built with labor and materials furnished by the Contractor without expense to the CAP. The temporary buildings and utilities shall remain the property of the Contractor and shall be removed by the Contractor at his expense upon completion of the work.

8.11.3 The Contractor shall, under regulations prescribed by the authority having jurisdiction, use only established roadways, or use temporary roadways constructed by the Contractor when and as authorized by the authority having jurisdiction. When materials are transported in performance of the Work, vehicles shall not be loaded beyond the loading capacity recommended by the manufacturer of the vehicle or prescribed by any Federal, State, or CAP regulation. When it is necessary to cross curbs or sidewalks, the Contractor shall protect them from damage. The Contractor shall repair, or pay for the repair, of any damaged curbs, sidewalks, or roads.

8.12 HEAT/POWER/LIGHT

8.12.1 Unless otherwise specified or already provided by the CAP, the Contractor shall:

a. Provide heat, as necessary to protect all work, materials, and equipment against injury from dampness and cold;

b. Provide heat as necessary in the area where work is to be done to provide the minimum temperature recommended by the supplier or manufacturer of the material;

c. Provide electric power and light as required for performance of the Work.

8.13 CLEANING UP

8.13.1 The Contractor shall at all times keep the work area, including storage areas, free from accumulations of waste materials. Before completing the Work, the Contractor shall remove from the work and premises any weeds, rubbish, tools, scaffolding, equipment, and materials that are not the property of the CAP. Upon completing the Work, the Contractor shall leave the work area in a clean, neat, and orderly condition satisfactory to the CAP.

ARTICLE 9 SAFETY & HEALTH

9.1 ACCIDENT PREVENTION

9.1.1 In performing this Contract, the Contractor shall provide for protecting the lives and health of employees and other persons; preventing damage to property, materials, supplies, and equipment; and avoiding work interruptions. For these purposes, the Contractor shall:

a. Provide a copy of its safety program;

b. Provide appropriate safety barricades, signs, and signal lights;

c. Comply with standards issued by the U.S. Government, State, CAP and City, and other governing agencies having jurisdiction;

d. Ensure that any additional measures the CAP determines to be reasonably necessary for this purpose are taken.

9.1.2 The Contractor shall maintain an accurate record of exposure data on all accidents incident to work performed under this Contract resulting in death, traumatic injury, occupational disease, or damage to property, materials, supplies, or equipment. The Contractor shall report this data in the manner prescribed by the CAP.

9.1.3 Before beginning excavation for a trench 5 feet or more in depth, Contractor shall provide evidence of having obtained a permit from the authority having jurisdiction.

9.1.4 Nothing herein shall be deemed to allow use of shoring, sloping, or protective systems less effective than those required by the Construction Safety Orders of the California Division of Industrial Safety.

9.2 SANITARY FACILITIES

9.2.1 Contractor shall supply and maintain at its expense such toilets and other sanitary facilities including those which are accessible by the disabled as per ADA and Title 24 requirements necessary for use by visitors and workers employed at the job site. Such facilities shall be approved by the CAP.

9.3 RESPONSIBILITY FOR COMPLIANCE WITH CAL-OSHA

9.3.1 All work, materials, work safety procedures and equipment shall be in full accordance with the latest Cal-OSHA rules and regulations.

9.3.2 Contractor warrants that he and each of his subcontractors shall, in performance of this Contract, comply with each and every compliance order issued pursuant to Cal-OSHA. The Contractor assumes full and total responsibility for compliance with Cal-OSHA standards by his subcontractors as well as himself. The cost of complying with any order and/or payment of any penalty assessed pursuant to Cal-OSHA shall be borne by the Contractor. Nothing contained therein shall be deemed to prevent the Contractor and his subcontractors from otherwise allocating between themselves responsibility for compliance with Cal-OSHA requirements; provided, however, that the Contractor shall not thereby, in any manner whatsoever, be relieved of his responsibility to the CAP as herein set forth.

9.4 TOXIC AND HAZARDOUS MATERIALS AND WASTE

9.4.1 ASBESTOS

Operations which may cause release of asbestos fibers into the atmosphere shall meet the requirements of Title 8 CCR General Industrial Safety Orders, Section 5208 and California law. Some operations which may cause such concentrations include sanding, grinding, abrasive blasting, sawing, drilling, shoveling, or otherwise handling materials containing asbestos so that dust will be raised.

9.4.2 TOXIC MATERIALS

Operations which release toxic materials into the atmosphere shall meet the requirements of Title 8 CCR, General Industrial Safety Orders. Some operations which may release such materials include use of adhesives, sealants, paint, and other coatings.

9.4.3 LEAD-BASED PAINT

Lead-based paint is prohibited. Lead-based paint is defined as:

a. Any paint containing more than five-tenths of one percentum lead by weight (calculated as lead metal in the total non-volatile content of the paint) or the equivalent measure of lead in the dried film of paint applied or both; or

b. For paint manufactured after June 22, 1977, any paint containing more than six one-hundredths of one percentum lead by weight (calculated as lead metal) in the total content of the paint or the equivalent measure of lead in the dried film or paint already applied.

9.4.4 HAULING AND DISPOSAL

All hauling and disposal shall meet requirements of Title 22 CCR, Division 4. Chapter 30, "Minimum Standards for Management of Hazardous and Extremely Hazardous Wastes."

9.4.5 ASBESTOS PROHIBITED

No products or materials containing asbestos shall be incorporated into the Work without the prior written approval of the CAP.

ARTICLE 10 CAP-FURNISHED PROPERTY

10.1 CAP-FURNISHED PROPERTY

10.1.1 The CAP may furnish to the Contractor property as identified in the specification(s) to be incorporated or installed into the Work or used in performing the Contract. The listed property will be furnished f.o.b. railroad cars at the place specified in the Contract or f.o.b. truck at the project site. The Contractor is required to accept delivery. When the property is delivered, the Contractor shall verify its quantity and condition and acknowledge receipt in writing to the CAP within twenty-four (24) hours of delivery, also specifying any damage to or shortage of the property as received. All such property shall be installed or incorporated into the Work at the expense of the Contractor, unless otherwise indicated in this Contract.

10.1.2 Each item of property to be furnished under this clause shall be identified by the Contractor in a schedule by quantity, item, and description. Schedule form will be provided by the CAP.

10.1.3 The Contractor shall be held responsible for all material delivered to him and deductions will be made from any moneys due him to make good any shortages and deficiencies, from any cause whatsoever, which may occur after such delivery.

10.1.4 The Contractor shall set up accounting records and establish an inspection procedure as approved by CAP.

ARTICLE 11 BENEFICIAL OCCUPANCY

11.1 BENEFICIAL OCCUPANCY

11.1.1 CAP shall have the right to take possession of or use any completed or partially completed portion of the Work. CAP's possession or use shall not be deemed an acceptance of any Work under the Contract. The Contractor will continue to pay for any portion of the utilities which he is using.

11.1.2 While CAP has such possession or use, the Contractor shall be relieved of the responsibility for the loss of or damage to that portion of the Work resulting from CAP's possession or use. If Contractor believes the partial possession or use by CAP will delay the progress of the Work or will cause additional expense to the Contractor, Contractor shall immediately submit a written request for an equitable adjustment in the Contract price or the time of completion. CAP will then consider such request and, if in its judgment it is justified, CAP will modify the contract in writing accordingly. In the event the Contractor disagrees with CAP's decision, the Contractor shall be required to submit a claim pursuant to the DISPUTE article.

ARTICLE 12 INSPECTION AND TESTING

12.1 INSPECTION AND TESTING

12.1.1 The Contractor shall maintain an adequate inspection system and perform such inspections as will ensure that the work called for by this Contract conforms to contract requirements. The Contractor shall maintain complete inspection records and make them available to the CAP. The CAP shall at all times have access to the Work, and the Contractor shall provide proper facilities for such access and for inspection.

12.1.2 CAP inspections and tests are for the sole benefit of the CAP and do not:

a. Relieve the Contractor of responsibility for providing adequate quality control measures;

b. Relieve the Contractor of responsibility for damage to or loss of the material before Acceptance;

c. Constitute or imply Acceptance; or

d. Affect the continuing rights of the CAP after Acceptance regarding latent defects, gross mistakes, fraud or the CAP's rights under any warranty or guarantee.

12.1.3 The presence or absence of a CAP inspector does not relieve the Contractor from any Contract requirement, nor is the inspector authorized to change any term or condition of the specifications without the CAP's written authorization.

12.1.4 The Contractor shall promptly furnish, without additional charge, all facilities, labor, and material reasonably needed for performing such safe and convenient inspections and tests as may be required by the CAP. The CAP may charge to the Contractor any additional cost of inspection or test when work is not ready at the time specified by the Contractor for inspection or test, or when prior rejection makes reinspection or retest necessary. Special, full size, and performance tests shall be performed as described in the Contract.

12.1.5 The Contractor shall, without charge, replace or correct work found by the CAP not to conform to contract requirements, unless in the public interest the CAP consents to accept the work with an appropriate adjustment in Contract price. The Contractor shall promptly segregate and remove rejected material from the premises.

12.1.6 If, before Acceptance of the Work, the CAP decides to examine already completed work by removing it or tearing it out, the Contractor, on request, shall promptly furnish all necessary facilities, labor, and material. If the work is found to be defective or nonconforming in any material respect due to the fault of the Contractor or its subcontractors, the Contractor shall defray the expenses of the examination and of [illegible] If the work is found to meet Contract requirements, the CAP shall issue a Change Order [illegible]

12.1.7 The Contractor shall at all times maintain proper facilities and provide safe access for inspection by the CAP to all parts of the work, and to the shops wherein the work is in preparation. Where the specifications require work to be specially tested or approved, it shall not be tested or covered up without timely notice to the CAP of its readiness for inspection and without the approval or consent of CAP. Should any such work be covered up without such notice, approval, or consent, it must, if required by CAP, be uncovered for examination at the Contractor's expense.

12.1.8 The Contractor shall notify the CAP at least one (1) work day in advance of the time scheduled for the inspection. Should the Contractor fail to notify the CAP and proceed with work requiring inspection, all such work is rejected, and no further work shall be done on that portion of the project until the rejected work is accepted by the CAP. Should the Contractor request acceptance of such rejected work the CAP shall, at the Contractor's expense, secure the services of private material testing laboratories, consulting engineers or licensed land surveyors, who shall certify that said work does in fact conform to the requirements of the Contract Documents. The work previously rejected shall be accepted by the CAP after receipt of such certification if the CAP approves of such certification.

12.1.9 If the Contractor does not promptly replace or correct rejected work, the CAP may (1) by contract or otherwise, replace or correct the work and charge the cost to the Contractor or (2) terminate for default the Contractor's right to proceed.

12.1.10 Construction review of the Contractor's performance by the CAP is not intended to include the review of the adequacy of the Contractor's safety measures, in, on, or near the construction site.

12.1.11 The CAP will pay for initial testing services specified to be performed by the CAP. When initial tests

indicate non-compliance with the Contract Documents, subsequent retesting occasioned by the non-compliance shall be performed by the same testing agency, and costs thereof will be deducted by the CAP from the Contract sum.

12.2 INSPECTION BY OTHER JURISDICTIONS

Whenever any part of the Work to be performed is under the jurisdiction or control of another public entity, including but not limited to: The United States Government, State of California, or City, such work shall be subject to inspection by the officials of such entities and it must pass inspection, in addition to CAP inspection, and such other inspections as may otherwise be provided for in the Contract Documents.

12.3 FINAL INSPECTION AND TESTS

The Contractor shall give the CAP at least ten (10) calendar days advance written notice of the date the Work will be fully completed and ready for final inspection and tests. Final inspection and tests will be started within ten (10) calendar days from the date specified in the aforementioned notice unless the CAP determines that the Work is not ready for final inspection and so informs the Contractor.

ARTICLE 13 ACCEPTANCE

13.1 ACCEPTANCE OF THE WORK

13.1.1 After the final inspection by CAP and all the contract documentation has been received, it will be recommended to the CAP Board of Supervisors to accept the Work and file a Notice of Completion. Upon approval of the Notice of Completion, a copy will be sent to the Contractor. (See final payment clause.) Upon Acceptance of the Work, Contractor will be relieved of the duty of maintaining and protecting the Work. Neither determination by the CAP that the Work is complete, nor Acceptance thereof, shall operate as a bar to CAP's claim against Contractor pursuant to Contractor's warranty and guarantees.

13.1.2 Partial payments shall not be construed as acceptance of any part of the Work.

13.1.3 In judging the Work, no allowance for deviations from the drawings and specifications will be made, unless already approved in writing at the time and in the manner as called for herein.

13.1.4 CAP shall be given adequate opportunity to make any necessary arrangements for fire insurance and extended coverage.

13.1.5 The Acceptance of the Work will not be recommended until all requirements of the Contract Documents are complete and approved by the CAP. This shall include, but is not limited to, all construction, guarantee forms, parts lists, schedules, tests, operating instructions, as-built drawings, and all other documentation identified by the Contract Documents.

ARTICLE 14 WARRANTY AND GUARANTEES

14.1 CONTRACTOR'S WARRANTY AND GUARANTEE

14.1.1 Contractor warrants that all materials and equipment furnished under this Contract shall be new unless otherwise specified, and that all Work performed under this Contract conforms to the Contract requirements and is free of any defect whether performed by the Contractor or any subcontractor or supplier.

14.1.2 This warranty shall continue for a period of one (1) year from the date of filing of Notice of Completion on the

Work. The Performance Bond shall remain in force during the warranty period.

14.1.3 The Contractor shall remedy at the Contractor's expense any damage to CAP-owned or controlled real or personal property, when that damage is the result of:

a. The Contractor's failure to conform to Contract requirements or

b. Any defect of equipment, material, workmanship, or design furnished by the Contractor.

14.1.4 The Contractor shall restore any work damaged in fulfilling the terms and conditions of this Article. The Contractor's warranty with respect to work repaired or replaced will run for one (1) year from the date of repair or replacement.

14.1.5 The CAP shall notify the Contractor, in writing, within a reasonable time after the discovery of any failure, defect, or damage. The Contractor shall within ten (10) calendar days after being notified in writing by the CAP of any work not in accordance with the requirements of the Contract or any defects in the Work, commence, and perform with due diligence, all work necessary to fulfill the terms of this Article. If the Contractor fails to remedy any defect, or damage within fourteen (14) calendar days after receipt of notice, the CAP shall have the right to replace, repair, or otherwise remedy the defect, or damage at the Contractor's expense. Payment due to the Architect from the CAP for extra architectural services required in the enforcement of Contractor's guarantee after Acceptance of the Work shall be paid to the CAP by the Contractor.

14.1.6 In the event of any emergency constituting an immediate hazard to health or safety of CAP employees, [illegible] which caused by work of the Contractor that is not in accordance with the Contract requirements, the CAP may undertake [illegible] necessary to correct such hazardous condition(s).

14.1.7. With respect to all warranties, express or implied, from subcontractors, manufacturers, or suppliers for work performed and materials furnished under this Contract, the Contractor shall:

a. Obtain all warranties that would be given in normal commercial practice;

b. Require all warranties to be executed, in writing, for the benefit of the CAP, unless directed otherwise by the CAP; and

c. Enforce all warranties for the benefit of the CAP, unless otherwise directed by the CAP.

14.1.8 This warranty shall not limit the CAP's rights under the Inspection and Acceptance section(s) of this Contract with respect to latent defects, gross mistakes, or fraud.

ARTICLE 15 ENVIRONMENTAL PROTECTION

15.1 DUST CONTROL

15.1.1 The Contractor shall provide any and all dust control required.

15.1.2 Whenever the Contractor is negligent in providing dust control, the CAP shall order the Contractor to provide such dust control. If the Contractor does not comply promptly with such order, the CAP shall have the authority to provide such dust control and charge the Contractor therefore by deducting the cost from progress payments to the Contractor as such costs are incurred by the CAP. The CAP shall not be held

responsible for schedule delays due to actions taken by CAP to mitigate the failure of the Contractor in providing dust control.

15.2 EXCESSIVE NOISE

15.2.1 The Contractor shall use only such equipment on the Work and in such state of repair that the emission of sound therefrom is within the noise tolerance level of that equipment as established by CAL-OSHA.

15.2.2 Should the CAP determine that the muffling device on any equipment used on the Work is ineffective or defective so that the noise tolerance of such equipment is exceeded, such equipment shall not, after such determination by the CAP, be used on the Work until its muffling device is repaired or replaced so as to bring the noise tolerance level of such equipment within such standards.

15.3 POLLUTION CONTROL, CLEANING

15.3.1 The Contractor shall not, in connection with the Work, discharge any smoke, dust, or other contaminants into the atmosphere which are in violation of South Coast Air Quality Management District standards or discharge any fluids or materials into any lake, river, stream, or channel as will violate regulations of State of California Water Resources Board. The Contractor shall control accumulation of waste materials and rubbish and dispose of waste materials and rubbish off-site at a minimum of weekly intervals. Burning of materials is not permitted.

ARTICLE 16 EMPLOYMENT PRACTICES

16.1 QUALIFICATIONS FOR EMPLOYMENT AND APPRENTICESHIP STANDARDS

16.1.1 In accordance with Section 1735 of the California Labor Code, no person under the age of 16 years and no person currently serving sentence in a penal or correctional institution shall be employed to perform any Work under this Contract. No person whose age or physical condition is such as to make his employment dangerous to his health or safety or to the health or safety of others shall be employed to perform Work under this Contract; provided that this requirement shall not operate against any physically handicapped persons otherwise employable where such persons may be safely assigned to Work which they ably perform.

16.1.2 This contract is subject to the provisions of Sections 1777.5 and 1777.6 of the California Labor Code concerning the employment of apprentices by the Contractor or any subcontractor under him. Section 1777.5 as amended, requires the Contractor or subcontractor employing tradesmen in any apprenticeable occupation to apply to the Joint Apprenticeship Committee nearest the site of this project and which administers the apprenticeship program in that trade for a certificate of approval. The certificate will also fix the ratio of apprentices to journeymen that will be used in the performance of the Contract.

16.1.3 The Contractor is required to make contributions to funds established for the administration of apprenticeship programs if he employs registered apprentices or journeymen in any apprenticeable trade on such contracts and if other contractors on the public works site are making contributions.

16.1.4 All employees engaged in work on the project under this Contract shall have the right to organize and bargain collectively through representatives of their own choosing, and such employees shall be free from interference, restraint, and coercion of employers in the designation of such employees for the purpose of collective bargaining or other mutual aid or protection, and no person seeking employment under this Contract shall be required as a condition of initial or continued employment to join any company, union, or to refrain from joining, organizing, or assisting a labor organization of such person's own choosing. No person in the employment of the CAP shall be employed by this contractor.

16.2 WAGES & RECORDS

16.2.1 WAGE RATES

a. Pursuant to Section 1770 and 1773 et seq. of the Labor Code of the State of California, the Director of Industrial Relations has ascertained the general prevailing rate of per diem wages and the rates for overtime and holiday work in the locality in which the work is to be performed for each craft, classification, or type of workman needed to execute the contract which will be awarded to the successful bidder, copies of which are on file and available upon request at the Clerk of the Board, Board of Supervisors, 4080 Lemon St., 14th Floor, Riverside, CA 92501-3655, and shall be posted at the job site.

b. It shall be mandatory upon the Contractor and upon any subcontractor under him, to pay not less than the said specified rates to all laborers, workmen, and mechanics employed in the execution of the Contract. It is further expressly stipulated that the Contractor shall, as a penalty to CAP, forfeit two hundred dollars ($200.00) for each calendar day, or portion thereof, for each laborer, workman, or mechanic paid less than the stipulated prevailing rates for any work done under this Contract by him or by any subcontractor under him; and Contractor agrees to comply with all provisions of Section 1770 et. seq. of the Labor Code.

c. In case it becomes necessary for the Contractor or any sub-contractor to employ on the project under this Contract any person in a trade or occupation (except executives, supervisory, administrative, clerical, or other non-manual workers as such) for which no minimum wage rate is herein specified, the Contractor shall immediately notify the CAP in writing before employing the prevailing rate for such additional trade or occupation and shall furnish the Contractor with the minimum rate based thereon. The minimum rate thus furnished shall be applicable as a minimum for such trade or occupation from the time of the initial employment of the person affected and during the continuance of such employment.

d. The CAP will not recognize any claim for additional compensation because of the payment by the Contractor of any wage rate in excess of the prevailing wage rate set forth as provided herein. The possibility of wage increases is one of the elements to be considered by the Contractor in determining his bid, and will not under any circumstances be considered as the basis of a claim against the CAP on the Contract.

16.2.2 WAGE RECORDS

a. The Contractor and each subcontractor shall keep or cause to be kept an accurate record (certified payroll) showing the names and occupations of all laborers, workers, and mechanics employed by him in connection with the execution of this Contract or any subcontract thereunder. The record shall show the actual per diem wages paid to each of said workers, which records shall be provided to the CAP, and to the Division of Labor Standards Enforcement upon its request. Copies provided will include one which has the name and social security numbers marked out.

16.3 NOTICE OF LABOR DISPUTES

16.3.1 If the Contractor has knowledge that any actual or potential labor dispute is delaying or threatens to delay the timely performance of this Contract, the Contractor shall immediately give notice, including all relevant information, to the CAP.

16.3.2 The Contractor agrees to insert the substance of this clause, including this paragraph into any subcontract in which a labor dispute may delay the timely performance of this Contract; except that each subcontract shall provide that in the event its timely performance is delayed or threatened by delay by any actual or potential labor dispute, the subcontractor shall immediately notify the next higher tier subcontractor or the prime Contractor, as the case may be, of all relevant information concerning the dispute.

16.4 NONDISCRIMINATION

16.4.1 EQUAL EMPLOYMENT OPPORTUNITY

a. Contractor agrees for the duration of this Contract that it will not discriminate against any employee or applicant for employment because of race, color, religion, sex, national origin, age, political affiliation, marital status, or handicap. The Contractor will take affirmative action to insure that employees are treated during employment or training without regard to their race, color, religion, sex, national origin, age, political affiliation, marital status, or handicap. Such action shall include, but not be limited to, the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided setting forth the provisions of this nondiscrimination clause.

b. The Contractor will in all solicitations or advertisements for employees placed by or on behalf of the Contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, age, political affiliation, marital status, or handicap.

c. The Contractor will send to each labor union or other representative of workers with which it has a collective bargaining agreement or other contract or understanding, a notice advising the workers' representative of the Contractor commitments under this agreement.

d. The Contractor agrees that it will comply with the provisions of Titles VI and VII of the Civil Rights Act, Revenue Sharing Act Title 31, U.S. Code Section 2716, and California Government Code Section 12990.

e. The Contractor agrees that it will assist and cooperate with CAP, the State of California and the United States Government in obtaining compliance with the equal opportunity clause, rules, regulations, and relevant orders of the State of California and United States Government issued pursuant to the Acts.

f. In the event of the Contractor's non-compliance with the discrimination clause, the affirmative action plan of this contract, or with any of the said rules, regulations or orders, this Contract may be canceled, terminated, or suspended in whole or in part by CAP.

16.4.2 HANDICAPPED NON-DISCRIMINATION

This project is subject to Section 504 of the Rehabilitation Act of 1973 as amended, (29 U.S.C. 794), and the Americans with Disabilities Act of 1990, as amended, and all requirements imposed by the guidelines and interpretations issued thereto. In this regard, the CAP and all of its contractors and subcontractors will take all reasonable steps to ensure that handicapped individuals have the maximum opportunity for the same level of aid, benefit or service as any other individual.

16.4.3 FAIR EMPLOYMENT AND HOUSING ACT ADDENDUM

In the performance of this Contract, the Contractor will not discriminate against any employee or Applicant for employment because of race, sex, color, religion, ancestry, or national origin. The Contractor will take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, sex, color, religion, ancestry, or national origin. Such action shall include, but not limited to, the following: employment, upgrading, emotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The Contractor shall post in conspicuous places, available to employees and applicants for employment, notices to be provided by the State or local agency setting forth the provisions of this Fair Employment and Housing Section.

16.4.4 ACCESS TO RECORDS

The Contractor will permit access to his records of employment, employment advertisements, application forms, and other pertinent data and records by the State Fair Employment and Housing Commission, or any other agency of the State of California designated by the awarding authority, for the purposes of investigation to ascertain compliance with the Fair Employment and Housing section of this Contract.

16.4.5 REMEDIES FOR WILLFUL VIOLATION

The State or local agency may determine a willful violation of the Fair Employment and Housing provision to [illegible] upon receipt of a final judgment having that effect from a court in an action to which Contractor was a party, or upon receipt of a [illegible] from the Fair Employment and Housing Commission that it has investigated and determined that the Contractor has violated the Fair Employment and Housing Act and issued an order or obtained an injunction under Government Code Sections 12900, et seq.

ARTICLE 17 SUBCONTRACTING

17.1 SUBCONTRACTORS

17.1.1 A subcontractor is an individual, firm or corporation having a direct contract with the Contractor or with any other subcontractor for the performance of a part of the Work. In accordance with Section 4104 of the Public Contract Code, each Contractor, in his bid, shall include the name and location of each subcontractor who will perform work or labor, or render services to the Contractor in or about the Work in an amount in excess of one half of 1% of the Contractor's total bid.

17.1.2 CAP reserves the right to approve all subcontractors. Such approval shall be a consideration to the awarding of the Contract and unless notification to the contrary is given to the Contractor prior to the signing of the Contract, the list of subcontractors which is submitted with his proposal will be deemed to be acceptable.

17.1.3 The Contractor shall be as fully responsible to the CAP for the acts and omissions of his subcontractors and of persons either directly or indirectly employed by them, as he is for the acts and omissions of persons directly employed by him.

17.1.4 Nothing contained in the Contract Documents shall create any contractual relationship between any subcontractor and CAP.

17.1.5 The divisions or sections of the specifications are not intended to control the Contractor in dividing the Work

among subcontractors or to limit the work performed by any trade.

17.2 RELATIONS OF CONTRACTOR AND SUBCONTRACTOR

17.2.1 The Contractor agrees to bind every subcontractor by the terms of the Contract with the CAP, the General Conditions, Supplementary Conditions, and the drawings and specifications as far as applicable to his work, unless specifically noted to the contrary in a subcontract approved in writing as adequate by tCAP.

17.3 SUBCONTRACTS

17.3.1 Pursuant to the provisions of Sections 4100 to 4114 of the California Public Contract Code, inclusive, the Contractor shall not, without the consent of CAP, either:

a. Substitute any persons as subcontractors in place of the subcontractors designated in his original bid without the consent of CAP. (The CAP's consent can only be given in cases permitted by Public Contract Code Section 4107.)

b. Permit any subcontract to be assigned or transferred or allow any work to be performed by anyone other than the original subcontractor listed in his bid.

c. Sublet or subcontract any portion of the work in excess of one-half of one percent of his bid to which his original bid did not designate a subcontractor.

Should the Contractor violate any of the provisions of Sections 4100 to 4114, inclusive, of the Public Contract Code, his so doing shall be deemed a violation of this Contract, and CAP may either cancel the contract, or assess the Contractor a penalty in the amount of not more than ten (10) percent of the amount of the subcontract involved, or both.

ARTICLE 18 TAXES

18.1 SALES AND PAYROLL TAXES

18.1.1 Each Contractor, subcontractor, and material dealer shall include in their bid all applicable taxes including but not limited to sales tax and payroll taxes required by law.

ARTICLE 19 CHANGES

19.1 CHANGE ORDER WORK

19.1.1 CAP reserves the right to make changes in the work without impairing the validity of the Contract. The CAP may make changes to the work, or suspend the work, and all such changes or suspension are within the contemplation of the parties and will not be a basis for compensable delay. Such changes may be made in accordance with any of the following methods:

a. By written change order to the Contract ordered by the Board of Supervisors.

b. By written change order, signed by the Contracting Officer, in the manner and amounts specified by CAP procurement and procedure manual.

c. By written authorization, issued by the Contracting Officer, for items of work done under unit prices. The cost or credit for such added or omitted work shall be determined by

multiplying the number of units added to or omitted from the work by the applicable unit price.

19.1.2 Upon receipt of a proposed Change Order from CAP, the Contractor shall submit a proposal in accordance with the requirements and limitations set forth in this "Change Orders" article, for work involved in the contemplated change.

19.1.3 The Contractor must submit a cost proposal within fifteen (15) calendar days after receipt of the proposed change order. The Contractor must submit cost proposals in less than fifteen (15) calendar days if requested by the CAP or if required by schedule limitations.

19.1.4 If the Contractor fails to submit the cost proposal within the 15-day period (or as requested), the CAP has the right to order the Contractor in writing to commence the work immediately on a force account basis and/or issue a lump sum change to the contract price in accordance with the CAP's estimate of cost. If the change is issued based on the CAP estimate, the Contractor will waive his right to dispute the action unless within fifteen (15) calendar days following completion of the added/deleted work, the Contractor presents proof that the CAP's estimate was in error.

19.1.5 If CAP disagrees with the proposal submitted by Contractor, it will notify the Contractor in writing and the Contractor may elect to proceed under the DISPUTE article of this Contract, or, in the event either party contests the price or time extension of Change work, or time is of the essence, the CAP may issue a Construction Change Directive and the contractor shall proceed with the work. The CAP will provide its opinion of the appropriate price and/or time extension in a "Response to Change Order Request." If the contractor agrees with the CAP's estimate, a change order will be issued by the CAP. If [illegible] the CAP shall have the right to issue the Change Order Directive setting [illegible] extra or deleted work. Such determination shall become final and binding if the Contractor [illegible] a Claim in writing to the CAP, within twenty-one (21) days of the Change Order Directive, disputing the [illegible] Directive. No dispute, disagreement or failure of the parties to reach agreement regarding the amount, if any, of any adjustment to the contract sum or contract time shall relieve the Contractor from the obligation to proceed with performance of the work, including extra work, promptly and expeditiously."

19.1.6 The Contractor will give notice of a requested change on his letterhead within seven (7) calendar days of discovery and, if the CAP agrees, a proposed change order will be issued on the CAP's standard change order form.

19.1.7 If any change involves an increase or decrease in the cost of the Contractor's work, a change order shall state the amount to be added or deducted from the Contract amount, and the additional time, if any, needed for the performance of such work.

19.1.8 Any changes to the Contract amount shall be in a lump sum mutually agreed to by the Contractor and the CAP, except that when, in the opinion of the CAP, such basis is not feasible the change to the Contract amount shall be determined upon a cost-plus-percentage basis with a guaranteed maximum lump sum cost within the limitations provided by law.

19.1.9 Each lump sum quotation from the Contractor shall be accompanied by sufficiently detailed estimates to permit verification of totals in accordance with (a) through (d) in 19.1.11 below.

19.1.10 When the work is to be done on a cost-plus-percentage basis, the Contractor shall submit statements as required by the CAP showing all labor, material, and equipment costs incurred, and upon completion of the work, a summary of costs, including overhead and profit, and in accordance with Item (a) through (d) in 19.1.11 below.

19.1.11 Estimates for lump sum quotations and accounting for cost-plus-percentage work shall be limited to direct expenditures necessitated specifically by the subject extra work, and shall be segregated as follows:

a. Labor. The costs of labor will be the actual cost for wages prevailing locally for each craft or type of worker at the time the extra work is done, plus employer payments of payroll taxes and insurance, health and welfare, pension, vacation, apprenticeship funds, and other direct costs resulting from Federal, State or local laws, as well as assessment or benefits required by lawful collective bargaining agreements. The use of a labor classification which would increase the extra work cost will not be permitted unless the contractor establishes the necessity for such additional costs. Labor costs for equipment operators and helpers shall be reported only when such costs are not included in the invoice for equipment rental.

b. Materials. The cost of materials reported shall be at invoice or lowest current price at which such materials are locally available in the quantities involved, plus sales tax, freight and delivery.

c. Tool and Equipment Use. No payment will be made for the use of tools which have a replacement value of $100 or less. Regardless of ownership, the rates to be used in determining equipment use costs shall not exceed listed rates prevailing locally at equipment rental agencies, or distributors, at the time the work is performed.

d. Overhead, Profit and Other Charges. The mark-up for overhead and profit on work added to the Contract shall be according to the following Schedule.

(1) For work performed by the Contractor's forces the added cost for overhead and profit shall not exceed fifteen (15%) percent of the net cost of the work, equipment, labor and materials.

(2) For work performed by a subcontractor, the added cost for overhead and profit shall not exceed fifteen (15%) percent of the net cost of the work, equipment, labor and materials, to which the Contractor may add five (5) percent of the subcontractor's price of the work.

(3) For work performed by a sub-subcontractor the added cost for overhead and profit shall not exceed fifteen (15 %) percent of the net cost for work, equipment, labor and materials to which sub-contractor and general contractor may each add an additional five (5 %) percent of the total price from the lower tier subcontractor.

(4) "Net Cost" is defined as consisting of costs of labor, materials and equipment use and/or rental only. The costs of applicable insurance and bond premium will be reimbursed to the Contractor and subcontractors at cost only, without mark-up.

(5) The cost of direct supervision, except when provided by working foreman whose time is included above, of change order work when done exclusively, and not in conjunction or at the same time as, other work performed on the job and when approved in advance by the CAP's authorized representative, including only payroll taxes, insurance, pension and direct costs for the labor of supervision may be charged to the change order. The cost of transportation, use of vehicle and other costs incurred by supervision will not be allowed.

19.1.12 For added or deducted work by subcontractors, the Contractor shall furnish to the CAP the subcontractor's signed detailed estimate of the cost of labor, material and equipment, including the markup by such subcontractor for overhead and profit. The same requirement shall apply to sub-subcontractors.

19.1.13 For added or deducted work furnished by a vendor or supplier, the Contractor shall furnish to the CAP a detailed estimate or quotation of the cost to the Contractor for such work, signed by such vendor or supplier.

19.1.14 Any change in the work involving both extras and credits shall show a new total cost, including subcontracts. Allowance for overhead and profit, as specified therein, shall be applied if the net total cost is an extra; overhead and profit allowances shall not be applied if the net total cost is a credit. The estimated cost of deductions shall be based on labor and material prices on the date the Contract was executed.

19.1.15 The Contractor shall identify any adjustment in time of the final completion of the Work as a whole which is directly attributable to the changed work within fifteen (15) calendar days of receipt of the proposed change order. The Contractor's request for a change in time will be supported by a detailed schedule analysis including a schedule indicating the activities which have been affected and the additional time being requested.

a. For a change in time for the Work, the Contractor shall be entitled only to such adjustments where completion of the entire Work (critical path) is delayed due to the performance of the changed work. Failure to request extra time when submitting such estimate shall constitute waiver of the right to subsequently claim adjustment in time for final completion based upon such changed work.

b. If the CAP and the Contractor fail to arrive at an agreement on the amount of extra cost, credit or time extension for a proposed change order, the change order will be processed in the amount believed by the CAP to be reasonable, and the Contractor shall proceed with the work. If the Contractor believes that the amount or time stipulated in the change order is not reasonable for the work required, he may elect to issue a notification in accordance with the DISPUTES article for review by the CAP, stating therein the basis for his dispute with such change order.

19.1.16 Any change in the Work shall conform to the original Contract Documents insofar as they may apply without conflict to the conditions involved in the change.

19.1.17 Payment for additional work or extras, if any, shall become due and payable in accordance with the provisions for payment in the Contract.

19.1.18 Contractor shall not reserve a right to assess impact cost, extended job site costs, extended overhead, and/or constructive acceleration at a later date as related to any and all changes. All costs or estimated costs must be supported with full schedule and cost documentation with each proposed change within the prescribed submission times. If a request for a change is denied and the Contractor disputes the denial, the Contractor must supply the aforementioned documentation to support his claim under the DISPUTES article of this Contract. No claims shall be allowed for impact, extended overhead costs, and/or construction acceleration due to the multiplicity of changes and/or clarifications. Any attempt by Contractor to change or modify the change order form (sample included herein) shall void the form, including any letters the Contractor may issue in conjunction therewith.

19.1.19 All alterations, extensions of time, extra and additional work and other changes authorized by these specifications or any part of the Contract may be made without securing consent of the surety or sureties on the contract bonds.

19.2 CHANGE ORDERS AND LABOR RATES GUIDELINES

19.2.1 The following are guidelines for preparing change orders:

a. Labor Rates:

(1) To establish the labor rate for each classification and trade, a breakdown shall be submitted to the CAP.

(2) Labor rates are based on current prevailing state and federal wages. Only those benefits mandated by law or a valid labor contract are paid by the CAP.

(3) Payroll taxes shall be paid as mandated by law. Labor related insurances shall be paid according to industry standard average.

(4) No other costs related to labor shall be paid by CAP.

b. Change Orders:

(1) Change orders shall be prepared in accordance with the project contract.

(2) No insurance costs are paid by CAP, except for labor insurances specified in this guideline under section 1 titled "LABOR RATES".

(3) Material cost shall be broken down on a separate sheet, and for those jobs designated as time and material shall be supported by valid invoices from suppliers.

(4) Hours for non-productive labor, such as non-working foremen or general foremen, shall be paid only when justified in the opinion of the CAP, and approved by the CAP. The total number of nonproductive labor hours shall be limited to a maximum of 15% of the total number of productive labor hours.

(5) Cost of use of special equipment shall be paid when justified in the opinion of the CAP, and approved by the CAP. Equipment refers to special equipment that is needed to perform that specific job, and does not include the usual tools customarily required for that trade. Small tools costs are not paid by CAP.

(6) Material transportation costs are paid by CAP when justified in the opinion of the CAP, and approved by the CAP's authorized representative.

(7) Overhead, profit and fees on subcontracts, are paid according to the contract.

(8) No costs other than those designated above shall be paid by CAP. The percentages of overhead and fee allowed with change orders have been established to account for any other direct or indirect costs that might be incurred due to the change order.

19.3 AUDIT

19.3.1 The CAP shall have the right to examine and audit all books, estimates, records, contracts, documents, bid

documents, subcontracts, and other data of the Contractor (including computations and projections) related to negotiating, pricing, or performing the modification in order to evaluate the accuracy and completeness of the cost or pricing data at no additional cost to the CAP.

19.3.2 The Contractor shall make available at its office at all reasonable times the materials described in paragraph 19.3.1 above, for examination, audit, or reproduction, until 4 years after final payment under this Contract.

19.3.3 The Contractor shall insert a clause containing all the provisions of this 19.3, including this paragraph, in all subcontracts over $10,000 under this contract.

ARTICLE 20 PAYMENT

20.1 PROGRESS PAYMENTS

20.1.1 The CAP shall pay the Contractor the price as provided in this Contract.

20.1.2 The CAP shall make progress payments monthly as the Work proceeds, on estimates approved by the CAP. The Contractor shall furnish a breakdown of the total contract price, in a format provided by the CAP, showing the amount included therein for each principal category of the work, in such detail as requested, to provide a basis for determining progress payments.

20.1.3 Contractor shall submit to the CAP vouchers, schedule activities, or other satisfactory proof of the value of any work for which he claims payment on such account, and receipts showing that progress payments have been duly made on such contracts, and for materials furnished.

20.1.4 In the preparation of [illegible] the value of material delivered and satisfactorily stored on the site, and preparatory work done to be taken into consideration for [illegible] if:

a. Consideration is specifically authorized by this Contract and

b. The Contractor furnishes certified receipt that it has acquired title and paid invoices for such material and that the material will be used to perform this Contract.

20.1.5 On the 25th of each month the Contractor will submit his request for payment. Prior to that submittal the CAP will review the requested percentage of completion for each activity. The payment request will be in the format as provided by the CAP and will refer to the schedule.

20.1.6 Upon receipt of a payment request, the CAP shall:

a. Review that request as soon as practicable after receipt for the purpose of determining that the payment request is a proper payment request; and

b. Any payment request determined not to be a proper request suitable for payment shall be returned to the Contractor as soon as practicable, but not later than seven (7) calendar days after receipt. The returned request for payment shall be accompanied by a document setting forth in writing the reasons why the payment request is not proper.

20.1.7 Any progress payment which is undisputed and properly submitted and remains unpaid for thirty (30) calendar days after receipt by CAP shall accrue interest to the Contractor equivalent to the legal rate set forth in subdivision (a) of Section 685.010 of the California Code of Civil Procedure. The number of days available to

the CAP to make a payment without incurring interest pursuant to this section shall be reduced by the number of days by which the CAP exceeds the seven-day return requirement set forth in 20.1.6 above.

20.1.8 In making these progress payments, there shall be retained five percent (5%) from the amount of each progress payment until the work is complete.

20.1.9 Except as otherwise prohibited by law, the Contractor may elect to receive all payments due under the contract pursuant to this section without any retention, by posting securities in accordance with Public Contract Code Section 22300.

20.1.10 Contractor and each subcontractor shall pay each of its employees engaged in work under this Contract in full (less deductions made mandatory by law) in accordance with California law.

20.1.11 The CAP may withhold (in excess of retentions) or, on account of subsequently discovered evidence, nullify the whole or a part of any certificate to such extent as may be necessary to protect the CAP from loss on account of:

a. Defective work not remedied.

b. Claims filed or reasonable evidence indicating probable filing of claims.

c. Failure of the Contractor to make payments properly to subcontractors or for material or labor.

d. Damage to another Contractor.

e. Delays in progress toward completion of the work, with the stipulated amount of liquidated damages being withheld for each day of delay for which no extension is granted.

f. Default of the Contractor in the performance of the terms of the Contract.

20.1.12 Should stop notices be filed with the CAP shall withhold the amount required plus 25% from certificates until such claims shall have been resolved pursuant to applicable law. California Civil Code Section 9000 et seq.

20.1.13 Contractor shall provide (1) forms of conditional releases of stop notice and bond rights upon progress payment, complying with California Civil Code Section 8132, for all work performed during the time period covered by the current Application for Payment, signed by the Contractor and the subcontractors of every tier; and (2) forms of unconditional release of stop notice and bond rights upon progress payment, complying with Civil Code Section 8134 for all work performed during the time period covered by previous Application for Payment, signed by Contractor and the subcontractors of every tier.

20.1.14 All material and work covered by progress payments made shall, at the time of payment, become the sole property of the CAP, but this shall not be construed as:

a. An acceptance of any work not in accordance with the Contract Documents; or

b. Waiving the right of the CAP to require the fulfillment of all of the terms of the contract.

20.2 FINAL PAYMENT

20.2.1 GENERAL

a. The CAP shall pay the amount due the Contractor under this Contract after:

1.) The Acceptance of all work and Notice of Completion per the terms of this Contract;

2.) Presentation of a properly executed voucher;

3.) Submission of conditional releases and waivers of stop notice and bond rights upon final payment in the form required by California Civil Code Section 8136 executed by Contractor and by all the subcontractors of every Tier.

4.) Presentation of release of all claims against the CAP arising by virtue of this Contract, other than claims and disputes in stated amounts that the Contractor has specifically excepted from the operation of the release.

b. The Contractor may, if any subcontractor refuses to furnish a release or receipt in full, furnish a bond satisfactory to the CAP, to indemnify him against any lien.

20.2.2 FINAL CERTIFICATE FOR PAYMENT

a. When the work is ready for acceptance by the CAP, they will certify a Notice of Completion. Upon approval of the Notice of Completion, a copy will be sent to the Contractor

b. Notice of Completion will be recorded by the CAP upon satisfactory completion of the Work. Providing no stop notices have been filed, thirty-five (35) calendar days after filing of such Notice of Completion, payment due under the contract will become due to the Contractor and the CAP shall so certify authorizing the final payment

20.2.3 FINAL PAYMENT

a. After Acceptance of Work, the CAP will submit to Contractor a statement of the sum due Contractor under this contract, together with CAP payment in the amount thereof. Said statement shall take into account the contract price, as adjusted by any change orders; amounts already paid; sums to be withheld for incomplete work; liquidated damages; and for any other cause under the Contract.

b. The Contractor shall, from the effective date of Acceptance until the expiration of four years after final settlement under this Contract, preserve and make available to the CAP, all its books, records, documents, and other evidence bearing on the costs and expenses of the Contractor under this Contract.

ARTICLE 21 SUSPENSION OF WORK/TERMINATION

21.1 NON-COMPLIANCE WITH CONTRACT REQUIREMENTS

21.1.1 In the event the Contractor, after receiving written notice from the CAP of non-compliance with any requirement of this Contract, fails to promptly initiate appropriate action to comply with the specified requirement, the CAP shall have the right to withhold payment for work completed under the Contract until

the Contractor has complied with the notice or has initiated such action as may be appropriate to comply, within a reasonable period of time. The Contractor shall not be entitled to any extension of contract time or payment for any costs incurred for work under this article.

21.1.2 Should the Contractor abandon the Work called for under the Contract, or assign his Contract, or unnecessarily and unreasonably delay the work, or willfully violate or perform the work in bad faith, the CAP shall have the power to notify the Contractor to discontinue all work or any part thereof under this Contract, and thereupon the Contractor shall cease to continue said work or such part thereof as the CAP may designate, and the CAP shall have the power to employ such persons as it may consider desirable, and to obtain by contract, purchase, hire or otherwise, such implements, tools, material or materials as the CAP may deem advisable to work at and be used to complete the work herein described, or such part thereof as shall have not been completed, and to use such material as it may find upon the site of the work, and to charge the expense of such labor and material, implements and tools to the Contractor, and the expense so charged shall be deducted and paid by the CAP out of such monies as may either be due, or may at any time thereafter become due to the Contractor under the Contract.

21.2 TERMINATION

21.2.1 TERMINATION FOR BREACH

If the Contractor should be adjudged bankrupt or if he should make a general assignment for the benefit of his creditors, or if a receiver should be appointed on account of his insolvency, or if he or any of his subcontractors should violate any of the provisions of the Contract, the CAP may serve written notice upon him and his surety of its intention to terminate Contractor's performance hereunder, said notice shall contain the reasons for such intention to terminate Contractor's performance, and, unless within ten (10) calendar days after serving of said notice, such violation shall cease and satisfactory arrangements for correction thereof be made, Contractor's performance shall, upon the expiration of said ten (10) calendar days, cease and terminate. In the event of any such termination, the CAP shall immediately serve written notice thereof upon the surety and the Contractor, and the CAP may take over the Contractor's work and prosecute the same to completion by contract or by any other method it may deem advisable, for the account and at the expense of the Contractor, and the Contractor and his surety shall be liable to the CAP for any excess cost occasioned the CAP thereby, and in such event the CAP may without liability for so doing take possession of and utilize in completing the work, such materials, appliances, plants, and other property belonging to the Contractor as may be on the site of the work and necessary therefore.

21.2.2 TERMINATION FOR CONVENIENCE

a. If the construction of the project herein is damaged, which damage is determined to have been proximately caused by an Act of God, in excess of 5% of the contract amount, provided that the work damaged is built in accordance with applicable building standards and the plans and specifications, then the CAP may, without prejudice to any other right or remedy, terminate the Contract.

b. The CAP may terminate performance of work under this Contract in whole or in part, if the CAP determines that a termination is in the CAP's interest. The CAP shall terminate by delivering to the Contractor a Notice to Terminate specifying the extent of termination and the effective date.

c. After receipt of such Notice, and except as directed by the CAP, the Contractor shall immediately proceed with the following obligations, regardless of any delay in determining or adjusting any amounts due under this clause:

(1) Stop work as specified in the notice.

(2) Place no further subcontracts or orders (referred to as subcontracts in this clause) for materials, services, or facilities, except as necessary to complete any continued portion of the Contract.

(3) To terminate all subcontracts to the extent they relate to the work terminated.

(4) With approval or ratification to the extent required by the CAP, settle all outstanding liabilities and termination settlement proposals arising from termination of subcontracts; the approval or ratification will be final for purposes of this clause.

(5) As directed by the CAP, transfer title and deliver to the CAP (1) the fabricated or unfabricated parts; work in progress, completed work, supplies, and other material produced or acquired for the work terminated; and (2) the completed or partially completed plans, drawings, information, and other property that, if the contract had been completed, would be required to be furnished to the CAP.

(6) Complete performance of work not terminated.

(7) Take any action that may be necessary, or that the CAP may direct, for the protection and preservation of the property related to this contract that is in the possession of the Contractor and in which the CAP has or may acquire [illegible]

(8) Use its best efforts to sell, as directed or authorized by the CAP, any property of the types referred to in subparagraphs above; provided, however, that the Contractor (1) is not required to extend credit to any purchaser and (2) may acquire the property under the conditions prescribed by, and at prices approved by the CAP. The proceeds of any transfer or disposition will be applied to reduce any payments to be made by the CAP under this contract, credited to the price or cost of the work, or paid in any other manner directed by the CAP.

d. After termination, the Contractor shall submit a final termination settlement proposal to the CAP in the form and with the certification prescribed by the CAP. The Contractor shall submit the proposal promptly, but no later than thirty (30) days from the effective date of termination. If the Contractor fails to submit the proposal within the time allowed, the CAP may determine, on the basis of information available, the amount, if any, due the Contractor because of the termination and shall pay the amount determined.

e. Subject to subparagraph (2) above, the Contractor and the CAP may agree upon the whole or any part of the amount to be paid because of the termination. The amount may include a reasonable allowance for profit on work done. However, the agreed amount, may not exceed the total contract price as reduced by:

(1) the amount of payments previously made and;

(2) the contract price of work not terminated. The contract shall be amended with a Change Order, and the Contractor paid the agreed amount.

f. If the Contractor and CAP fail to agree on the whole amount to be paid the Contractor because of the termination of work, the CAP shall pay the Contractor the amounts determined as follows:

(1) For contract work performed before the effective date of termination, the total (without duplication of any terms) of:

(i) The cost of this work;

(ii) The cost of settling and paying termination settlement proposals under terminated subcontracts that are properly chargeable to the terminated portion of the contract if not included in subdivision (i) above; and

(iii) A sum, as profit on (i) above, determined by the CAP to be fair and reasonable; however, if it appears that the Contractor would have sustained a loss on the entire contract had it been completed, the CAP shall allow no profit under this subdivision (iii).

(2) The reasonable costs of settlement of the work terminated including:

(i) Accounting, clerical, and other expenses reasonably necessary for the preparation of termination settlement proposals and supporting data; and

(ii) Storage, transportation, and other costs incurred, reasonably necessary for the preservation, protection, or disposition of the termination inventory.

g. Except for normal spoilage, the CAP shall exclude from the amounts payable to the Contractor the fair value, as determined by the CAP, of defective work, and of property that is destroyed, lost, stolen, or damaged so as to become undeliverable.

h. The Contractor shall have the right to make a claim under the DISPUTES article, from any determination made by the CAP.

i. In arriving at the amount due the Contractor, there shall be deducted:

(1) All unliquidated advance or other payments to the Contractor under the terminated portion of this Contract;

(2) Any claim which the CAP has against the Contractor under this Contract; and

(3) The agreed price for, or the proceeds of sale of, materials, supplies, or other things acquired by the Contractor or sold under the provisions of this clause and not recovered by or credited to the CAP.

j. If the termination is partial, the Contractor may file a proposal with the CAP for a Change Order of the price(s) of the continued portion of the Contract. The CAP shall process any Change Order agreed upon. Any proposal by the Contractor for an equitable adjustment under this clause shall be requested within thirty (30) days from the effective date of termination unless extended in writing by the CAP.

k. The CAP may, under the terms and conditions it prescribes, make partial payments and payments against costs incurred by the Contractor for the terminated portion of the Contract, if the CAP believes the total of these payments will not exceed the amount to which the Contractor will be entitled. If the total payments exceed the amount finally determined to be due, the Contractor shall repay the excess to the CAP upon demand, together with interest.

l. Unless otherwise provided in this Contract or by statute, the Contractor will maintain all records and documents relating to the terminated portion of this Contract for 4 years after final settlement. This includes all books and other evidence bearing on the Contractor's costs and expenses under this Contract. The Contractor shall make these records and documents available to the CAP, State and/or the U.S. Government or their representatives' at all reasonable times, without any direct charge.

ARTICLE 22 DISPUTES/CLAIMS

22.1 CLAIMS RESOLUTION

In accordance with Public Contract Code Sections 20104 - 20104.6 and other applicable law, public works claims of $375,000 or less which arise between the Contractor and the CAP shall be resolved under the following the statutory procedure unless the CAP has elected to resolve the dispute pursuant to Public Contract Code Section 10240 et seq.

a. All claims shall be submitted in writing and accompanied by substantiating documentation. Claims must be filed on or before the date of final payment unless other [illegible] are provided in the contract. "Claim" means a separate demand by the [illegible] work done by or on behalf of the claimant and payment of which is not otherwise expressly provided for or the claimant is not otherwise entitled, or (3) an amount the [illegible] which is disputed by the CAP.

b Claims Under $50,000. The CAP shall respond in writing to the claim within 45 days of receipt of the claim, or, the CAP may request, in writing, within 30 days of receipt of the claim, any additional documentation supporting the claim or relating to defenses or claims the CAP may have. Of additional information is needed thereafter, it shall be provided upon mutual agreement of the CAP and the claimant. The CAP's written response shall be submitted 15 days after receiving the additional documentation, or within the same period of time taken by the claimant to produce the additional information, whichever is greater.

c. Claims over $50,000 but less than or equal to $375,000. The CAP shall respond in writing within 60 days of receipt, or, may request in writing within 30 days of receipt of the claim, any additional documents supporting the claim or relating to defenses or claims the CAP may have against the claimant. If additional information is needed thereafter, it shall be provided pursuant to mutual agreement between the CAP and the claimant. The CAP's response shall be submitted within 30 days after receipt of the further documents, or within the same period of time taken by the claimant to produce the additional information or documents, whichever is greater. The Contractor shall make these records and documents available to the CAP, State and/or the U.S. Government or their representative's at all reasonable times, without any direct charge.

d. If the claimant disputes the CAP's response, or if the CAP fails to respond within the statutory time period(s), the claimant may so notify the CAP within 15 days of the receipt

of the response or the failure to respond, and demand an informal conference to meet and confer for settlement. Upon such demand, the CAP shall schedule a meet and confer conference within 30 days.

e. If following the meet and confer conference, the claim or any portion thereof remains in dispute, the claimant may file a claim pursuant to Government Code 900 et seq. and Government Code 910 et seq. For purposes of those provisions, the time within which a claim must be filed shall be tolled from the time the claimant submits the written claim until the time the claim is denied, including any time utilized for the meet and confer conference.

f. If a civil action is filed to resolve any claim, the provisions of Public Contract Code 20104.4 shall be followed, providing for nonbinding mediation and judicial arbitration.

22.2 CLAIM FORMAT/REQUIREMENTS

22.2.1 The Contractor will submit the claim justification in the following format:

a. Summary of claim merit and price plus clause under which the claim is made.

b. List of documents relating to claim
   (a) Specifications
   (b) Drawings
   (c) Clarifications (RFIS)
   (d) Schedules
   (e) Other

c. Chronology of events and correspondence

d. Analysis of claim merit

e. Analysis of claim cost

f. Analysis of Time in CPM format

g. Cover letter and certification (form included herein)

22.2.2 If any claim submitted includes a request for overhead, the CAP may request a Profit & Loss statement and supporting documentation from Contractor. If requested, such documentation must be submitted for the CAP to consider the claim.

22.2.3 Submission of a claim, properly certified, with all required supporting documentation, and written rejection or denial of all or part of the claim by CAP, is a condition precedent to any action, proceeding, litigation, suit, general conditions claim, or demand for arbitration by Contractor.

22.3 NOTICE OF THIRD PARTY CLAIMS

The CAP shall provide notification to the Contractor within a reasonable time after receipt of any third-party claim relating to the Construction Contract.

Signature: Melanie Moore
Melanie Moore (Aug 14, 2024 09:23 PDT)
Email: melkmoo@gmail.com

Signature:
Nicole Milner (Aug 14, 2024 09:46 PDT)
Email: nmilner@amerecos.com

EXHIBIT "D"

STANDARD AGREEMENTS

22P-7020, 22C-6021

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BIL DOE WAP
Standard Agreement – Production

PREAMBLE

This subvention contract, for the implementation of the U.S. Department of Energy (DOE) Bipartisan Infrastructure Law (BIL) Weatherization Assistance Program (WAP) for program years 2023 to 2027 ("Agreement"), is entered into between the Department of Community Services and Development ("CSD" or "Department") and the contractor named on Form STD. 213, the face sheet of this document ("Contractor") (collectively, the "Parties"), and shall be enforceable on the date last signed.

RECITALS

WHEREAS:

On November 15, 2021, President Biden signed into law the Infrastructure Investment and Jobs Act (Public Law (Pub. L.) 117-58), also referred to as the Bipartisan Infrastructure Law (BIL). Among other provisions, the BIL increases DOE funding for local weatherization efforts.

Title V, the BIL, Funding for Energy Efficiency and Building Infrastructure, provides $3.5 billion in supplemental funding for WAP, an existing federal program.

Title IV, the Energy Conservation and Production Act, as amended, authorizes the DOE to administer WAP (42 USC § 6861 et seq.).

The BIL amends the current DOE WAP statute for the supplemental grant program (BIL WAP) by applying wage requirements of section 41101 to work performed on multifamily buildings with 5 or more units. The BIL also contains "flow-down requirements" which apply to BIL WAP, including the Davis-Bacon prevailing wage, Build America, Buy America (BABA), and National Historic Preservation Act, and National Environmental Policy Act (NEPA) requirements; and

Based on the urgency of the economic conditions, and grant expenditure timeframes, the DOE expects CSD to develop and implement a production plan over the first 18 months to prepare for meeting BIL WAP goals and expectations. Considering this urgency, some of the requirements and elements of the subject program have not been fully elaborated by the Federal Government and, consequently, the needed enabling measures and actions by the State of California are in preliminary form.

Now, therefore, in consideration of the facts stated above, and the mutual covenants, terms, conditions, and restrictions contained herein, and pursuant to the laws of the State of California, the Parties agree as follows:

A. That the Parties shall be guided by and subject to the provisions of BIL, BIL-related legislation, and all Federal and State laws, regulations, directives, guidance, and circulars

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BIL DOE WAP
Standard Agreement – Production

issued for the purpose of implementing the BIL DOE WAP (hereinafter "BIL WAP"), including but not limited to forthcoming DOE Weatherization Program Notices (WPNs) and Memoranda.

B. Because some requirements of the BIL WAP lack specificity, particularly with regard to, but not limited to, reporting requirements, funding allocations, timeframes and the like, CSD shall provide Contractor with specific BIL WAP requirements as they are issued or are otherwise made available to CSD by the Federal Government, which requirements shall be binding on the Contractor as a condition of the Contractor's participation in, and receipt of funds under the BIL WAP, PROVIDED:

1. That such additional requirements shall be issued by CSD in writing in the form of BIL WAP program guidance, bulletins and/or directives.
2. That such additional requirements shall be issued by CSD in most timely and expeditious manner practicable.
3. That such additional requirements shall be reasonably necessary for the Parties' administration of BIL WAP and to realize the purposes of the BIL.
4. That major and material changes in the BIL WAP and/or BIL WAP requirements which substantially affect the Contractor's and/or CSD's ability to fulfill their contractual obligations or otherwise serve to create a substantial hardship on either the Contractor or CSD shall be subject to an amendment to this Agreement.
5. That the Parties' failure to execute a mutually acceptable amendment, as contemplated in subparagraph B., 4) above, within a reasonable period, given the exigencies of the BIL WAP, shall result in this Agreement being without force and effect subject only to such provisions contained herein as are intended to survive the Agreement in accordance with the express and implied provisions of applicable Federal and State law; and
6. That upon CSD's good faith determination, delivered to the Contractor by written notice, that agreement between the Parties to any necessary amendment as contemplated in subparagraph B., 4) above, cannot be achieved, then this Agreement shall be "closed out" and the funds disposed in accordance with established CSD procedure and policy and as required under Federal and State law.

C. That the Contractor shall, in accordance with such governing laws, charter, articles, bylaws, ordinances, rules and procedures as are applicable to the Contractor, issue resolutions for the approval of this Agreement which may address the unique nature of BIL WAP and which may create provisional or conditional authorizations or approvals that are subject to further elaboration and/or determination as contemplated in subsection B. above, to include, but not be limited to grant amounts, and such other provisions which may, during the term of this Agreement, be altered or adjusted as a result of actions by the Federal and State Governments in accordance with the BIL WAP. Should the Contractor be obligated under its own procedure to amend or reissue such resolutions as are contemplated herein, it shall provide a copy of such resolution to CSD as soon as practicable.

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BIL DOE WAP
Standard Agreement – Production

ARTICLE 1 - SCOPE OF WORK

1.1. General

1.1.1. The Department of Energy (DOE) Weatherization Assistance Program (WAP) has received an additional allocation under the provisions of the Infrastructure Investment and Jobs Act, referred to as the Bipartisan Infrastructure Law ("BIL"), and is subject to the guidance, directives and applicable laws and regulations of the Federal Government and the State of California. Contractor agrees to provide weatherization assistance services pursuant to the BIL WAP to eligible participants residing in the service area described in Section 1.2, in accordance with all applicable federal and state statutes and regulations.

1.1.2. The BIL WAP Catalog of Federal Domestic Assistance number is 81.042. The award is fully funded through the United States Department of Energy.

1.1.3. Title IV, Energy Conservation and Production Act (ECPA), as amended, authorizes the DOE to administer the WAP (42 USC § 6861 et seq.). All awards made under this Program shall comply with applicable laws and regulations including, but not limited to, the Code of Federal Regulations (CFR) at 10 CFR Part 440, DOE Financial Assistance Rules at 2 CFR Part 200, and the BIL.

1.2. Service Area

1.2.1. Contractor shall perform services in the Service Territory as listed on CSD's Local Agencies Portal (LAP) at the following: https://agencies.csd.ca.gov/home/Energy/Pages/Contracts.aspx.

1.2.2. Contractors that provide services in Los Angeles and San Diego counties shall refer to the ZIP Codes Listing on the LAP to determine the zip codes for their respective service area.

1.2.3. Service Delivery Outside Traditional DOE WAP Service Area.

Contractor, through an agreement or understanding with another LIHEAP or DOE WAP service provider, may opt to provide BIL WAP services on behalf of the other service provider to one or more counties outside of Contractor's assigned Service Territory (referred to as "agreed-upon service area"). BIL WAP activities performed by the Contractor in the agreed-upon service area(s) are subject to the performance, expenditure, and administrative requirements as specified in this agreement. Contractor's Production Plan must accurately describe the estimated

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BIL DOE WAP
Standard Agreement – Production

number of units Contractor intends to serve, by county, including the estimated number of units in each agreed-upon service area, by county, if any.

1.3. Term and Amount

1.3.1. Term. The term shall be as specified on the face sheet (Form STD 213) of this Agreement and is divided into two periods:

1.3.1.1. **Ramp-Up Period.** During the Ramp-Up Period from June 1, 2023 – October 31, 2023, Contractor shall conduct activities consistent with its approved Ramp-Up Plan, as specified in Section 1.3.1.1.1 of this Agreement, to prepare for the provision of weatherization services during the Production Period. Contractor is eligible to receive up to 15% of its total allocation during the Ramp-Up Period.

1.3.1.1.1. As further described in Section 5, Article 4, the scope of work for the Ramp-Up Period includes Client Education/Counseling Services, Training and Technical Assistance, and procurement of vehicles, field equipment and subcontractor services, consistent with Contractor's approved Ramp-Up Plan. **Intake and Direct Program Activities (e.g., weatherization services) are not allowed and shall not be reimbursed under during the Ramp-Up Period.**

1.3.1.1.2. Upon CSD's determination that Contractor met the minimum requirements set forth in its Ramp-Up Plan, Contractor will be eligible to proceed to the Production Period – Phase 1. Ramp-Up Plan activities may continue after October 31, 2023, based on operational need, and as determined by CSD and Contractor.

1.3.1.2. **Production Period.** Contractor may begin providing weatherization activities during the Production Period. Allowable activities include Administrative, Training and Technical Assistance, and Program Operations as referenced in Article 5. During the Production Period, Contractor may begin intake and direct program activities for single family and multifamily buildings of 4 units or fewer.

1.3.1.2.1. CSD will amend this Agreement to establish the requirements for the Production Period to allow for intake and direct program activities for multifamily buildings with five or more units, consistent with DOE guidance once received. **Contractor may not begin, and will not be reimbursed for, any services or activities for multifamily**

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units with five or more units completed prior to the issuance of a CPN or execution of a contract amendment.

1.3.1.2.2. Contractor will be eligible to receive additional allocation shares of BIL WAP grant funds during certain Phases of the Production Period once CSD determines Contractor has met the minimum requirements/benchmarks corresponding to that Period and Phase, and upon CSD receipt of DOE funding corresponding with that Phase, as described below.

1.3.1.2.3. Phase 1 Benchmarks (November 1, 2023 – April 30, 2025): Contractor is eligible to receive up to 35% of its allocation (in addition to the 15% during the Ramp-Up Period, for a total of 50% of its allocation). The issuance of this allocation shares of BIL WAP grant funds is conditioned on the Contractor's completion and CSD's approval of its BIL WAP Production Plan. Contractor must complete 30% of its total estimated units and expend at least 30% of its total allocation by the end of Phase 1.

1.3.1.2.4. Phase 2 Benchmarks (May 1, 2025 – January 31, 2026): Contractor must complete 40% of its total estimated units and expend at least 40% of its total allocation. The issuance of the remaining allocation shares of BIL WAP grant funds to the Contractor is conditioned on the achievement of Phase 2 benchmarks and receipt of grant funds from DOE. With the issuance of the remaining allocation share of BIL WAP grant funds, the Contractor may enter Production Period - Phase 3.

1.3.1.2.5. Phase 3 Benchmarks (February 1, 2026 – June 30, 2027): Contractor shall complete 70% of its total estimated units and expend 70% of its total allocation by the conclusion of the Production Period - Phase 3.

1.3.2 Agreement Amount. The maximum amount Contractor is eligible to receive is represented on Form STD 213. The maximum amount will be disbursed in three separate allocations during the Ramp-Up Period, Production Period – Phase 1, and Production Period – Phase 3.

1.3.2.1. Eligibility to Receive Subsequent Allocations. CSD will determine Contractor's eligibility to receive subsequent allocations based upon compliance with the approved Ramp-Up Plan, Production Plan, Contractor meeting minimum benchmarks, and BIL WAP Performance requirements.

gn Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

1.3.2.2. Failure to complete required activities, comply with findings and directives issued by CSD and/or DOE, may result in CSD issuing findings and directives, delay of Contractor's subsequent allocation, contract suspension or termination, and a demand for repayment. CSD reserves the right to amend contracts and adjust allocations for nonperforming contractors.

1.3.2.3. The Ramp-Up allocation allows contractors to prepare for the provision of services during the Production Period. If the Agreement is terminated prior to the initiation of Production Period – Phase 1 or if Contractor fails to complete any units during Production Period – Phase 1, Contractor may be required to reimburse CSD for up to the full amount received under this Agreement, including reimbursement for incurred administrative and program costs paid to the Contractor from the Ramp-Up and/or Production Period – Phase 1 allocation.

1.4 Program Authorities: Requirements, Standards, and Guidance

1.4.1. Contractor shall comply with applicable federal, state, and local law[s] regulations, as those laws and regulations may be amended from time to time, including but not limited to the Bipartisan Infrastructure Law (Pub. L. 117-58), the Energy Conservation and Production Act (42 USC § 6861 et seq.); 10 CFR Part 440; the Energy Policy Act of 2005; the Energy Independence and Security Act of 2007, and other procedures applicable as DOE may, from time-to-time, prescribe for the administration of financial assistance. Contractor shall comply with additional guidance issued by the DOE and U.S. Department of Labor (DOL) applicable to WAP and BIL WAP.

1.4.2. Conflicts of Laws.

Contractor shall comply with all applicable requirements, standards, and guidelines as they may be amended from time to time, regarding procurement, administrative, and other costs claimed under this Agreement, including those costs incurred pursuant to subcontracts executed by Contractor, notwithstanding any language contained in the following authorities that might otherwise exempt Contractor from their applicability. To the extent that the requirements, standards, or guidelines in this Agreement directly conflict with any State law or regulation, or any provision of this Agreement, then federal law or regulation or provision shall take precedence, and then state law; unless, under specified circumstances, a provision of federal law applicable to grants allows for the application of state law.

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BIL DOE WAP
Standard Agreement – Production

1.4.3. Contractor shall comply with CSD-issued program guidance as a condition of participation and receipt of funds under BIL WAP, provided:

1.4.3.1. The federal and state laws, regulations, and other authorities referenced in this section are hereby incorporated by reference into this Agreement. Copies may be accessed for reference at the CSD LAP.

1.4.3.2. That such guidance shall be issued by CSD in writing in the form of "CSD Program Notice (CPN) No. XX-XX" posted at the CSD LAP.

1.4.3.3. That such guidance shall be issued by CSD in writing in the form of "CSD Program Advisory (CPA) No. XX-XX" posted at the CSD LAP.

1.4.3.4. That such guidance shall be issued by CSD in the most timely and expeditious manner practicable.

1.4.3.5. That such guidance shall be reasonably necessary to realize the purposes of BIL WAP.

1.4.3.6. That major and material changes in the program and requirements which substantially affect the Contractor's and CSD's ability to fulfill their obligations or otherwise serve to create a substantial hardship on either the Contractor or CSD shall be subject to an amendment to this Agreement.

1.4.3.7. Contractor shall notify CSD within 10 business days of issuance of a CPN or CPA, if Contractor is unable to fulfill its obligations under the new guidance.

1.4.3.8. That the Parties' failure to execute a mutually acceptable amendment or CPN, as contemplated in subparagraph 1.4.3.6, in a reasonable period, shall result in this Agreement being without force and effect subject only to such provisions contained herein as are intended to survive the Agreement in accordance with the express and implied provisions of applicable federal and state law; and

1.4.3.9. That upon CSD's good faith determination, delivered to the Contractor by written notice that an agreement between the parties to any necessary amendment or CPN or CPA as contemplated in subparagraph 1.4.3.2 and 1.4.3.3 cannot be achieved, then this Agreement shall be "closed-out", and the funds disposed in accordance with established CSD procedure and policy and as required under federal and state law.

1.4.4. DOE guidance relevant to the BIL WAP are hereby incorporated by reference into this Agreement. A listing of such guidance may be accessed at the CSD LAP.

Sign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

1.4.5. Contractor shall use a Unique Entity Identifier (UEI) obtained from SAM.gov.

1.5. Special Contract Contingency – Quality Control Inspector Certification

1.5.1 The Contractor must provide CSD with documentation deemed acceptable to CSD to confirm that Contractor has employed or contracted with a Certified QCI that satisfies the certification requirements of Section 9.3.

1.5.2 If at any time during the term of this Agreement, Contractor is unable to meet the requirements of Section 5.5.4.1.1. because Contractor loses access to a Certified QCI, Contractor shall immediately notify CSD of the loss and suspend all weatherization service delivery activities until such time as Contractor has employed or contracted with another Certified QCI who satisfies the certification requirements of Section 9.3.

1.5.3 If CSD determines that Contractor is unable to fully expend Contractor's allocation and provide services as required herein due to lack of access to a Certified QCI, CSD may, at its sole option, suspend or terminate this Agreement, after giving Contractor written notice.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

ARTICLE 2 – CONTRACT ADMINISTRATION AND PROCEDURE

2.3. State Contracting Requirements – "General Terms and Conditions (GTC 04/2017)"

In accordance with State law and contracting requirements, specified contracting terms and conditions are made a part of this Agreement. The provisions are available in Article 12 of this Agreement and are fully binding on the parties.

2.2. Contractor's Option of Termination

2.2.1. Notwithstanding other provisions in the Agreement, Contractor may, at Contractor's sole option, elect to terminate this Agreement during any Production Period Phase rather than adhere to the procedures set out in Article 1.4.3, should Contractor determine that any subsequent program guidance or proposed amendment to the Agreement is unjustifiably onerous or otherwise counter to Contractor's legitimate business interests and ability to implement the Agreement in an effective and reasonable manner, provided:

2.2.1.1. The notice of termination is in writing, delivered by U.S. Certified Mail, Return Receipt Requested.

2.2.1.2. The notice of termination shall be effective 30 calendar days after receipt by CSD.

2.2.1.3. The notice of termination contains a statement of the reasons for termination with reference to the specific provision(s) in the program guidance or proposed amendment in question; and

2.2.1.4. If Contractor purchased major vehicles or field equipment with its Ramp-Up allocation and intends to terminate the Agreement prior to completing any units and/or maintains a ACPU in excess of the $8,009 Contractor ACPU limit, the Contractor must notify CSD in writing of its disposition plans for acquired vehicles and field equipment prior to or contemporaneous with its notice of termination. Contractor agrees to adhere to any CSD-issued CPNs or CPAs establishing an internal disposition policy for BIL WAP major vehicle and equipment purchases. Contractor is informed that DOE may require reimbursement of the full cost of the vehicle, even if Contractor suffered a loss in the disposition (e.g., due to depreciation), or reimbursement with the full sale price if Contractor earned a profit off the sale.

2.2.2. Contractor shall be entitled to reimbursement for all allowable costs incurred prior to termination of the Agreement, with exception to Article 1.3.2.3 for termination during the Production Period. Such reimbursement shall be in accordance with the

gn Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

program guidance and Agreement provisions in effect at the time the cost was incurred. Contractor is responsible for adhering to the Contractor Average Cost Per Unit (Contractor ACPU) and related provisions. If Contractor exercises its Option of Termination, Contractor is responsible for disposing or transferring equipment and other capital expenditures to a qualifying program pursuant to federal regulations, including 2 CFR § 200.313 and § 200.439, and any applicable CSD-issued disposition policies.

2.2.3. Contractor shall, within 60 calendar days of termination, close-out the contract in accordance with contractual close-out procedures.

2.2.4. CSD may at its option procure a temporary replacement provider, and may at its option, designate a permanent replacement provider for Contractor's service area in accordance with federal and state law.

2.3. Budget Contingencies

2.3.1 Federal Budget Contingency

2.3.1.1. Because of uncertainty in the federal budget process, this Agreement may be executed before the availability and amounts of federal funding can be ascertained, to minimize delays in the provision of services and the distribution of funds. The obligations of the parties under this Agreement are expressly contingent on adequate funding being made available to the State by the United States Government.

2.3.1.2. If federal funding for the BIL WAP is reduced to such degree that CSD reasonably determines that the program cannot be implemented effectively, CSD shall at its sole discretion have the option either to terminate this Agreement upon written notice to Contractor or, in the alternative, to offer an amendment addressing the reduced funding. If the parties fail to reach an agreement on such amendment, CSD may, at its option, give written notice of termination without further obligation by either party except for contract close-out obligations or final settlement.

2.3.1.3. If federal funding authorities condition funding on any obligations, restrictions, limitations, or conditions not in existence when this Agreement was executed, this Agreement shall be amended by mutual agreement for compliance with such obligations, restrictions, limitations, or conditions. Failure of the parties to reach an agreement on such amendment shall render this Agreement without force and effect.

2.3.1.4. Subject to the provisions of subparagraph 2.3.2.2, CSD shall authorize expenditures of funds under this Agreement based on any Continuing

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

Resolution appropriations that are adequate for the purpose. CSD shall notify the Contractor in writing of authorized interval funding levels.

2.3.2. State Budget Contingency

2.3.2.1. It is mutually agreed that if the Budget Act of the current year and/or any subsequent years covered under this Agreement does not appropriate sufficient funds for the program, this Agreement shall be of no further force and effect. In this event, the State shall have no liability to pay any funds whatsoever to Contractor or to furnish any other considerations under this Agreement and Contractor shall not be obligated to perform any provisions of this Agreement.

2.3.2.2. If funding for any fiscal year is reduced or deleted by the Budget Act for purposes of this program, the State shall have the option to either cancel this Agreement with no liability occurring to the State or offer an agreement amendment to Contractor to reflect the reduced amount.

2.4. Miscellaneous Provisions

2.4.1. Assignment. Neither this Agreement nor any of the rights, interests, or obligations under this Agreement shall be assigned by any party without the prior written consent of the other parties, except in the case where responsibility for program implementation and oversight may be transferred by the State to another State agency. In the event of such transfer, this Agreement is binding on the agency to which the program is assigned.

2.4.2. Merger/Entire Contract. This Agreement (including the attachments, documents and instruments referred to in this Agreement) constitutes the entire contract and understanding of the parties with respect to the subject matter of this Agreement and supersedes all prior understandings and contracts, whether written or oral, among the parties with respect to such subject matter.

2.4.3. Severability. If any provision of this Agreement is found to be invalid or unenforceable in any respect for any reason, the validity and enforceability of any such provision in any other respect and of the remaining provisions of this Agreement will not be in any way impaired and shall remain in full force and effect.

2.4.4. Notices. Unless otherwise provided herein, notice given by the Parties shall be in writing, delivered personally, by United States mail, or by overnight delivery service (with confirmation). Certain reporting and other communications may be delivered electronically as specified by CSD or as is customary between the parties. Notice shall be delivered as follows:

Sign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

2.4.4.1. To Contractor's address of record; and

2.4.4.2. To CSD at:
Department of Community Services and Development
Energy Field Operations
2389 Gateway Oaks Drive, Suite 100
Sacramento, CA 95833

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

ARTICLE 3 – CONTRACT CHANGES

3.1. Amendment

3.1.1. Changes to this Agreement shall be made by formal amendment with exceptions specified for minor modifications.

3.1.2. For this BIL WAP Agreement CSD anticipates amending to add additional DOE guidance, including but not limited to specific requirements for the Production Period, Davis-Bacon wage rate and other flow-down requirements.

3.1.3. Contractor shall notify CSD in writing when any proposed amendment or change will significantly impact Contractor's Program Budget and/or Operations. CSD will afford Contractor a reasonable opportunity and sufficient time in which to phase-in the mandated change.

3.2. Minor Modification

3.2.1. Contractor may request modifications to make minor adjustments during the contract term. Minor Modifications shall not affect the Maximum Amount payable under this Agreement.

3.2.2. Minor Modifications shall not affect the maximum limits set for specific line items under this Agreement, e.g., administrative costs, health and safety.

3.2.3. Modification Request: Funds and Budget. To request a minor modification to this Agreement, Contractor shall submit a Request for Amendment/Modification Energy, Form CSD 509, an updated budget if applicable, and a justification supporting the funds transfer or change request. Contractor may submit the signed request for amendment/modification to CSD via email, fax, or hard copy with signature via Mail.

Sign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

ARTICLE 4 – ADMINISTRATIVE POLICIES AND PROCEDURES

4.1. Board Roster, Bylaws, Resolution, and Minutes

4.1.1. Contractor shall submit to CSD an Agency Staff and Board Roster form (CSD 188) listing the current Agency Staff and roster of its governing board members, including contact information for each board member at a location other than the Contractor's offices, and the most recent version of the organizational bylaws. Contractor shall notify CSD of any changes to the Executive Director, Program Manager, Chief Financial Officer, and board roster within 30 calendar days of such occurrence.

4.1.2. Contractor's governing board must authorize the execution of this Agreement. Contractor has the option of demonstrating such authority by the signature of a Board member, affixed to the signature page of this Agreement, or by any lawful delegation of such authority that is consistent with Contractor's bylaws.

4.1.3. Where Contractor elects to delegate the signing authority to the chief executive officer or designated officials, CSD will accept either a resolution specific to this Agreement or a resolution passed by the governing board that applies to any contract entered by Contractor. Where Contractor provides a general resolution, Contractor shall maintain documentation that the chief executive officer provided timely and effective communication of the execution and terms of this Agreement to the Board. Contractor shall provide either a specific or current general resolution to CSD as a condition of contract execution by CSD.

4.1.4. If the Contractor's board is both tripartite and advisory to the elected members governing a local government, the Contractor shall submit to CSD the approved minutes from any meeting of the elected officials where matters relating to this Agreement are heard, including but not limited to discussions about or decisions affecting the WAP. Such minutes shall be submitted to CSD no later than 30 calendar days after the related meeting.

4.2. Internal Controls

Contractor shall ensure the establishment and maintenance of a system of internal accounting and administrative control. This responsibility includes documenting the system, communicating system requirements to employees, and assuring that the system is functioning as prescribed and is modified, as appropriate, for changes in conditions. The system of internal accounting and administrative control shall be attested to within the Contractor's independent audit conducted pursuant to this Agreement and shall include:

4.2.1. Segregation of duties appropriate to safeguard state assets.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

4.2.2. Limited access to agency assets to authorized personnel who require these assets in the performance of their assigned duties.

4.2.3. Authorization and recordkeeping procedures adequate to provide effective accounting controls over assets, liabilities, revenues, and expenditures.

4.2.4. Established practices to be followed in the performance of duties and functions.

4.2.5. Personnel of a quality commensurate with their responsibilities; and

4.2.6. Effective internal reviews.

4.3. Record Retention

4.3.1. All records maintained by Contractor shall meet the Record Retention and Access requirements under the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards ("Uniform Guidance") (2 CFR §§ 200.334-200.338).

4.3.2. Contractor shall maintain all records pertaining to this Agreement for a minimum period of three years after submission of the final report or until resolution of all related audit or monitoring findings, enforcement actions, including cost disallowance, legal proceedings, or other pending matters, whichever is later. Should the federal government establish additional regulations applicable to the retention of documents associated with BIL WAP, during the contract term which are more restrictive or strict than required under this contract, Contractor shall adhere to the additional requirements.

4.3.3. Contractor shall retain and secure all employee and client/applicant records and information in compliance with the Federal Privacy Act of 1974 (5 USC § 552a), as amended, and Information Practices Act of 1977 (Civ. Code §§ 1798 et seq.), as amended.

4.3.4. To the extent Contractor maintains records in an electronic format, Contractor shall ensure that all records are "backed-up" or copied, utilizing appropriate, secure technology and operational procedures to avoid unauthorized access, permanent loss, or destruction, occasioned by theft, accident, willful acts or negligence, or by fire, flood, earthquake or other natural disaster.

4.4. Insurance and Fidelity Bond

4.4.1. General Requirements

ign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

4.4.1.1. Contractor shall maintain the effective insurance policies and bonds, specified below, always during the term of this Agreement.

4.4.1.2. Contractor shall provide CSD with written notice at least 30 calendar days prior to cancellation or reduction of insurance coverage to an amount less than that required in this Agreement and, prior to any lapse or reduction in coverage, provide CSD with documentation, as specified in subparagraph 4.4.1.3, showing substitute coverage has been obtained or alternative measures have been taken to ensure compliance with the requirements of this Agreement.

4.4.1.3. In the event insurance coverage expires during the term of this Agreement, Contractor shall provide, within 30 calendar days of the expiration date, a new Certificate of Insurance (ACORD 25) for not less than the remainder of the term of this Agreement. The new Certificate of Insurance (ACORD 25) shall evidence no lapse in coverage. The Certificate of Insurance (ACORD 25) shall identify and name the State as the Certificate Holder.

4.4.1.4. Certificate of Insurance are subject to review for content and form by CSD. Certificates of insurance must be submitted electronically via email to: BNCS@csd.ca.gov.

4.4.1.5. In the event Contractor fails to always keep in effect the specified insurance and bond coverage as herein provided, CSD may, in addition to any other remedies it may have, suspend this Agreement.

4.4.1.6. Except for workers' compensation and fidelity bond, Contractor shall ensure the State is named as additional insured on all certificates of insurance required under this Agreement.

4.4.1.7. CSD may suspend the issuance of other CSD contracts, as well as reimbursement payments, until Contractor provides evidence of the required current insurance coverage to CSD.

4.4.1.8. Should Contractor utilize a subcontractor(s) to provide services under this Agreement, Contractor shall indemnify and hold the State harmless against any liability incurred by that subcontractor(s).

4.4.2. Self-Insurance

4.4.2.1. When Contractor is a self-insured governmental entity, the State, upon receipt of satisfactory proof of the entity's self-insurance authority, may waive the insurance requirements. A duly authorized county or city risk

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

manager shall provide signed certification of the governmental entity's ability to cover any potential losses under this Agreement.

4.4.2.2. Governmental entities shall specify in writing a list of which coverage(s) will be self-insured under this Agreement and shall list all applicable policy numbers, expiration dates, and coverage amounts for coverage which is not self-insured.

4.4.2.3. If a governmental entity's self-insurance coverage does not contain any changes from the prior year, CSD will accept a certified letter signed by authorized personnel, stating that no changes have occurred from the previous year. Contractor shall submit this letter at the time of contract execution or within 30 calendar days thereafter.

4.4.3. Workers' Compensation Insurance

4.4.3.1. During the term of this Agreement, Contractor shall maintain legally sufficient workers' compensation insurance issued by an insurance carrier licensed to underwrite workers' compensation insurance in the State of California.

4.4.3.2. Contractor will not be paid an advance or any reimbursement of expenses unless it has first submitted to CSD either a Certificate of Insurance (ACORD 25) or a Certificate of Consent to Self-Insure, issued by the Director of the Department of Industrial Relations, as evidence of compliance with the workers' compensation insurance requirement.

4.4.4. Commercial or Government Crime Coverage (Fidelity Bond)

4.4.4.1. Contractor shall maintain commercial crime coverage. If Contractor is a public entity that elects to self-insure, Contractor shall make provision for adequate coverage to insure against crime risks. The commercial crime policy or government crime self-insurance coverage (hereinafter "fidelity bond") shall include the following coverage or the substantial equivalent: Employee Dishonesty/Theft, Forgery or Alteration, and Computer Fraud.

4.4.4.2. Contractor's fidelity bond coverage limits shall not be less than a minimum amount of 4% of the total contract amount set forth under this Agreement.

4.4.4.3. Contractor will not be paid an advance or any reimbursement of expenses unless it has first submitted to CSD an applicable Certificate of

ign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

Insurance (ACORD 25) as evidence of compliance with the fidelity bond requirement.

4.4.5. General Liability Insurance

4.4.5.1. Contractor shall maintain for the term of this Agreement general liability and property damage insurance for a combined single limit of not less than $500,000 per occurrence.

4.4.5.2. Contractor will not be paid an advance or any reimbursement of expenses unless it has first submitted to CSD an applicable Certificate of Insurance (ACORD 25), designating CSD as an additional insured as evidence of compliance with general liability insurance requirements.

4.4.6. Vehicle Insurance

4.4.6.1. Contractor shall maintain for the term of this Agreement vehicle insurance in the amount of $500,000 for each person and for each accident for bodily injury and in the amount of $500,000 for each person and each accident for property damage.

4.4.6.2. When employees use their own vehicles to perform duties within the scope of their employment, Contractor shall have and maintain for the term of this Agreement non-owned and hired-auto liability insurance in the amount of $500,000 for each person and each accident for bodily injury and $500,000 for each person and each accident for property damage. (Driving to and from work shall not be within the scope of employment.)

4.4.6.3. Contractor will not be paid an advance or any reimbursement of expenses unless it has first submitted to CSD an applicable Certificate of Insurance (ACORD 25), designating CSD as an additional insured, to CSD as evidence of compliance with the stated vehicle insurance requirements.

4.5. System Security Requirements

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

Contractor shall, in cooperation with CSD, institute measures, procedures, and protocols designed to ensure the security of data and to protect information in accordance with the Information Practices Act of 1977 (Civ. Code §§ 1798 et seq.), and such other State and Federal laws and regulations as may apply. In the event there are different system security standards that may be applied to this Article, Contractor shall endeavor to use the strictest security standard that complies with state and federal requirements. The Parties hereto agree to the following requirements, obligations, and standards in accordance with regulations set in the State Administrative Manual (SAM) and Statewide Information Management Manual (SIMM):

4.5.1. Data Protection

4.5.1.1. Data exchanged between CSD and Contractor must be limited to the data fields included on Data Transfer Rules (DTR) documents posted at https://agencies.csd.ca.gov/home/Energy/Pages/Resources.aspx. No personal financial information, e.g., credit card, bank account numbers, shall be stored or exchanged in the data exchange sessions.

4.5.1.2. Access to the above-mentioned data included in the DTR must only be given to authorized personnel to complete essential duties. Authorized personnel are to log into these systems using their own assigned credentials (i.e., no login account sharing). Upon departure of personnel with assigned credentials, the Contractor will remove the employee's access to the systems as soon as possible.

4.5.1.3. To the extent Contractor utilizes tablet or other internet-based or mobile devices for client intake and application purposes ("Electronic Intake") in lieu of paper forms and documents, Contractor shall comply with all federal and state information security requirements and with such guidance and protocols as CSD may from time to time issue for the purpose of ensuring the integrity of Electronic Intake, including, but not limited to, the use of electronic signatures, data privacy, security, transfer and retention requirements.

4.5.1.4. Data exchanged between CSD and Contractor via email communication must have all personal identifiable information (PII) and other sensitive information redacted before the document is sent. Alternately, Contractor must encrypt any attachments that have sensitive data using encryption tools and configurations as required by CSD.

4.5.2. Contractor Systems Security

ign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

4.5.2.1. The physical location of the computing and data storage devices (e.g., servers) shall be within access-controlled facilities. Individual users may not have access to the data except through their systems that are specifically credentialed for Contractor business. All access will be controlled by authentication methods to validate the approved users.

4.5.2.2. Standards for secure transmission may be accomplished through such means as certificates, secure socket layer, etc., and storage of the data with encryption.

4.5.2.3. Both CSD and Contractor shall keep security patches and anti-virus and anti-malware software up to date on all systems on which data may be used.

4.5.2.4. Contractor shall securely destruct data by sanitizing media prior to disposal.

4.5.3. Trusted Behavior Expectations. CSD's application system and users shall protect Contractor's application system/data, and the Contractor's application system and users shall protect CSD's application system/data in accordance with the Privacy Act of 1974 (5 USC § 552a), Trade Secrets Act (18 USC § 1905), and the Communications Act (18 USC §§ 2701 et seq.). Technology and systems code and functionality are owned by the respective parties and may not be shared with anyone else or used without the consent of the owner.

4.5.3.1. Incident Reporting. Any party discovering a security incident shall report it in accordance with its incident reporting procedures. Contractor shall, within 24 hours of discovery, report to CSD's Information Security Office at ISO@csd.ca.gov any security incident contemplated herein. Examples include, but are not limited to, stolen or lost equipment, malware/ransomware detection, suspected hacking, etc. Contractor further agrees CSD shall have the right to participate in the investigation of a security incident involving CSD's data, and to cooperate fully with CSD and other relevant State entities during independent investigation of the security incident.

4.5.3.2. Audit Trail Responsibilities. Both parties are responsible for auditing application processes and user activities. Activities that will be recorded include event type, date and time of event, user identification, workstation identification, success or failure of access attempts, and security actions taken by system administrators.

4.5.4. Data Sharing Responsibilities. Contractor shall ensure that all primary and delegated secondary organizations that share, exchange, or use personal, sensitive, or confidential data, pursuant to this Agreement and subcontracts issued by

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

Contractor, shall adhere to these security requirements and applicable state and federal law, in addition to further data sharing guidance as may be issued by CSD during the term of this Agreement. If data sharing is accomplished via interconnectivity of an application system, then data sharing must be certified to be secure by both parties.

4.6. Travel and Per Diem

4.6.1. Contractor's employee travel costs and per diem reimbursement rates shall be reimbursed in accordance with Contractor's written policies and procedures not to exceed federal per diem requirements and are subject to the Uniform Guidance (2 CFR § 200.475), or any amendments thereto, as applicable.

4.6.2. Contractor shall complete the Out-of-State Travel Form (CSD 536) and keep on file with back up documentation for compliance monitoring. Out-of-State travel is limited to two staff per agency per event, unless otherwise indicated on the Out-of-State-Travel Form CSD 536 and approved by CSD. Contractor must seek preapproval, prior to travel, for non-preapproved conferences, or when more than two staff are attending an event (including pre-approved conferences). For BIL WAP the following conference are pre-approved: NEAUC, Energy OutWest, NCAP, and NASCSP. Contractor may charge BIL WAP Training and Technical Assistance Costs to Out-of-State travel.

4.6.3. In the absence of a written travel reimbursement policy, Contractor shall receive reimbursement not to exceed federal per diem limits.

4.7. Conflict of Interest

4.7.1. Contractor shall maintain written standards of conduct governing the performance of its employees engaged in the award and administration of contracts or subcontracts. No employee, officer, or agent of the Contractor shall participate in the selection, award, or administration of a subcontract supported by Federal funds if a real or apparent conflict of interest would be involved. Such a conflict would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization that employs or is about to employ any of the parties indicated herein, has a financial or other interest in the firm selected for an award. The officers, employees, and agents of the Contractor shall neither solicit nor accept gratuities, favors, or anything of monetary value from subcontractors or parties to sub-contracts. The standards of conduct shall provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the recipients.

4.7.2. Contractor shall not pay Federal funds received from CSD to any entity in which it (or one of its employees, officers, or agents, any member of his or her

ign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

immediate family, his or her partner, or an organization that employs or is about to employ any of the parties indicated herein) has an interest. As ownership constitutes a financial interest, Contractor shall not subcontract with a subsidiary. Similarly, Contractor shall not subcontract with an entity that employs or is about to employ any person described in 2 CFR § 200.318.

4.7.3. Contractor shall ensure that its employees and the officers of its governing body do not engage in actual or potential conflicts of interest and that no officer or employee who has responsibility for any activity or function with respect to BIL WAP and the implementation of this Agreement shall have any personal financial interest in such activity or function or otherwise personally benefit or gain from the activity or function.

4.7.4. Contractor shall establish safeguards to prohibit its employees or its officers from using their positions for a purpose that could result in private gain or that gives the appearance of being motivated for private gain for themselves or others, particularly those with whom they have family, business, or other ties.

4.7.5. Contractor shall not provide BIL WAP services or benefits in situations where an actual or perceived conflict of interest exists unless the activity is explicitly allowed under Contractor's conflict of interest policies and procedures that are compliant with federal requirements. If Contractor provides program services to owner-occupied or rental dwellings that are owned or managed by the Contractor, its employees, or officers, Contractor shall submit the Property Certification form (CSD 678), in advance of providing weatherization services. Contractor shall ensure that other recipients or potential eligible recipients of services are not prejudiced or adversely affected by the receipt of services by Contractor.

4.7.6. Contractor must demonstrate that it will:

4.7.6.1. Follow all federal and state client eligibility and prioritization requirements, as applicable to each service or activity under BIL WAP.

4.7.6.2. Comply with all dwelling eligibility requirements of this Agreement, including but not limited to the prohibition against rent increases after service delivery and multiple dwelling restrictions.

4.7.6.3. Substantiate the need for weatherization services by completing a dwelling assessment for each individual dwelling unit served; and

4.8. Procurement Standards

Contract Administration

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

4.8.1. Maintenance of written procurement procedures. Contractor shall comply with all federal and state rules and regulations governing Annual DOE WAP grants pertaining to procurement, including the Uniform Guidance and amendments thereto, and pursuant to CPA-A-12-01. Contractor shall establish, maintain, and follow written procurement procedures consistent with the procurement standards in 2 CFR § 200.317 through § 200.327 or any subsequent amendments to these standards, and the applicable provisions in this Agreement, including but not limited to a code of conduct for the award and administration of contracts and a procedure that provides, to the maximum extent practical, open, and free competition.

4.8.2. Eligible Bidders. Contractor shall not permit any organizational conflicts of interest or noncompetitive practices that may restrict or eliminate competition or otherwise restrain trade. To ensure objective subcontractor performance and eliminate unfair competitive advantage, individuals or firms that develop or draft specifications, requirements, statements of work, invitations for bids, and/or requests for proposals shall be excluded from competing for such procurements. Contractor shall only award a subcontract to the bidder or offeror whose bid or offer is responsive to the solicitation and is most advantageous to Contractor when considering price, quality, and other factors relevant to the procurement. Contractor's solicitations shall clearly set forth all requirements that the bidder or offeror must fulfill for the bid or offer to be adequately and fairly evaluated by the recipient.

4.8.3. All supplies, materials, equipment, or services purchased or leased with funds provided pursuant to this Agreement shall be used solely for the activities allowed under this Agreement, unless the fair market value for such use is charged to the benefiting program and treated as program income earned under this Agreement.

4.8.4. Contractor shall provide for an open and free competition, to include a cost analysis, in accordance with federal and state law, for the procurement of materials, supplies, equipment, or services.

4.8.5. Non-competitive bid justification. If a service or product is of a unique nature, is in response to a public exigency or emergency, or more than one potential vendor/provider cannot reasonably be identified, Contractor shall document adequate justification for the absence of competitive bidding. "Adequate justification" must include but is not limited to:

4.8.5.1. Explanation of why the acquisition of goods or services is limited to one vendor or supplier.

4.8.5.2. Description of sole vendor/supplier's unique qualifications to provide the goods or services in question; and

gn Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

4.8.5.3. Analysis of cost(s) to demonstrate reasonability.

4.8.6. CSD Lease/Purchase Pre-Approval Requirements. To ensure that significant procurement transactions are conducted in an open and freely competitive manner, Contractor shall prepare and submit a Request for Purchase/Lease Pre-Approval (CSD 558) to CSD at least 15 calendar days prior to executing the subcontract for each of the following procurement transactions:

4.8.6.1. Any articles, supplies, equipment, or services having a per-unit cost of $5,000 or more; or

4.8.6.2. Any articles, supplies, or equipment where the total contract amount exceeds $100,000.

4.8.7. Disposition of a Leased Vehicle. If Contractor utilizes leased vehicles, then any disposition fees are the full responsibility of the Contractor. A disposition fee, or a turn-in fee, is a charge to return a leased vehicle to cover the cost of cleaning up and repurposing your old car for resale. Disposition fees are not reimbursable.

4.8.8. In all procurements, whether requiring CSD pre-approval or not, Contractor is solely responsible for maintaining adequate procurement records demonstrating compliance with Federal and State requirements.

4.8.9. Noncompliance with any of the provisions in this section may result in a disallowance of costs related to the procurement transaction.

4.9. Use of Disposition of Vehicles and Equipment

4.9.1. To ensure compliance with the requirements for vehicles and equipment, Contractor shall comply with Uniform Guidance governing the acquisition of equipment with federal funds set forth in 2 CFR § 200.313.

4.9.2. To ensure compliance with the requirements for equipment, vehicles, and the maintenance of equipment and vehicle records, Contractor shall adhere to CPN-A-17-01 or as revised. Contractor shall include information relevant to any purchase/lease pre-approval documented in the CSD 558 submitted to, and approved by, CSD, including the date the request was sent to CSD, the item(s) requested, and date of CSD approval in Contractor's property records. Pursuant to DOE Guidance (including WPN 22-1, BIL WPN 22-1, and WPN 17-6), vehicle and equipment purchases must be charged to Program Operations, and the purchase prices are included in the Contractor Average Cost Per Unit (Contractor ACPU).

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

4.9.3. Contractor shall provide the information specified in CPN-A-17-01, including any supporting documents, to CSD upon request.

4.9.4. Limitation on Use of Funds. Contractor shall assure that funds received under this Agreement shall not be used for the purchase or improvement of land or for the purchase, construction, or permanent improvement of any building or other facility other than low-income weatherization or energy-related home repairs.

4.9.5. Contractor shall repay the entire allocation used to purchase vehicles and equipment if Contractor terminates participation in BIL WAP during the Ramp-Up Period or enters the Production Period but fails to provide direct services to any qualifying clients. Contractor will not be entitled to reimbursement for depreciation or the difference if the vehicle or equipment is sold for less than the purchase price. Contractor shall comply with CSD disposition policies and procedures, and any applicable DOE guidance.

4.10. Subcontracts

4.10.1 Contractor may enter subcontract(s) to provide services pursuant to this Agreement in the Service Areas specified herein. Contractor's subcontracts must require that parties comply with all applicable provisions of this Agreement. Such requirement shall not relieve Contractor from any performance obligation created herein, nor from liability for a subcontractor's failure of performance.

4.10.2 If Contractor elects to subcontract for services, the Contractor's Board authorization and approval must be obtained and communicated to CSD in writing together with notice of execution of the subcontract as provided in Section 4.10.3. Contractor's Board, through a resolution or other official documentation, may elect to delegate the signing authority for the approval of subcontractors to the Chief Executive Officer or designated authority unless such delegation is set forth in the bylaws of the agency and a copy of the provision is communicated to CSD.

4.10.3 Within 60 calendar days of the execution of any subcontract, Contractor shall provide written notification to CSD of the execution of the subcontract as well as identifying information, to include the name of the subcontractor entity, its address, telephone number, contact person, contract amount, contract term, and program description of each subcontractor activity to be performed by the subcontractor.

4.10.4 Notification of subcontract execution shall contain certification by Contractor that to the best of Contractor's knowledge, the subcontractor is not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any federal department or agency. For purposes of

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this certification of subcontractor eligibility, Contractor may rely on information available at https://www.sam.gov/.

4.10.5 If CSD determines that Contractor has executed a subcontract with an individual or entity listed as disbarred, suspended or otherwise ineligible on the Excluded Parties List System as of the effective date of the subcontract, costs Contractor has incurred under the subcontract may be disallowed.

4.10.6 Contractor must ensure that funds expended pursuant to this Agreement are allowable and allocable and Contractor must adopt fiscal control and accounting procedures sufficient to enable the tracing of funds paid to any subcontractor to a level of expenditure adequate to establish that such funds have not been used in violation of this Agreement. Contractor shall ensure that any subcontracts under this Agreement contain all provisions necessary to ensure adequate substantiation and controls of the expenditure of such funds. Contractor may achieve this through detailed invoices, by periodic monitoring of subcontractor's program activities and fiscal accountability, by retaining a right of reasonable access to the subcontractor's books and records, or by any other method sufficient to meet [illegible] as required by the Uniform Guidance (2 CFR § 200, Subpart E – Cost Principles).

4.10.7 Contractor shall notify subcontractor(s) in writing within five business days of such action in the event the State suspends, terminates, and/or makes changes to services to be performed that materially alter the obligation of the subcontractor under this Agreement.

4.10.8 Contractor is liable for the failure of performance of the terms, conditions, assurances, and certifications of this Agreement, without recourse against the State over matters involving subcontracts entered into for the implementation of this Agreement, including but not limited to disputes, claims, or other legal action for breach of contract, negligence, torts or criminal acts and other misconduct.

4.10.9 Nothing in this Agreement creates or implies a contractual relationship between the State and any subcontractor or creates any obligation by the State to any subcontractor. Contractor is liable to the State for damages to the State for the acts and omissions of its subcontractors that occur in connection with the implementation of this Agreement. Contractor's obligation to pay its subcontractors is independent of any obligation of the State to pay Contractor, and Contractor shall not represent to subcontractors any such obligation of the State to pay or ensure payments to subcontractors.

4.10.10 Contractor's failure to obtain necessary or sufficient subcontractors may reflect an inability to comply with its approved BIL WAP Ramp-Up Plan, Production Plan, the requirements of the BIL WAP Agreement, and constitute

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nonperformance. CSD may issue a finding and directive, and Contractor's failure to comply may result in the delay or denial of additional allocations for the Production Period.

4.10.11 Contractor shall ensure that subcontractors providing labor or mechanic services employed in the performance of construction, alteration, or repair work on any projects assisted in whole or in part by Federal Government pursuant to the BIL for multi-family buildings with five or more units shall be paid wages at rates not less than those prevailing on similar projects in the locality as determined by the Secretary of Labor in accordance with the Davis-Bacon Act.

4.10.12 Contractor shall ensure that for grants, cooperative agreements, and loans under the BIL, the standard Davis-Bacon contract clauses found in 29 CFR 5.5(a) are incorporated in any resultant covered contracts more than $2,000 for construction, alteration or repair (including painting and decorating).

4.11 Complaint Management Policies and Procedures

4.11.1 Contractor shall establish and maintain policies and procedures for handling complaints and provide applicants an opportunity to register a complaint based on their experience with attempts to obtain services under BIL WAP. The policies and procedures shall be in writing and Contractor shall provide the complaint process to interested individuals upon request.

4.11.2 Contractor shall ensure that all formal complaints are documented and include the date, time, client name and address, and nature of the complaint and the actions undertaken by the Contractor to resolve the issue. For purposes of this section, "formal complaint" means a written complaint filed with the Contractor by the complainant.

4.11.3 If the Contractor's efforts did not result in a resolution, the Contractor may refer the complainant to CSD. The Contractor shall contact CSD and explain the issue, actions taken to resolve the issue, and provide CSD with all supporting documentation that indicates the nature and extent of Contractor's effort to resolve the issue.

4.11.4 The CSD Field Representative shall immediately be notified if the Contractor has reason to believe that the complainant will contact the media, a State or Federal oversight agency or the Governor's Office regarding the complaint.

4.12 Fair Hearing Process for Applications for Denial of Benefits by Contractor

ign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

4.12.1 Contractor shall establish a written appeal process to enable applicants who are denied benefits or services, or who receive untimely response or unsatisfactory performance, the right to appeal the decision or performance to the Contractor. Contractor's process shall include, at a minimum, all the requirements of 22 CCR § 100805(b), plus:

4.12.1.1 Provisions that ensure that each applicant is notified in writing of the right to appeal a denial of or untimely response to an application, or to appeal unsatisfactory performance. At the time the applicant applies for services, applicant shall be informed of appeal rights and appeal procedures, to include the right to appeal to both the Contractor and to CSD.

4.12.1.2 Provisions that ensure that Contractor will make a good faith effort to resolve each appeal.

4.12.1.3 Provisions that ensure that Contractor shall notify the applicant in writing of the Contractor's final decision within 15 business days after the appeal is requested. If the appeal is denied, the written notification shall include instructions on how to appeal the decision to CSD. Whenever Contractor notifies an applicant of a denial of an appeal, Contractor shall at the same time provide a copy of the final decision to the Manager of CSD's Energy Services Division.

4.12.1.4 Provisions to track information on denials and appeals.

4.12.2 Upon receipt of an applicant's appeal of a Contractor's denial of benefits or services, CSD may conduct a hearing in accordance with established procedures. CSD's decision following the appeal and hearing shall be final.

4.13 Fraud, Waste, and Abuse

4.13.1 Contractor shall submit written reports to CSD within 30 calendar days of discovery of incidents and activities, or suspected incidents and activities, involving fraud, waste, and abuse of BIL WAP funds by Contractor's employees, subcontractors, clients, or other parties affiliated with Contractor. Incidents and activities subject to reporting under this section include, but are not limited to, criminal acts and other violations of law constituting a misuse of funds that could result in cost disallowance. Contractor shall inform CSD within 30 calendar days of any reports or complaints submitted to law enforcement officials by Contractor, Contractor's employees, subcontractors, clients, or other affiliated parties, concerning the misuse of BIL WAP funds.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

4.13.2 Contractor shall provide employees, subcontractors, clients, and other affiliated parties the information necessary to report fraud, waste, and abuse to the Department of Energy's Office of Inspector General fraud hotline.

gn Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

ARTICLE 5 – ADMINISTRATIVE AND PROGRAM EXPENDITURES

5.1 Budget Guidelines

5.1.1 Budget and Allocation Forms

5.1.1.1 Upon execution of this Agreement, Contractor shall submit all budget and allocation forms, including the 2022 BIL WAP Weatherization Budget (CSD 570b) based on the Maximum Amount of this Agreement and in accordance with the accompanying instructions and other applicable provisions of this Agreement.

5.1.1.2 Contractor shall complete the budget and allocation forms using the Budget Allocation amount as indicated on BIL WAP Allocation Spreadsheet.

5.1.1.3 For purposes of allocating indirect costs, contractors may use current negotiated indirect cost rates that have been approved by a cognizant federal agency. Contractor shall submit a copy of the letter of approval from the cognizant agency which includes date of approval and amount of rate. In the absence of a negotiated indirect cost rate, Contractor may elect to use a 10 percent de minimis indirect cost rate as permitted under 2 CFR § 200.414(f).

5.1.1.4 Contractor shall submit the BIL WAP Production Plan based on an assessment of current operational capacity, estimated units that Contractor is expected to weatherize, and needs for expansion to ensure compliance with the BIL, and in accordance with the accompanying instructions and other applicable provisions of this Agreement.

5.2 Working Capital Advance and Major Purchase Advances

5.2.1 Working Capital Advances

5.2.1.1 Contractor may receive an advance of up to 25% of its Ramp-Up Period allocation for approved activities during the Ramp-Up Period in lieu of the standard WCA for BIL WAP administration.

5.2.1.2 Contractor may receive an advance of up to 25% of its Production Period Phase 1 and 2 allocations for approved activities during the Production Period in lieu of the standard WCA for BIL WAP administration.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

5.2.2 Contractor shall deposit all advances in an interest-bearing account. Interest earned amounts up to $500 per year may be retained by Contractor for administrative expense. The account shall be sufficiently segregated to enable the tracking and accounting of advanced funds by CSD. Any additional interest earned on Federal advance payments deposited in interest-bearing accounts must be remitted annually to the federal government pursuant to 2 CFR § 200.305(b)(9); and

5.2.3 Non-advance Payments and Offsets. If Contractor elects not to receive an advance for Ramp-Up or Production Phase Activities, payment for allowable expenses under this Agreement shall be made upon approval by CSD of Contractor's monthly Expenditure Activity Report. If Contractor owes CSD any outstanding balances for overpayments under any contract, current or previous, the balance may be offset, based on arrangements made with the Contractor.

5.3 Program Income

5.3.1 Contractor shall maintain records of the receipt and disposition of all "program income" defined in 2 CFR § 200.1 and pursuant to CPN-A-18-01, as income that is generated or earned as a result of BIL WAP activities.

5.3.2 Determining Net Program Income

5.3.2.1 Except as provided below in paragraph 5.3.2.2, any costs Contractor incurs in generating program income may be deducted from gross program income to determine net program income.

5.3.2.2 Contractor shall not deduct from gross program income any allowable program expenses for which Contractor has been, or will be, reimbursed from the BIL WAP grant award.

5.3.3 Expenditure and Reporting of Program Income

5.3.3.1 Program income must be expended in accordance with the requirements for expenditure of BIL WAP funds, for allowable program purposes.

5.3.3.2 Contractor shall expend program income during the term of this Agreement. Contractor shall report all such expenditures, along with remaining unexpended program income, at the close-out of this Agreement or at such other time(s) as CSD reasonably requires.

5.4 Allowable Costs

5.4.1 Cost Reporting

ign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

5.4.1.1 All costs shall be reported using a "modified accrual" or "accrual" method of accounting.

5.4.1.2 Pursuant to the federal grant terms and conditions, applicable regulations, and Agreement provisions, Contractor may only claim reimbursement for actual, allowable, and allocable direct and indirect costs.

5.4.1.3 Contractor shall report all expenditures at actual cost and shall maintain records and source documentation in such a manner as to substantiate all costs reported.

5.4.2 Administrative

5.4.2.1 General

5.4.2.1.1 Contractor shall use 2 CFR Part 200 Subpart E – Cost Principles as a guide for determining administrative costs. Administrative costs shall not exceed the amounts as set forth in allocation spreadsheet. Contractor shall not use funds provided under this Agreement to cover administrative costs incurred under another contract.

5.4.2.1.2 Administrative Costs shall mean actual costs for auxiliary functions such as salaries, wages, workers' compensation, and fringe benefits for administrative staff, facilities, utilities, equipment, telephone, travel, accounting, auditing, monitoring assistance, office supplies, and like services necessary to sustain the direct effort involved in administering a grant program.

5.4.2.1.3 If requested in the Ramp-Up Plan, contractors funded at less than $350,000 in total allocation may request an additional five percent (5%) by submitting the DOE Application for Additional Administrative Funds (CSD 574). CSD approval is contingent upon the availability of funds and CSD's determination that the additional amount is needed to effectively implement the administrative requirements of the program.

5.4.2.2 Administrative Equipment More Than $5,000—Acquisition Costs

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

5.4.2.2.1 Acquisition costs shall mean the actual costs associated with the purchase of equipment $5,000 or more per unit used for administrative purposes.

5.4.2.2.2 Contractor shall obtain CSD pre-approval for the purchases or lease-purchase option of equipment with a total value of $5,000 or more utilizing the Request for Pre-approval of Purchase/Lease (CSD 558).

5.4.2.3 Administrative Out-of-State Travel

Administrative out-of-state travel costs shall mean cost incurred for out-of-state meeting, conferences or training that is critical to administering and/or maintaining BIL WAP. Travel expenses are limited to transportation, subsistence and related items incurred by traveling on official business on behalf of Contractor for BIL WAP purposes.

5.4.3 Program Costs

5.4.3.1 General

Program costs are all allowable costs other than Administrative Costs. Program costs include those costs that are directly attributable to the performance of this Agreement and that are reasonable and necessary as determined by the State for the purpose of administering the program. Allowable costs shall be as set forth in the Uniform Guidance (10 CFR § 440.18(d); 2 CFR Part 200, Subpart E – Cost Principles).

5.4.3.2 Intake

Intake costs shall include, but are not limited to, the activities and processes with aiding an applicant's program enrollment, including translation of forms by a certified translator for individuals with limited English proficiency, and verifying an applicant's eligibility for services funded by this Agreement.

5.4.3.3 Outreach

Outreach is limited to those costs associated with the development of outreach materials and strategies to promote awareness to the availability of services funded by this Agreement.

5.4.3.4 Direct Program Activities

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Direct Program Activities shall mean those costs associated with the installation of measures to those dwellings weatherized and reported as completed, to include but not limited to, assessment, diagnostic testing, labor, materials, subcontractors, environmental inspections, permits, California Home Energy Rating System (HERS Raters), and lead-safe weatherization materials.

5.4.3.5 Liability Insurance

Liability Insurance shall mean those actual costs allocated for insurance bonds, general liability insurance, and pollution occurrence insurance (optional).

5.4.3.6 Training and Technical Assistance

5.4.3.6.1 Training and technical assistance (T&TA) during the Ramp-Up and Production Phases shall be reimbursed at actual cost not to exceed the T&TA budget as set forth in the BIL WAP Allocation Spreadsheet.

5.4.3.6.2 Associated T&TA costs may include costs related to travel, admission, materials, and actual salaries/wages. Subcontractor training costs are limited to travel, client education, admission, and materials.

5.4.3.6.3 T&TA shall include costs associated with training staff and/or subcontractors in outreach, intake, and weatherization training as specified in the Training Requirements of Article 9.1 of this Agreement **but excludes direct services**. Training may also include internal Contractor training, safety training, attendance of weatherization-related training and other forms of training to aid the development and skill of staff in utilizing and supporting internal program automation systems, and/or workshops sponsored by DOE, CSD, and/or other organizations offering a component of weatherization training.

5.4.3.6.4 T&TA funds may also be used to train Contractor's subcontractors participating in the program. Training for job corps and workforce development trainees shall be limited to required CSD health and safety training sessions, unless otherwise approved by CSD.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

5.4.3.6.5 Out-of-State Travel. Contractor staff out-of-state travel costs shall mean cost incurred for out-of-state meetings, conferences or trainings that are critical to carrying out BIL WAP. Travel expenses are limited to transportation, subsistence, and related items incurred by traveling on official business on behalf of the Contractor for BIL WAP.

5.4.3.7 Acquisition Costs

5.4.3.7.1 Minor Vehicle and Field Equipment Costs Less Than $5,000 – Acquisition Costs

For Minor Vehicle and Field Equipment costs under $5,000 per unit, Contractor must follow all federal and state rules and regulations governing Annual DOE WAP and BIL WAP pertaining to procurement standards.

5.4.3.7.2 Major Vehicle and Field Equipment Costs $5,000 or Greater– Acquisition Costs Must Be Pre-Approved

CSD and DOE pre-approval is required for the purchases or lease-purchase option of vehicles and field office equipment with a total value of $5,000 or greater. Contractor shall utilize the Request for Pre-Approval of Purchase/Lease (CSD 558).

5.4.3.7.3 Contractor shall adhere to CSD-issued procedures for disposition, including notification prior to disposition. Contractor shall be held responsible for all vehicle and field equipment purchased or leased under the program included that which is used by Contractor's subcontractors. Contractor shall comply with any DOE-issued guidance regarding disposition.

5.4.3.8 General Operating Costs

General Operating Costs may be charged to the program and are for costs that are directly allocable to those costs defined as related facilities, office and computer equipment, office supplies, telephone, and travel and materials. Activities to prevent exposure related to COVID-19 are also allowable General Operating costs.

5.4.3.9 Other Program Costs

ign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

Other Program Costs shall mean the actual costs associated with field staff wages, program management and support wages, ancillary supplies, disposal fees, NEPA and Historic Preservation review costs, lodging and per diem, automation costs, vehicle and equipment repair, maintenance, and fuel, and waste breakage.

5.4.3.9.1 Workers' Compensation

Workers' Compensation shall mean those actual costs associated with workers' compensation coverage for program staff whose salaries and wages are chargeable under program costs.

5.4.3.10 Client Education/Counseling Services

Contractor shall include those actual costs associated with providing group client education, energy conservation information, resource and referral, budget counseling, mold education, and lead safe education.

5.4.3.11 Automation Costs

5.4.3.11.1 Contractor can expend funds to the Automation Costs (AC) in an amount not to exceed $50,000, to be used to meet the contract program startup requirements such as the Contractor's IT automation needs to comply with updated or new Expenditure Activity Reporting System and the Weatherization Database ("CSD System") requirements or contractual reporting requirements programmatic in nature, related to CSD System IT expenses, and with ongoing programmatic IT expenses. AC funds are not limited exclusively to CSD System-related IT expenditures, but any IT expense related to CSD System costs incurred including necessary training on upgrades to Contractor's system.

5.4.3.11.2 If Contractor's cost requires an increase to the AC budgeted amount Contractor may request written approval from CSD to exceed the fifty thousand ($50,000) dollar maximum.

5.4.3.11.3 Contractor shall report all AC and IT expenditures related to compliance with the reporting requirements under this Agreement in the Automation Costs line item. Such expenditures may include, but is not limited to, computer and IT equipment; approved front-end database acquisition and ongoing subscription costs; IT security implementation costs; and IT systems training. All costs reported in this line item

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

must be directly related to program functions. IT costs related to administrative functions shall be reported as administrative costs pursuant to the Uniform Guidance.

5.4.3.11.4 Contractors with multiple DOE contracts for the same program year are limited to reimbursement up to $50,000 per contract. Contractor shall allocate costs among contracts when permitted and may not charge the same costs to more than one contract.

5.4.3.11.5 CSD System related IT costs charged to the AC shall be submitted for reimbursement in accordance with CSD's normal reporting and accounting procedures.

5.4.3.11.6 Contractors that remain in contract with their front-end vendor are not required to conduct a procurement for ongoing maintenance, updates or process improvements performed by the front-end vendor.

5.4.3.12 Health & Safety Costs

5.4.3.12.1 Shall mean those costs associated with installation of measures classified as health and safety measures and to include labor, materials, lead safe weatherization renovator certification and subcontractors. These costs shall represent the cumulative total of expenditures from the separate Health & Safety Activities section of the BIL WAP Monthly Expenditure Report.

5.4.3.12.2 Contractor shall apply no more than the allowable maximum investment amount toward mitigating health and safety hazards as described in the BIL WAP Weatherization Budget (CSD 570b). The allowable investment maximum shall be determined using the Health and Safety formula as defined in Article 13, "Definitions." Reimbursement shall be limited to the allowable investment maximum contingent upon expenditure of line items included in the Health and Safety formula.

5.4.3.13 Lead Safe Weatherization Costs

5.4.3.13.1 Shall means those costs associated with performing lead safe weatherization, lead renovator certification ensuring lead paint safety on weatherized dwellings built prior to 1978,

ign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

including materials, and the time spent by the EPA-Certified Renovator completing the EPA reporting requirements while on the job site.

5.4.3.14 Vehicle insurance.

Vehicle insurance shall mean those insurance costs allocated for those vehicles used in the delivery of weatherization services. See Article 4.4.6 Vehicle Insurance.

5.4.3.15 Capacity Building

Capacity Building may continue into Production Period - Phase 1. Capacity Building will no longer be allowable at the conclusion of Production Period - Phase 1. While Capacity Building is an allowable expense during Production Period - Phase 1, Contractor must still satisfy minimum performance benchmarks of Production Period - Phase 1 [illegible] in Production Plan will inform CSD of Contractor's unique path to meet Minimum Benchmarks of each Phase.

5.4.4 Weatherization Readiness Funds (WRF)

Contractor may not utilize Weatherization Readiness Funds (WRF) on a dwelling receiving services funded by BIL WAP.

5.5 Reimbursement Guidelines

5.5.1 Claims for Reimbursement

5.5.1.1 Pursuant to the federal grant and applicable regulations, Contractor may only claim reimbursements for actual, allowable, and allocable direct and indirect costs corresponding to the applicable Period and Phase (e.g., expenditures for weatherization expenses are unallowable during the Ramp-Up Period and will not be reimbursed). Contractor shall report actual costs incurred for actual expenditures up to any applicable maximum amounts set by this Agreement.

5.5.1.2 Contractor shall not incur expenditures prior to execution of this Agreement by both Parties.

5.5.2 General

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

Contractor may claim reimbursement for allowable weatherization-related activities under the terms of this Agreement as documented on the CSD Dwelling Assessment Form (CSD 540) or approved Contractor's equivalent delivered to eligible dwellings. Weatherization of multifamily buildings with 5 units or more is not allowable under this Agreement.

5.5.2.1 Contractor is prohibited from leveraging funds with any other DOE program that may be in effect in any dwelling.

5.5.2.2 Contractor shall ensure that duplicate billings for the same product or service do not occur.

5.5.2.3 Reporting for Completed Dwellings

All completed dwelling units shall be submitted for payment within 30 calendar days of completion or by the due date of the last reporting period of this Agreement, whichever is less.

5.5.2.4 Contractor Average Cost Per Unit

Contractor shall be entitled to reimbursement for actual costs, not to exceed the Contractor Average Cost per Unit of $8,009 (Contractor ACPU) for applying the conservation measures and activities described in the Reimbursement for Weatherization Activities located on the CSD LAP at https://agencies.csd.ca.gov/home/Energy/Pages/Contracts.aspx. The formula for determining the Contractor ACPU rate is specified in Article 13, "Definitions".

5.5.2.4.1 The amount of funds applied to weatherization services in a whole multi-family building project shall not exceed the number of eligible dwelling units multiplied by the $8,009 Contractor ACPU or by the $8,009 Contractor ACPU, if an individual unit is served. If the multi-family building meets the 66/50 rule in accordance with Article 8.1, Section 8.1.2.6, then the investment for the whole building may not exceed the number of dwelling units multiplied by the Contractor ACPU. This includes income eligible, non-income eligible, and vacant units. Contractor must complete the Multi-Family Dwelling Certification form (CSD 75P) to show the 66/50 rule is being applied correctly.

5.5.2.4.1.1 If performing weatherization services on individual units when approved by CSD and DOE Project Office, and not a whole multi-family building

gn Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

project, Contractor shall ensure costs per unit do not exceed the Contractor ACPU.

5.5.2.5 Group Homes

The maximum reimbursement for a group home shall be equal to the current maximum average allowed for single family and multi-unit dwellings.

5.5.2.6 Temporary Shelters/Homeless Individuals

Maximum reimbursement will be based on the unit otherwise qualifying as a multi-unit structure. For determining how many dwelling units exist in a shelter, Contractor may count each 800 square feet of the shelter as a dwelling unit, or it may count each floor of the shelter as a dwelling unit.

5.5.2.7 Measure Reimbursement

5.5.2.7.1 For those weatherization measures that have an established maximum rate, the reimbursement amount shall be equal to the actual costs of labor, materials, and subcontracted services not to exceed the maximum reimbursement allowable.

5.5.2.7.2 For those weatherization measures that have an established maximum quantity, the quantity shall not exceed the maximum quantity allowable.

5.5.2.7.3 Cost and quantities that are projected to exceed the maximum limits as described in Reimbursements Rates for Weatherization may be exceeded if a waiver request has been submitted to and approve by CSD. Contractor shall obtain prior written approval from CSD before work commences.

5.5.2.7.4 Work outside of the scope of the program may only be allowable under extenuating circumstances. Contractor shall obtain prior written approval from CSD before work commences.

5.5.2.7.5 Weatherization measure costs or quantities exceeding the maximum reimbursement limit cannot be offset by charging the cost difference to another weatherization measure, or another CSD or non-CSD program. An exception to this rule

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exists, however, as identified within Section 5.5.5 Managing Alternative Funding.

5.5.2.7.6 When costs for a measure exceed the maximum cost reimbursement, labor hours and/or quantity limits allowed for a health and safety measure as described in Reimbursement Rates for Weatherization, Contractor shall obtain written approval from CSD prior to work commencing to exceed the maximum costs limitations for health and safety measures. However, in no case will Contractor be able to exceed the maximum allowable for Health and Safety as shown in DOE Weatherization Budget based on the formula specified in Article 13, "Definitions."

5.5.2.8 Assessments and Diagnostics

5.5.2.8.1 Contractor may claim reimbursement for one full dwelling assessment for each instance of weatherization services including initial weatherization and re-weatherization services. Contractor may claim reimbursement for performed dwelling assessments.

5.5.2.8.1.1 Re-weatherization is only permissible under this contract in cases of emergency or disaster situations that are pre-approved by CSD.

5.5.2.8.2 In the case of an un-weatherized dwelling where the installation of measures was not feasible and/or the dwelling was not accessible to install measures, Contractor may claim reimbursement for any related assessments and/or diagnostic testing that were performed but the dwelling cannot be counted toward the dwelling completion count.

5.5.2.8.3 Contractor may claim reimbursement for dwelling assessment and diagnostic testing only once when LIHEAP and DOE funds are used concurrently in the same unit.

5.5.2.8.4 Waivers from CSD shall be required for any assessments and diagnostic testing or health and safety and weatherization measure with a cost that will exceed the maximum reimbursements allowable.

5.5.2.8.5 HERS Rater and permit fees are acceptable expenses and may be charged only once per dwelling to ECIP EHCS or LIHEAP weatherization or DOE WAP per weatherized

gn Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

dwelling. HERS Rater fee and permit reimbursement include subcontractor cost, staff time on job site, and fees that will be reimbursed based on the actual cost.

5.5.2.9 Labor Reimbursement

5.5.2.9.1 Contractor shall bill actual labor cost incurred by weatherization crew members or other persons associated with the installation, assessment and inspection of weatherization measures, removal of debris and appliances, the procurement of permits and services performed by HERS Raters.

5.5.2.9.2 Contractor must be able to substantiate all actual labor hours and labor costs charged.

5.5.2.9.3 Actual labor hours and costs for weatherization services shall not exceed the cumulative number of hours on the job site and shall be substantiated with client file documentation, job schedules, and payroll time records.

5.5.2.9.4 When the installation of a measure is subcontracted and there are billable labor hours for weatherization crew members who participate in the installation of that subcontracted measure, Contractor may bill, in addition to the subcontracted expenditure, the actual labor costs incurred by Contractor's crew members.

5.5.2.9.5 Labor expenses for weatherization service delivery shall exclude labor expenses associated with training, travel to weatherization job sites, staff time not associated with the direct installation and/or performance of weatherization services and activities on the job site, downtime and general operating expenses as provided below in subsection 5.5.3 "Other Program Costs."

5.5.2.9.6 Labor expenses associated with the manufacturing of installation materials such as shade screens while not on the job site shall be charged as part of the cost of materials at actual labor hours and actual labor costs.

5.5.2.10 Heating and Cooling Appliance Repair and Replacement

For health and safety reasons:

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

5.5.2.10.1 If during repairing a defective unit, additional problems are found that would increase the cost of repairs to an amount beyond the established limits for repairs, Contractor may claim reimbursement for incurred costs related to the repair in addition to those costs associated with the replacement of the heating/cooling appliance.

5.5.2.10.2 Dwellings in which a single appliance has been both repaired and replaced, or under a call-back Contractor may claim reimbursement for both the repair and the replacement of the appliance. Contractor shall report the single appliance as both a repaired and replaced appliance. Call-backs will require additional reporting; refer to CPN-E-12-05.

5.5.2.10.3 For multi-unit dwellings with a common system (water heater, heating and/or cooling), Contractor shall prorate the cost among all dwelling units within that building envelope.

5.5.3 Other Program Costs

5.5.3.1 Wages – Field Staff

Contractor may request reimbursement for actual labor costs including benefits related to weatherization supervisors, assessors, inspectors, and crew members that are allocable to the program but not associated with the direct installation and/or performance of weatherization services/activities on the job site and training, including, but not limited to: job scheduling, job preparation, travel time, disposal of appliances and materials building and prepping of weatherization materials away from the job site and downtime in accordance with any guidance issued by CSD.

5.5.3.2 Wages – Program Management and Support

5.5.3.2.1 Contractor may request reimbursement for actual labor costs related to program management and support staff directly responsible for the direct management and oversight over the DOE Weatherization program activity or providing direct support to ensure the successful delivery of weatherization services.

5.5.3.2.2 Reported costs may include labor costs associated with performing direct support in coordinating the delivery and

gn Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

tracking of direct program services, including but not limited to: job scheduling, collating, and aggregating of weatherization activities and materials, staff time associated with Historic Preservation Review activities, obtaining permits and coordination of subcontracted services.

5.5.3.3 Lodging and Per Diem

Contractor may claim reimbursement for lodging and per diem related to the installation of weatherization measures subject to travel and per diem as described in the Travel and Per Diem Section 4.6 of this Agreement.

5.5.3.4 Disposal Fees

5.5.3.4.1 Contractor may claim reimbursement for disposal fees and associated expenses incurred by Contractor and their subcontractor. Disposal fee reimbursement is limited to the actual cost of the fee.

5.5.3.4.2 Contractor may claim reimbursement for the removal of a secondary heating system that cannot be repaired to include associated labor and materials.

5.5.3.5 Vehicle, Equipment Repair, Maintenance and Fuel

5.5.3.5.1 Contractor may claim reimbursement for expenses related to upkeep and maintenance of vehicles and equipment used in the direct delivery of weatherization services. Allowable costs shall be limited to expenditures associated with the maintenance of the vehicles and equipment fuel and oil.

5.5.3.5.2 Contractor shall maintain records for fuel expenditures, vehicle maintenance and vehicle usage to substantiate allowable travel costs related to and allocable to BIL WAP.

5.5.3.6 Historic Preservation Reviews

Historic Preservation Reviews means those expenses that are subcontracted to a third party to perform the collection of and reporting of potential weatherization properties subject to Historic Preservation Review requirements.

5.5.3.7 National Environmental Policy Act (NEPA)

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

NEPA requires the federal government to evaluate and understand potential environmental impacts of a project. The DOE WAP is considered a project under NEPA. Although not common, if a weatherization project will require ground disturbance (digging, excavation, trenching, vegetation removal and planting, scraping, compacting, and plowing, etc.) or tree removal, it is not covered by the NEPA allowable activities and Contractor staff should notify CSD before proceeding with any further work on that project. No additional reporting is required from Contractor.

5.5.3.8 Waste Breakage

Waste breakage are those expenses associated with weatherization materials that have been damaged and are part of Contractor's inventory or special-order materials that are allocated to CSD programs. The cost of weatherization materials that are damaged and benefit multiple programs must be prorated accordingly. Costs must be directly associated to net changes in inventory and not associated with materials chargeable to another measure line item. Reimbursement for waste breakage is not allowable for subcontractors.

5.5.3.9 Ancillary Supplies

Ancillary supplies are additional low-cost materials or supplies (such as nuts, bolts, screws and washers) necessary to install a weatherization measure and not easily identifiable to a specific measure or dwelling. Costs of ancillary supplies that benefit multiple programs must be prorated accordingly. Costs must be directly associated to net changes in inventory and not associated with materials chargeable to another measure line item. Reimbursement for ancillary supplies is not allowable for subcontractors.

5.5.4 Dwelling Status

5.5.4.1 Completed Units

5.5.4.1.1 Except as otherwise provided in the CSD Technical Reference Manual (TRM), Contractor shall not report a weatherized dwelling as completed nor shall Contractor request reimbursement for a weatherized dwelling until all weatherization measures identified as feasible during the dwelling assessment have been installed and inspected by a Certified Quality Control Inspector and all inspection fails have been resolved.

gn Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

5.5.4.1.2 For dwellings where no Energy Conservation Measures (ECM) are feasible, health and safety work may be performed, but the home cannot be counted toward the dwelling completion count.

5.5.4.1.3 Contractor shall not bill for incomplete units or prematurely close a unit with outstanding, unfinished weatherization measures to receive reimbursement for work completed. If there are measures found to be unfeasible by crew members after the initial assessment, the reason for the unfeasibility shall be documented in the client file and if satisfactorily documented, the job shall be reported as completed in accordance with subparagraph 5.5.4.1.1.

5.5.4.1.4 Contractor shall reimburse CSD for all costs associated with the delivery of weatherization services covered under this Agreement to dwellings occupied by household's ineligible for weatherization assistance at the time such services were provided.

5.5.4.2 Building Permits

5.5.4.2.1 Contractor shall obtain all required permits in accordance with the TRM, prior to the commencement of all work performed, unless work is performed because of an emergency requiring immediate action where there is an imminent danger and requesting a permit would hinder the Contractor's ability to resolve the emergency. If an emergency is remedied, Contractor shall apply for a permit as soon as reasonably possible.

5.5.4.2.2 Penalties or fines imposed on Contractor or subcontractor by the local authority or building department are not allowable costs.

5.5.5 Leveraging Funds

5.5.5.1 Contractor may perform services and install energy conservation measures in a qualified dwelling as provided herein and in accordance with requirements of any other CSD program and compatible non-CSD funded program, if in the best interest of the client, and as described in the TRM Appendix D Energy Audit/Priority List Protocol, provided:

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

5.5.5.1.1 Contractor may not leverage BILWAP funded weatherization service or related activity with other DOE funding.

5.5.5.1.2 Contractor may divide BIL WAP material expenditures associated with a single measure with any funding source other than other DOE WAP provided the combined expenditures reported to each contract does not exceed the maximum reimbursement for the individual measure. Contractor will be required to provide an accounting of labor, material, and quantities installed under each program.

5.5.5.1.3 Contractor shall not bill multiple funding sources for the same product or service unless costs are allocated in such a manner that billing is not duplicative and Contractor receives no more than the total cost of the products and services provided. The amount billed under both BIL WAP, and alternative funding source cannot exceed the total cost of the installation of the measure.

5.5.5.1.4 In accordance with TRM Appendix D Energy Audit/Priority List Protocol, individual measure leveraging is allowable under the following conditions:

5.5.5.1.4.1 Full measure leveraging, or braiding of funds, is when the entire measure cost will be paid for by the funds of any non-DOE program. When the total reimbursement for a measure is paid with a non-DOE funding source, and the reimbursement is intended to cover the entire cost of the contracted service, all related costs associated with the installed measure shall be charged to the alternative funding source. Additional costs to facilitate or to offset cost deficits for the measure shall not be charged to another CSD energy program.

5.5.5.1.4.2 Partial measure leveraging, or co-funding, is where the cost of an Audit-Driven Measure (ADM) is divided between the BIL WAP and an alternative funding source. The package of measures, including the full cost of the measure to be partially leveraged, must have a Dwelling SIR $\geq$ 1.0 for the BIL WAP share of investment. Measures that are not included in this package do not qualify for partial measure leveraging. Leveraged ADMs must have a Measure

ign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

SIR < 1.0, but ≥ 0.5, to qualify for partial measure leveraging.

5.5.5.1.4.3 Cost sharing is not considered leveraging, but it is a division of measure cost that applies only to Health & Safety, Priority List, and General Heat Waste (audit path only) measures. When cost-sharing, all labor must be billed to the BIL WAP. Material costs may be billed entirely to another program or shared between the BIL WAP and another program.

5.5.5.1.5 Measure buy-down is optional and limited to multi-family buildings. The property owner/landlord is allowed to contribute to the cost of an ADM in single-family (2–4-unit buildings only), small multi-family (5-24 units), or large multi-family rental properties (25 or more units). The buy-down must apply to all units served (except any unit occupied by the owner) when the Measure SIR is ≥1.0 using its reduced measure cost and the Dwelling SIR is ≥1.0 using the total installed cost of the measures to be installed in the building.

5.5.6 Disaster Relief

5.5.6.1 Contractor may claim reimbursement for approved services for qualified disaster victims in accordance with the Energy Crisis and Disaster Response Plan under Master File Section V.9 of the BIL WAP State Plan, which is hereby incorporated by reference to this Agreement and available on CSD's public website here: https://www.csd.ca.gov/Shared%20Documents/2022-Draft-BIL-DOE-WAP-State-Plan.pdf

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

ARTICLE 6 – REPORTING POLICIES AND PROCEDURES

6.1 Reporting Requirements

6.1.1 General

6.1.1.1 Client/Job Detailed Data Submission. Contractor shall submit required client/job detailed data for completed weatherization dwellings performed under this Agreement to CSD's Weatherization Database monthly, for the period in which the service activity occurred.

Similarly, adjustments shall be submitted for the monthly period in which services occurred.

6.1.1.2 Contractor shall report expenditures and activities related to this Agreement by entry into the web-based Expenditure Activity Reporting System (EARS), in accordance with CPN-E-19-002.

6.1.1.2.1 Contractor shall submit adjustments in accordance with CPN-E-19-002.

6.1.1.2.2 Payment to Contractor for any given month shall be contingent upon receipt and approval by CSD of the preceding monthly submission.

6.1.1.2.3 Contractor's ACPU shall be at or below the required $8,009 per unit as identified in this Agreement three months prior to the end of the contract term or, if the Contractor's contract is terminated prior to the end of the contract term, CSD may disallow costs to bring the Contractor into compliance with the Contractor ACPU requirement.

6.1.1.2.3.1 Contractor's ACPU shall be monitored for compliance at regular intervals throughout the contract term. If the Contractor's ACPU does not meet contract requirements, CSD may require the Contractor to submit a corrective action plan to bring their ACPU into alignment.

6.1.1.2.4 Contractor shall liquidate outstanding WCA balance and return any remaining WCA funds to CSD by June 1, 2024, for Ramp-Up WCA, June 1, 2025, for Production Period – Phases 1 and 2 WCAs, and May 1, 2027, for Production Period – Phase 3 WCA. Failure to liquidate WCA balance by

Sign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

these dates will result in CSD withholding reimbursement payments and issuance of any future WCAs under this agreement or other contracts.

6.1.1.3 Reconcile Submitted Weatherization Data

6.1.1.3.1 Contractor shall ensure that the data reported in the Weatherization Database and the request for reimbursement reported in EARS, reconcile in accordance with CPA-E-18-005.

6.1.1.4 Submission of Client Files

6.1.1.4.1 Contractor shall submit requested client files, records, and documents to the File Transfer Protocol (FTP) Server quarterly or as requested by CSD. CSD shall use Contractor-submitted documents to perform an in-house desk review to verify compliance with financial, administrative, and programmatic requirements.

6.1.1.5 Reporting System Requirements

6.1.1.5.1 CSD will provide Contractor with specifications of minor IT reporting changes or other minor changes, and upon receipt of the specifications, Contractor shall implement system changes in their local system within 30 calendar days. Minor changes are those that are routine in nature to begin performance under the Agreement such as but not limited to adjustments to the Expenditure Activity Report layout, adding or deleting measures and adjusting eligibility guidelines.

6.1.1.5.2 Major reporting changes, upon receipt of the specifications, shall be implemented in Contractor's local system as negotiated by CSD. Major IT system changes are those changes made to the business rule validations as listed in the most current Weatherization DTR and/or new field lines as outlined in the DTR Document (Schema-Breakdown). The most current Weatherization DTR and Data Transfer Reference Document (Schema-Breakdown) are located on the CSD LAP on the Resources page.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

6.1.2 CSD Review and Approval of Reports

6.1.2.1 CSD shall review and approve Contractor's monthly reimbursement/activity reports before offsets to advances or reimbursement payments are issued. CSD will conduct an ongoing evaluation of Contractor's performance related to program, fiscal operations, Contractor ACPU, and its demonstrated ability to effectively utilize all funds available under this Agreement. Contractor's failure to submit monthly required reports may result in CSD withholding the subsequent allocations, and a delay in approval to begin weatherization services during the Production Period.

6.1.2.2 During the Ramp-Up Period, CSD may conduct monitoring of Contractor consistent with the terms of this Agreement, and Contractor's approved Ramp-Up Plan. Contractor's failure to comply with this Agreement or its Ramp-Up Plan may result in CSD withholding Production Period allocations, and a delay in approval to begin weatherization services during the Production Period.

6.1.2.3 During Production Period Phases, CSD may conduct monitoring of Contractor consistent with the terms of this Agreement, and Contractor's approved Production Plan. Contractor's failure to comply with this Agreement or its Production Plan may result in CSD withholding additional allocations, and delay the execution on contract amendments authorizing Production Period Phase activities and expenditures.

6.1.2.4 The issuance of other CSD contracts, including reimbursement payments to Contractor, shall be contingent upon timely receipt of the required reports, and/or compliance with the material requirements of this Agreement.

6.1.3 Close-Out Report

6.1.3.1 Contractor shall submit, on the appropriate CSD forms, a close-out report verifying all actual, allowable, and allocable costs expended during the term of this Agreement and return all excess reimbursement and unexpended funds to CSD within 30 calendar days of the expiration of this Agreement. If Contractor fully expends funds prior to the end of the contract term, all appropriate CSD close-out forms shall be submitted within 30 calendar days of final expenditure.

6.1.3.1.1 Administrative costs shall not to exceed the amount set forth in the allocation spreadsheet.

Sign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

6.1.3.1.2 Training and Technical Assistance costs shall not to exceed the amounts set forth in the allocation spreadsheet.

6.1.3.1.3 Health and Safety shall not exceed 23% of the allowable Program Operations expenditures in accordance with the formula defined in Article 13, "Definitions."

6.1.3.1.4 Any Administrative, Health and Safety, and Training and Technical assistance costs that exceed the maximum limits shall be disallowed.

6.1.3.1.5 Subsequent payments, including advance payments, for DOE or other CSD contracts may be withheld, absent timely receipt of the close-out report of this Agreement.

6.1.3.2 The issuance of other CSD contracts, and reimbursement and advance payments for existing contracts, may be withheld, absent receipt of the close-out report which is due no later than 30 calendar days after Contractor fully expends or the end of the contract term.

6.1.3.3 The close-out report shall include the following forms and be available on the CSD Local Agencies Portal website:

6.1.3.3.1. DOE Close-Out Checklist (CSD 720);

6.1.3.3.2. DOE Close-Out Inventory and Disposition Schedule (CSD 720D); and

6.1.3.3.3. DOE Close-Out Reconciliation Report (CSD 720E).

6.1.3.4. Unexpended Funds

6.1.3.4.1. Contractor shall use the DOE Close-Out Reconciliation Report (CSD 720E) to reconcile and report actual costs, interest earned, and reimbursements.

6.1.3.4.2. Any unexpended funds shall be returned to CSD at the time the close-out report is submitted.

6.1.3.4.3. Any additional forms required by DOE.

6.1.3.5. Any weatherization materials purchased with these funds and remaining at the contract expiration shall be credited against Contractor's weatherization materials expenditures under this Agreement and charged

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

to another of Contractor's weatherization program with a current contract administered. If Contractor has no other open weatherization contracts, CSD shall determine how the materials will be disposed and what, if any, financial adjustments are required.

6.1.4. Eligibility Income Data

6.1.4.1 If Contractor includes income eligibility data on Contractor website(s) then that the information must include specific reference to DOE WAP income eligibility guidelines applicable to services covered by this agreement.

gn Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

ARTICLE 7 – PROGRAM POLICIES AND PROCEDURES

7.1 Program Standards and Regulatory Requirements

7.1.1 Program Standards

7.1.1.1.1 Contractor shall adhere to all CSD program standards pursuant to the following documents and manuals which have been incorporated by reference and made part of this Agreement as if attached hereto:

7.1.1.1.2 CSD Technical Reference Manual (TRM) version 1.3.

7.1.1.1.3 Official State and Federal Program Notices and Guidance Documents.

7.1.1.1.4 BIL DOE WAP Disaster Relief Plan.

7.1.1.1.5 Current Eligibility and Verification Guide.

7.1.1.1.6 Weatherization DTR.

7.1.1.1.7 CSD Training Policies and Procedures Manual (TPPM).

7.1.1.1.8 CSD BIL WAP Production Plan.

7.1.2 Upon execution of the Agreement, Contractor acknowledges receipt of all current and revised technical manuals, policies, and protocols in Article 7.1.1.1.

7.1.3 In the event of disagreement between policies and field protocols contained within the TRM and/or the Weatherization Policies and Procedures and this Agreement, Contractor shall abide by the terms of this Agreement.

7.1.4 Regulations

7.1.4.1 Standards contained in the most current Uniform Building Code and local city and county codes shall take precedence over the CSD TRM if the code requirement is not included in the manual and/or is more stringent; otherwise, Contractor shall abide by the TRM.

7.1.4.2 All work performed by Contractor shall follow most current and applicable provisions of the California Energy Commission Building Energy Efficiency Standards, Alterations under Title 24, Part 6, of the California Code of Regulations, HERS Program regulations.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

7.1.4.3 Services provided to all covered pre-1978 dwellings shall follow the most current Environmental Protection Agency rules in 40 CFR Part 745 et seq., Lead-Based Paint Poisoning Prevention in Certain Residential Structures, and the Housing and Urban Development rules in 24 CFR Part 35 et seq., and Lead; Requirements for Hazard Education Before Renovation of Target Housing, Final Rule (63 FR 29908; 40 CFR Section 745).

7.1.4.4 All materials procured for weatherization purposes shall be in conformance with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

7.1.4.5 All materials used must follow Department of Energy rules in 10 CFR Part 440, Appendix A.

7.1.5 Title 24

7.1.5.1 Contractor shall, when required by its local jurisdiction, obtain a building permit when additions or alterations of existing residential buildings are performed or when a component, system, or equipment of an existing building breaks, cannot be repaired and must be replaced.

7.1.5.2 Title 24 requirements are applicable only to energy conservation measures and Health and Safety appliance replacements of heating, cooling, and water heating installed to dwellings located within Contractor's specific California Energy Commission (CEC) Climate Zone. For a listing of the CEC climate zones, refer to the CSD Local Agencies Portal website at https://agencies.csd.ca.gov/home/Energy/Pages/Resources.aspx.

Contractor shall exercise caution not to utilize the DOE Climate Zone for compliance with California's Title 24 Energy Efficiency Standards for Residential and Nonresidential Requirements.

7.1.5.3 Contractor shall obtain the services of a qualified HERS Rater when required to perform required field verification and diagnostic testing on applicable weatherization measures and building alterations performed under this Contract.

7.1.5.4 The HERS Rater shall be an independent entity from the Contractor or subcontractor performing the building alteration and/or energy-efficiency improvement being tested and verified and shall have no financial interest in the work performed.

Sign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

7.1.6 Pre-1978 Dwellings

7.1.6.1 Lead-based paint is presumed to be present in all pre-1978 units unless the dwelling unit has previously been certified by a California Certified Inspector/Risk Assessor to be lead-free.

7.1.6.2 Dwellings not previously certified to be lead-free, built prior to 1978, and receiving weatherization services in which painted surfaces exceeding de minimis levels are disturbed, require the successful achievement of lead-safe standards after the completion of weatherization services. Contractor shall assure that an Environmental Protection Agency (EPA) Certified Renovator performs the post-weatherization verification after the completion of weatherization services and that the Assessor deems the weatherized meets EPA Renovation, Repair, and Painting Rule lead-safe standards.

7.1.6.3 HUD units not previously certified to be lead-free, built prior to 1978, and receiving weatherization services in which painted surfaces exceeding de minimis levels are disturbed, require the successful achievement of lead-safe standards after the completion of weatherization services. Contractor shall assure that a third-party California Certified Inspector/Risk Assessor performs the clearance inspection after the completion of weatherization services and that the Assessor deems the weatherized HUD unit as lead safe.

7.1.6.4 Contractor shall document notification to tenants of multi-unit housing of weatherization and/or renovation activities in common areas using the Notice of Weatherization/Renovation (CSD 320) or approved Contractor's equivalent and Record of Tenant Notification Procedures (CSD 322) or approved Contractor's equivalent.

7.2 Service Priority Guidelines

7.2.1 Contractor shall give priority for weatherization services to those households of families with children 19 years of age or younger, disabled, elderly persons (ages 60 years or older) and households with high energy burdens.

7.2.2 Contractor may give priority for weatherization services to those households whose members have life-threatening emergencies.

7.2.3 Contractor shall ensure that owners and renters receive equitable treatment under this program.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

7.3 Outreach and Intake Activity Guidelines

7.3.1 Outreach

Contractor shall perform outreach activities to ensure that households in the service area(s) are informed about all BIL WAP services and have an opportunity to apply for such services.

7.3.2 Intake

Contractor shall use intake program funds for determining eligibility of applicants seeking BIL WAP services. Services include aiding an applicant's program enrollment and verifying an applicant's eligibility for services funded by this Agreement. Contractor shall:

7.3.2.1 Establish reasonable hours whereby applicants have access during regular business hours to seek program information with an assurance that the Contractor shall respond to the applicant's request within a reasonable amount of time.

7.3.2.2 Accept applications for assistance during regular business hours.

7.3.2.3 Accept applications at sites that are geographically accessible to all households in the area served by Contractor.

7.3.2.4 Provide low-income individuals who are physically infirm with the means to submit applications without leaving their residences.

7.3.2.5 All sites where intake is conducted must be accessible to the disabled.

7.3.2.6 If Contractor opts to "pre-screen" applicants for benefits by discussing eligibility criteria and by counseling potential clients in advance of their completing and submitting an Energy Intake Form (CSD 43) or approved Contractor's equivalent, Contractor must apply income guidelines and Contractor's DOE Weatherization Priority Plan Narrative (CSD 793) when prescreening applicants. If the applicant appears to be ineligible, Contractor must so inform the applicant but must nevertheless notify prescreened applicants of the right to apply for benefits upon changes in the prescreened applicant's circumstances and status. Energy Intake Form (CSD 43) or approved Contractor's equivalent must be provided to an applicant upon request, whether or not a prescreening process is employed.

gn Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

7.4 Client Education and Counseling Activities

Client Education/Counseling Activities program funds shall be used for such services, including client needs assessment, client education and budget counseling, that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance.

7.4.1 Needs Assessment

Contractor shall conduct a needs assessment for each applicant, which shall include computing the energy burden of each applicant's household and prioritizing households as described in Article 7.2, Service Priority Guidelines.

7.4.2 Client Education / Budget Counseling

7.4.2.1 Contractor shall provide to all recipients of energy assistance under this Agreement applicable energy conservation information and budget counseling in accordance with Contractor's approved DOE Weatherization Priority Plan Narrative (CSD 793). At a minimum Contractor shall include the following:

7.4.2.1.1 Information to the client regarding the importance of applying for energy assistance prior to being in an arrearage situation and to include information concerning various utility company budget payment plan(s) and other forms of energy assistance offered within the State.

7.4.2.1.2 Written information that describes energy-saving behavioral adjustments that will decrease the energy consumption of the household.

7.4.2.1.3 Written information that identifies safety conditions assessed in the home and as self-declared by occupants, in accordance with the CSD TRM Appendix E Health and Safety Requirements, CSD TRM individual measure standards, and as required in the CSD 540G Health and Safety Form (A copy of the completed CSD 540G form shall be left with the client during the assessment visit);

7.4.2.1.4 Resource information, referral, family, and budget counseling to assist clients in achieving self-sufficiency.

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7.4.2.1.5 Referral to other community, state, or federal programs to address conditions that may exist that cannot be mitigated due to the scope of the corrections which exceed DOE WAP or other CSD weatherization programs and cannot be achieved in a cost-effective manner.

7.4.2.1.6 The EPA pamphlet "Renovate Right: Important Lead Hazard Information for Families, Child Care Providers and Schools".

7.4.2.1.7 The EPA pamphlet "A Brief Guide to Mold, Moisture, and Your Home".

7.4.2.1.8 A description of the benefits that the client can expect to receive because of the weatherization measures installed and diagnostic tests performed in the dwelling.

7.4.2.1.9 Disclosure of any identified health, safety, or structural hazard conditions or deficiencies to the property owner and occupying tenant;

7.4.2.1.10 The EPA pamphlet "A Citizen's Guide to Radon: The Guide to Protecting Yourself and Your Family from Radon"; and

7.4.2.1.11 The California Department of Public Health fact sheet "About Asbestos in the Home and Workplace".

7.5 Leveraging/Cost-Sharing/Buy-Down Activities

7.5.1 Leveraging cost sharing and buy-downs with weatherization funds may be used to install feasible measures in accordance with the CSD TRM Appendix D Energy Audit/priority List Protocol. Decision making for measure cost management shall be documented in the client file accordingly.

7.5.2 When using alternative funding with BIL WAP to pay for a measure, Contractor shall ensure that the measure installation conforms with BIL WAP weatherization guidelines and Article 5.5.5.

7.5.3 Contractor shall be responsible for tracking the use of different funding sources to determine that funds are spent according to federal regulations and CSD policies. Contractor shall document within the Weatherization client file the activity performed, date of the activity performed, and the source of the leveraged funds.

7.5.4 CSD may use information about activities paid for with funds from alternate funding sources for the purpose of verifying the delivery of services. CSD may review and verify or use a third-party inspector to review and verify that the

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leveraged-funded activities conform to applicable DOE WAP standards and practices.

7.6 Record-Keeping Responsibilities

7.6.1 Contractor shall maintain client intake/needs assessment form(s) for Weatherization, together with appropriate supporting documentation and shall maintain separate client files containing supporting documents related to disqualifications, denials, and appeals for each applicant who is not certified as being eligible to receive assistance.

7.6.2 Contractor shall make a reasonable effort to collect the completed Client/Customer Consent Form and Authorization to collect energy usage data when the client applying for services is not the person listed as the account holder of the utility bill. Client services shall not be denied if the client or bill account holder refuses to sign the consent form.

7.6.3 Both the current and prior BIL WAP record-keeping requirements for both CSD and Contractor. CSD will inform Contractor of any new record keeping requirements through amendment and/or CPN/CPA.

7.6.4 All Client Files – Requirements

Contractor shall maintain a separate hard copy or electronic file for each applicant. These files shall include, the following documentation, when applicable:

7.6.4.1 For Public Agencies only: Statement of Citizenship, Alienage, and Immigration Status for Public Benefits (CSD 600) and supporting documents.

7.6.4.2 Energy Intake Form (CSD 43) or approved Contractor's equivalent.

7.6.4.3 Multi-Family Property Intake Form (CSD 43-MFP) or approved Contractor's equivalent.

7.6.4.4 Utility/energy bill(s) for all sources of energy used by qualified households.

7.6.4.5 Documentation supporting eligibility in accordance with the Eligibility and Verification Guide.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

7.6.4.6 Client Education Confirmation of Receipt (CSD 321) or approved Contractor's equivalent that substantiates that the client was provided services.

7.6.4.7 Client denial or approval notification.

7.6.4.8 Certification of Income and Expenses (CSD 43B).

7.6.4.9 Client/Customer Consent Form and Authorization (CSD 081) – Only requested when the client is not the account holder of the utility bill.

7.6.4.10 CSD Dwelling Assessment Forms (CSD 540 series which includes: 540 Dwelling Assessment, 540A Weatherization Mold/Moisture Assessment and Release, 540C Mechanical Ventilation Calculator, 540D Mechanical Ventilation Assessment, 540E Refrigerator Calculator, and 540G DOE Health and Safety Form) or approved Contractor's equivalent when allowed.

7.6.4.11 Combustion Appliance Safety Inspection Form (CASIF) series (CSD 700, CSD 700B (Interim CASIF), or CSD 700C (Appliance Repair & Replacement CASIF);

7.6.4.12 Shell Leakage Data Sheet (CSD 704).

7.6.4.13 Duct Test Data Sheet (CSD 706).

7.6.4.14 CSD Weatherization Deferral Form (CSD 542) and other source documentation supporting deferrals and appeals.

7.6.4.15 Notice of Weatherization/Renovation (CSD 320) or approved Contractor's equivalent.

7.6.4.16 Record of Tenant Notification Procedures (CSD 322) or approved Contractor's equivalent.

7.6.4.17 Energy Service Agreement for Occupants (CSD 515A) or approved Contractor's equivalent.

7.6.4.18 Energy Service Agreement for Rental Property Owners (CSD 515B) or approved Contractor's equivalent.

7.6.4.19 Lead-Based Paint Regulatory Compliance Report (CSD 708).

7.6.4.20 DOE Energy Audit/Priority List (CSD 710).

Sign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

7.6.4.21 Contractor Post-Weatherization Inspection Report (CSD 611).

7.6.4.22 Multi-Family Dwelling Unit Eligibility Certification (CSD 75P) or approved Contractor's equivalent.

7.6.4.23 Client confirmation of work completed.

7.6.4.24 Required building permits or building's permit applications, or documentation of permit cost, and evidence of final permit inspection.

7.6.4.25 Copy of lead clearance inspection by a California Certified Inspector/Risk Assessor for applicable pre-1978 HUD units.

7.6.4.26 Waivers from CSD to exceed maximum costs and quantity limits of weatherization measures and work outside of the scope of CSD weatherization policies and standards.

7.6.4.27 Documented approvals from DOE and CSD to make a fuel change for an [illegible]

7.6.4.28 Documentation that substantiates all actual labor hours including a time and activity log associated with each job.

7.6.4.29 Documentation of weatherization measures installed and leveraged with other CSD and non-CSD weatherization program funds.

7.6.4.30 Documentation that substantiates the criteria and basis for replacement of all gas and electric appliances including results of all required diagnostic tests results and the non-feasibility of all mandatory measures not performed or installed.

7.6.4.31 Documentation indicating the manufacturer, manufacture date, make, serial number and model and metering information for all refrigerator replacements.

7.6.4.32 Documentation and records substantiating mileage claims by individual weatherized Single-Family Dwelling (SFD) and Multi Unit Dwelling (MUD) Unit.

7.6.4.33 Documentation of HERS Rater's inspection report and a copy of the invoice from the HERS Rater, in addition to the Residential Compliance Forms (CF-1R, CF-4R and CR-6R);

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

7.6.4.34 Documentation providing evidence that the client receiving disaster-related services was a victim of a natural disaster.

7.6.4.35 Documentation providing evidence of participation in a federal, state, or local government rehabilitation program if being used to qualify ineligible multi-family dwelling units for weatherization services.

7.6.4.36 Documentation of notification to the owner-occupant, tenant and/or the owner of a rental unit or owner's agent of significant structural changes to the dwelling due to weatherization services.

7.6.4.37 All Historic Preservation Online review documentation, including the copies of the printed Project Description Sheet (PSD) and HPO site e-mails.

7.6.4.38 REM/Design Improvement Analysis Report and REM/Design Building File Report reports indicating measure that meet the SIR requirement for installation.

7.6.4.39 Documentation of attempts to schedule post-weatherization inspection appointments if inspection could not be performed.

7.6.4.40 Justification images, when required.

7.6.4.41 Notice of Survey by Electrical Contractor (CSD 543).

7.6.4.42 REM Energy Audit Entry Form (CSD 544).

7.6.4.43 Insulation Certificate (CSD 610).

7.6.4.44 REM/Design Multi-Family Input Sheet (CSD 808); and

7.6.4.45 All other documentation as further defined by CSD.

7.6.5 Other Recordkeeping Responsibilities

7.6.5.1 Labor and Materials

7.6.5.1.1 Contractor shall maintain documentation in such a manner that include job references and total labor hours so that actual costs and actual labor hours billed to the weatherization programs can be substantiated.

Sign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

7.6.5.1.2 Contractor shall document all costs expended under this Agreement with purchase orders, inventory records, and payroll records identifying the funding source.

7.6.5.1.3 Contractor shall maintain documentation in such a manner to prove that materials used under this program conform to the requirements contained within the CSD TRM and/or state, county, or local regulations.

7.6.5.2 Training

Contractors who perform weatherization services are required to input, update, and maintain employee data in the CSD Training Portal (CTP). CSD will not recognize as valid proof of any training stored outside of this portal. The CTP is a learning management system that is located and maintained through the CSD LAP. It is a repository for Contractor and their subcontractors to track and monitor employees' completed training records, including but not limited to employee legal name, hire date, email including completion of each training course, the source/location, type/content, completion date, certificates of completion, and completion of refresher training. Records for courses completed prior to the launch of the CTP have been migrated into the system.

7.6.5.2.1 Contractor must identify at least one, but not more than two Training Administrators, who will be responsible for adding/editing users, submitting training and on-the job training (OJT) requests, approving training, monitoring training transcripts, uploading licensing and certifications, and monitoring training expirations.

7.6.5.2.2 The OJT application page will be migrated from a separate link on the CSD LAP to integrate with the CTP in calendar year 2023. CSD will notify agencies through a notice on the LAP when that function of the portal becomes available. Until that time, the separate link shall be used for Contractor to participate in OJT.

7.6.5.2.3 CSD shall maintain all trainings records in the CTP for trainings completed through CSD E-learning, CSD-approved Training Centers, and field or classroom training provided by CSD or its agents.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

7.6.5.2.4 Contractor shall upload training certificates (or other proof of training completion) into the CTP for certifications or trainings provided by third parties. Examples include individual employee Building Performance Institute (BPI) certifications, EPA Renovator certification, and /or other required training certifications as designated by CSD.

7.6.5.2.5 Contractors shall be responsible for maintaining the required training records in the same manner for their subcontractors as for the Contractor employees.

7.6.5.2.6 Contractor must input new field personnel and subcontractors into the learning management system within three days of hire. Contractor shall update the CTP in a timely manner, with employee completed course information and/or uploaded certifications on or before the first (1st) day of each subsequent month following the completion of training.

7.6.5.3 Equipment

7.6.5.3.1 Contractors and subcontractors who perform combustion appliance safety tests shall maintain the Carbon Monoxide Analyzer Calibration Log (CSD 785) documenting the calibration of all analyzers as required.

7.6.5.3.2 Contractors and subcontractors who perform shell leakage and duct leakage diagnostic tests shall maintain the Manometer Calibration Log (CSD 786) documenting the calibration of all manometers as required.

7.6.5.4 Energy Audits

7.6.5.4.1 Contractor shall maintain electronic records generated from the REM/Design audit software for the required period of 3 years from submission of final report or until resolution of all related audit or monitoring findings, enforcement action, including cost disallowance, legal proceedings, or other pending matters, whichever is later in accordance with Section 4.3.

7.6.5.4.2 Contractor shall make all records generated from the REM/Design audit software accessible to the State, or a third-party inspector acting on the State's behalf, for the purpose of a third-party inspections or monitoring.

Sign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

7.6.5.4.3 Contractor shall submit all REM audits through the CSD Energy Audit Submittal System to include the initial audit submittal and resubmittals to address changes to the audit based on CSD feedback. A final audit shall also be submitted to address one or more of the following:

7.6.5.4.3.1 Changes in measure cost; input of final duct or shell leakage readings, in lieu of estimated leakage used for initial improvement analysis.

7.6.5.4.3.2 Changes to the final scope of work; any decisions related to full or partial measure leveraging.

7.6.5.5 Automation

7.6.5.5.1 Contractor shall use a software database system to support all required data collection and reporting requirements under the administration of this grant.

7.6.5.5.2 Contractor shall use an automated application system capable of supporting BIL WAP data collection, reporting requirements, and client data transmission to CSD. No database transfer will be accepted prior to the completion of successful data file transfer testing to CSD. Contractor shall submit the data in accordance with CSD's Weatherization DTR layout found at https://agencies.csd.ca.gov/home/Energy/Pages/Resources.aspx. Contractor shall exercise best practices and perform a daily backup of all client data/application systems that capture BIL WAP service detail. Contractor shall assure that adequate files are maintained as required in Article 7.6.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

ARTICLE 8 – PROGRAM IMPLEMENTATION

8.1 Weatherization Activity Guidelines

8.1.1 Applicant Eligibility

8.1.1.1 Assistance shall be available only to households with incomes that do not exceed an amount equal to 200% of the Federal Poverty level.

8.1.1.2 Income verification must be for one month. For acceptable types of documentation, refer to the most recent Eligibility and Verification Guide (see most recent "LIHEAP Start-Up Cover Package") at: https://agencies.csd.ca.gov/home/Energy/Pages/Contracts.aspx.

8.1.1.3 Contractor shall certify a household's income eligibility prior to the delivery of energy program services.

8.1.1.4 The income certification shall remain in effect for a period of 120 days from the date applicant is deemed eligible for services.

8.1.1.5 Contractor shall recertify a household's income eligibility by obtaining updated income verification documentation if the dwelling assessment has not been completed within 120 days from the income certification date.

8.1.1.6 In the event the Contractor is unable to perform all weatherization services within 180 days from dwelling assessment date, Contractor shall obtain updated income verification documentation to recertify the household's income eligibility.

8.1.1.7 If a dwelling has been previously weatherized under the DOE WAP and meets one of the exceptions for services in subparagraph 8.1.2.7, the dwelling and household's income eligibility must be recertified.

8.1.1.8 Contractor shall collect copies of all the household's energy utility bills for the current month, and if applicable, receipt(s) for wood, propane, and oil to determine the household's energy burden.

8.1.2 Dwelling Eligibility

8.1.2.1 Contractor shall perform the assessment of weatherized dwellings within 120 days of the income certification date.

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8.1.2.2 Contractor shall complete the post-combustion appliance safety test within 60 days from the date of the pre-combustion appliance safety test. In the event the Contractor is unable to perform the work associated with the combustion appliance safety testing and the post-combustion appliance safety test within the 60-day period, Contractor shall perform another pre-test for the dwelling prior to commencing the delivery of any form of weatherization assistance services.

8.1.2.3 Contractor shall complete weatherization services within 180 days from the date of the original assessment of a dwelling.

8.1.2.4 Permission to Provide Services

8.1.2.4.1 Contractor shall obtain general written permission of the owner-occupied dwelling from the tenant and the owner (or owner's agent) to perform an assessment and weatherization work prior to performing any such services. Such permission shall be recorded on the Energy Service Agreement for Occupant (CSD 515A) or approved Contractor's equivalent and the Energy Service Agreement for Rental Property Owner (CSD 515B) or approved Contractor's equivalent.

8.1.2.4.2 If during performing weatherization and/or heating and cooling appliance repair or replacement services in a dwelling, Contractor identifies that significant structural and/or engineering changes may occur, Contractor shall notify the owner-occupant dwelling or the owner of a rental unit prior to continuing with the scheduled work.

8.1.2.5 Rent Increase Restrictions

8.1.2.5.1 For a period of two years after weatherization work has been completed on a dwelling containing a unit occupied by an eligible household, the tenants in that unit (including households paying for their energy through their rent) will not be subjected to rent increases unless those increases are demonstrably related to matters other than the weatherization work performed.

8.1.2.5.2 Tenants shall be given a written summary of these conditions with the current telephone number of the Contractor with instructions on how to file a complaint should these conditions not be met. Contractor shall investigate all complaints filed and shall forward a copy of all written

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complaints to CSD or, if a verbal complaint has been made, contact CSD with the details of the complaint-including date complaint was made, date investigations began, and results.

8.1.2.5.3 CSD will evaluate the merits of the complaint and all supporting documentation. If CSD determines a complaint is valid, CSD may pursue collection activities against the landlord in the amount equal to the weatherization work performed on that unit and/or building.

8.1.2.6 Multi-Unit Dwellings

8.1.2.6.1 Weatherization services are only permitted on single family homes and multi-family buildings with 4 or fewer units. Weatherization services on multi-family buildings with 5 or more units shall be permitted upon the issuance of an amendment or CPN following DOE guidance on Davis-Bacon requirements.

8.1.2.6.2 In accordance with 10 CFR § 440.22(b) (2), Contractor may weatherize a whole multi-unit building containing rental dwelling units when not less than 66% (50% for duplexes and four-unit buildings) of the dwelling units in the building are income eligible dwelling units, or the dwelling units will become eligible (occupied by eligible low-income tenants) within 180 days under a federal, state, or local government program for rehabilitating the building or making similar improvement to the building.

8.1.2.6.3 Contractor may weatherize individual units in a multi-family building in lieu of the whole building, *provided* Contractor first endeavors in good faith to weatherize the whole building in accordance with the provisions stated herein.

8.1.2.6.4 Upon Contractor's determination that the whole building cannot be weatherized because the building does not qualify in accordance with the CSD TRM, Contractor shall submit the request to CSD for DOE Project Officer approval prior to weatherizing individual units in the multi-family building. The request shall specify the that the Individual Unit criteria are met (with photographs, where required) and provide reason(s) why the whole building cannot be weatherized.

gn Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

Contractor shall retain supporting documentation justifying the determination in the event of an audit or monitoring visit.

8.1.2.6.5 The weatherization of individual units in multi-family buildings is subject to unique criteria and allowable measures, distinct from those applicable to single family and multi-family buildings. Contractor may install only those measures allowed for individual units in multi-family buildings in accordance with the CSD TRM.

8.1.2.6.6 If dwelling units are qualified for services through a federal, state, or local government rehabilitation program, documentation to verify participation in the rehabilitation program is required in the master job file.

8.1.2.6.7 Contractor shall complete a Multi-Unit Dwelling Unit Eligibility Certification (CSD 75P) or approved Contractor's equivalent for each building and shall maintain a copy in [illegible] file.

8.1.2.6.8 Contractor shall certify unit eligibility by completing Energy Intake Form (CSD 43) or approved Contractor's equivalent for each dwelling unit in each building. Certification of eligibility by the owner/manager of the occupants of the building is not acceptable.

8.1.2.6.9 No undue or excessive enhancement shall occur to the value of the dwelling units.

8.1.2.7 Previously Weatherized Dwellings

Weatherization services for a dwelling unit previously weatherized within the past 15 years from the date of completion using DOE WAP, LIHEAP, HUD, USDA, DOE ARRA, or other Federal funds are ineligible for weatherization services unless the dwelling meets one of the exceptions in accordance with CPN-E-21-04 Previously Weatherization DOE WAP Dwelling Requirements

8.1.2.8 Call-back

Services provided in a previously weatherized dwelling to correct a previously installed measure or because of a CSD or DOE inspection finding is a call-back and is allowable and must be reported to CSD and

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DOE. Refer to CPN-E-12-05. Demographics for a callback are not included for reporting purposes.

8.1.2.9 Ineligible Dwellings

8.1.2.9.1 Contractor shall not weatherize a dwelling unit that is designated for acquisition or clearance by a federal, state, or local program within 12 months from the date of completion of the proposed weatherization.

8.1.2.9.2 Contractor shall not weatherize any dwelling under this Agreement unless the property owner agrees to all the terms and conditions of the CSD Dwelling Assessment Form (CSD 540) and signs the Energy Service Agreement for Occupant (515A) or Contractor's equivalent or Energy Services Agreement for Rental Property Owner (515B) or Contractor's equivalent.

8.1.2.9.3 No institutional or commercial building including, but not limited to, universities, schools, nursing homes, or hospital, etc., may be weatherized under this Agreement.

8.1.2.10 Temporary Shelters/Homeless Individuals

Eligibility of the occupants may be assumed if the owner/operator will certify in writing that occupancy is temporary, and that admittance criterion complies with CSD contract eligibility guidelines; whether or not rent is paid has no effect on eligibility.

8.1.2.11 Group Homes

If the building does not qualify as a multi-family structure, income eligibility is based on all occupants as a group, and the building must be weatherized as a single dwelling unit.

8.1.3 Requirements for Weatherization Services

8.1.3.1 Contractor must install all feasible weatherization measures in accordance with the CSD TRM.

8.1.3.2 All feasible Health and Safety measures shall not be skipped. Similarly, feasible Health and Safety measures cannot be removed from a work scope (for client refusal or other reason), or the dwelling shall be deferred.

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8.1.3.3 When building a dwelling work scope for the BIL WAP, there are two approved approaches to determine the energy conservation measures (ECMs): the Priority List Path or the Audit Path. A single approach must be identified for each dwelling served. A hybrid approach is not allowed.

8.1.3.3.1 The Contractor path decision shall be directed by a set of criteria for each dwelling and cannot be based on a "preferred" approach. It is required to use the CSD 710 Energy Audit/Priority List Checklist to document dwelling conditions and the Audit path/Priority List path decision.

8.1.3.3.2 While the CSD 710 may prompt the Contractor auditor to use the PL path, Contractor may decide to conduct a site-specific energy audit for any dwelling.

8.1.3.4 Priority List (PL) Path

8.1.3.4.1 The PL path is allowable for single family, manufactured and low-rise multi-family (LRMF) as defined in the CSD TRM Appendix H. When using the PL path, a prescribed set of measures must be installed, following a specific order as defined on the PL. Feasible ECMs must not be skipped as defined by the CSD TRM Appendix D Energy Audit/Priority List Protocol.

8.1.3.4.2 All feasible Mandatory measures must be installed before any Optional measures are installed.

8.1.3.4.3 All PL measures shall be installed according to the order defined in the building type-specific Priority List in accordance with the TRM Appendix D.

8.1.3.5 Audit Path

8.1.3.5.1 The Audit path is required when specific conditions exist in the dwelling or certain measures that are not on the DOE PL may be feasible and will be billed to the BIL WAP. Final feasibility of ECMs shall be defined by the REM/Design or TREAT software, which must be selected based upon the number of dwelling units in a multi-unit building. Cost-justified ECMs, with a Savings-to-Investment Ratio (SIR)

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greater than or equal to 1.0 shall not be skipped or installed after a measure with a lower SIR.

8.1.3.5.2 When applying the Audit Path and all feasible measures classified under Health & Safety have been assessed, Contractor must assess for Energy Conservation Measures (ECMs) by conducting a REM/Design or TREAT audit in accordance with the TRM Appendix D *Energy Audit/Priority List Protocol* located at https://agencies.csd.ca.gov/home/Energy/Pages/Weatherization.aspx.

8.1.3.5.3 The REM/Design energy audit tool must be applied to single-family dwellings, mobile homes, and multi-unit dwellings containing 24 or fewer dwelling units where each unit is independently heated and/or cooled. Small multi-family audits must be approved by CSD before any installation work is performed by Contractor.

8.1.3.5.4 The TREAT energy audit must be applied to all multi-unit dwellings except for those multi-unit dwellings that are qualified to use REM/Design. Contractor must submit all TREAT audits to CSD for approval by the DOE Project Officer before any installation work is performed.

8.1.3.6 Installation of a common (shared) heat source, cooling source, or water heater shall qualify as a mandatory measure for each unit served by the same appliance.

8.1.3.7 Weatherization measures may be leveraged or cost-shared with alternative funding sources as defined in Section 5.5.5. All leveraged measures used to fulfill the completion of the Audit Path or Priority List Path shall be billed in accordance with the policies defined by the CSD TRM Appendix D.

8.1.4 Dwelling Assessments

8.1.4.1 Contractor shall assess eligible dwellings to identify the specific energy-efficiency and health and safety services to be offered under the allowable scope of services outlined in this contract.

8.1.4.2 Contractor shall determine whether the dwelling meets the criteria for a Historic Preservation Review pursuant to subparagraph 8.1.4.7.2, below.

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8.1.4.3 Contractor shall ensure that all dwelling assessments are performed by trained individuals possessing all the required skill and training as specified in Article 9.1, Training Requirements.

8.1.4.4 Contractor shall ensure job separation between staff performing dwelling assessments and the crew personnel responsible for performing the actual installation of weatherization measures. Assessors may not install weatherization measures in the same dwelling where the assessor performed the assessment for weatherization services.

8.1.4.5 If Contractor elects to subcontract with entities outside of CSD's network of contractors / local service providers for the full installation of weatherization measures, the subcontractor performing the installation of weatherization measures shall not perform the dwelling assessment. Contractor shall ensure job separation by using Contractor's staff or another subcontractor to perform the dwelling assessments.

8.1.4.6 Contractor shall provide written documentation or notification to the owner-occupant and the owner of a rental unit or owner's agent and inform the tenant of any significant structural and electrical changes required to complete the weatherization work before the specified work commences.

8.1.4.7 Dwelling Assessment Performance

8.1.4.7.1 Dwelling assessments shall include the following required activities:

8.1.4.7.1.1 The visual assessment of the eligible dwelling to identify safety and structural hazards conditions present within the dwelling that may limit ability to perform any or all the required weatherization services in accordance with CSD weatherization guidelines and terms of this Agreement. Assessor shall disclose all noted safety and structural hazard conditions to the property owner and tenant, where applicable.

8.1.4.7.1.2 The visual inspection and pre-CAS diagnostic testing of all combustion appliances as to identify the presence of combustion appliance safety conditions within the occupied living space and requiring immediate attention and the offering of

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prescribed list of health and safety measures needed to remedy noted conditions.

8.1.4.7.1.3 The visual inspection of the dwelling to identify any structural deficiencies and/or barriers inhibiting the ability for required pressurized diagnostics to occur. Assessor shall also inform client of the various types of diagnostic testing to be performed within the dwelling, including the general nature and benefits of each form of required diagnostic testing.

8.1.4.7.1.4 Completing the DOE Health and Safety form (540G), assessment shall include an occupant health screening to document whether any household members have a pre-existing or potential health conditions that should be taken into consideration before or during weatherization of the residence; hazard identification notification to document hazardous materials or conditions that may affect occupants; radon informed consent that identifies potential risk of increased radon levels when building air tightness levels are improved; and client education about the use of common weatherization materials that may create health effects for occupants.

8.1.4.7.1.5 In conformance with the TRM Appendix D and the CSD 710 Energy Audit/Priority List Checklist, determination of whether the Audit Path or Priority List Path must be followed. When the Audit Path is prescribed, assessment shall include completion of the energy audit by an assessor holding a valid certificate of completion for audits as defined by the TPPM. When the Priority List Path is followed, the assessor must confirm that the unit meets the minimum dwelling criteria based upon the building type.

8.1.4.7.2 Historic Preservation Review of Dwellings

8.1.4.7.2.1 To ensure compliance with Section 106 of the National Historic Preservation Act (54 USCS §§ 300101 et seq., former 16 USCS §§ 470 et seq.), CSD will establish appropriate procedures for

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historic property review standards as outlined by a Programmatic Agreement with the State Historic Preservation Office. The established review standards will be utilized for weatherization activities conducted under the BIL WAP on dwellings that are 45 years or older. For purposes of this Agreement, the historic review shall be known as the Historic Preservation Review.

8.1.4.7.2.2 Contractor shall ensure that a Historic Preservation Review is completed on a dwelling that is either: (1) 45 years or older, (2) located within a historic district, or (3) considered to be of exceptional importance under the National Register Criteria for Evaluation pursuant to 36 CFR § 60.4.

8.1.4.7.2.3 When a dwelling assessment is performed and the dwelling is determined to meet any of the criteria specified in subparagraph 8.1.4.7.2.2, Contractor shall initiate the Historic Preservation Review process pursuant to DOE WAP ARRA No. 010.

8.1.4.7.3 Combustion Appliance Safety (CAS) Diagnostic Testing

8.1.4.7.3.1 The completion of the entire combustion appliance safety (CAS) test is required on all dwellings with combustion appliances.

8.1.4.7.3.2 If it is determined during the CAS test that the dwelling unit contains a condition that is hazardous to the occupants, proper steps must be taken to alleviate the hazard. In these cases, no measures may be installed until the hazard has been corrected.

8.1.4.7.4 If the dwelling unit is not eligible because of the need for extensive repair, the unit shall not be serviced, and the applicant should be referred to the local Housing and Community Development Department or other similar organizations or programs.

8.1.4.7.4.1 Documentation of such ineligibility due to the need for extensive repairs shall be recorded on the CSD Weatherization Deferral (CSD 542).

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

8.1.4.7.4.2 If the applicant can obtain the necessary repairs to make the dwelling unit eligible for weatherization services, weatherization activities may be accomplished following the repair work.

8.1.4.8 Contractor shall ensure the health and safety of weatherization personnel in carrying out activities funded under this Agreement. In the event the weatherization of a dwelling threatens the general health and safety of weatherization field personnel, Contractor shall take measures to ensure the safety of the personnel and thoroughly document the incident(s) utilizing the CSD Weatherization Deferral (CSD 542). The deferral form does not need to be signed by the client where weatherization personnel construe the client or occupants of the dwelling to be threatening and hostile. If unable to get a signature, a certified letter shall be sent to the owner, along with the tenant if the residence is a rental.

8.1.5 Duct and Shell Diagnostic Testing

8.1.5.1 Contractor shall perform shell leakage diagnostic testing only for shell sealing purposes on all single-family and multi-unit building types weatherized under this Contract in accordance with CSD shell leakage testing standards and policies and procedures.

8.1.5.2 Following a determination that no combustion byproduct hazards exist, Contractor shall perform pressure diagnostic guided infiltration reduction using a pre-weatherization shell leakage test.

8.1.5.3 Duct Blaster diagnostic testing shall be required on all dwellings with forced-air systems.

8.1.5.4 Contractor shall ensure that all dwelling diagnostic tests are performed by trained individuals possessing all the required skill and training as specified in Article 9.1, Training Requirements.

8.1.6 Health and Safety Measures

8.1.6.1 Contractor is authorized to mitigate health and safety hazards in accordance with the CSD TRM.

8.1.6.2 Feasible Health and Safety measures shall not be skipped, and feasible Health and Safety measures cannot be removed from the work scope (for client refusal or other reason), or the dwelling shall be deferred.

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8.1.6.3 If a health or safety hazard is found to exist that requires replacing or repairing a combustion appliance, the dwelling shall be served under the Audit Path only or the Health and Safety measure must be fully leveraged with an alternate funding source.

8.1.6.3.1 When the measure will be repaired or replaced with BIL WAP or Annual DOE WAP funds, it is required to conduct an energy audit to determine if the heating, cooling, or water heating appliance would qualify for replacement of a higher efficiency unit as an Energy Efficiency Upgrade (EEU). If the EEU is cost justified with an SIR of 1.0 or greater, the appliance must be replaced as an EEU.

8.1.6.3.2 Only when the EEU replacement is not cost justified and the appliance meets the criteria established in the CSD TRM Appendix E Health and Safety Requirements, shall the appliance be repaired or replaced with Health and Safety funds.

8.1.6.3.3 In addition to meeting the requirements for Health and Safety repairs/replacements above, any cooling appliance repair or replacement shall be allowed only when one or more of the occupants in the dwelling meets the CSD definition of "at-risk" as defined in the CSD TRM Appendix E.

8.1.6.4 Primary Heating and Cooling Appliance Repair and, Replacement, and Installation Services

8.1.6.4.1 Prior to the performance of any heating/cooling service, a qualified technician must perform a diagnostic inspection of the primary heating/cooling appliance to assess operational performance.

8.1.6.4.2 The following guidelines are restricted to occupied SFD and/or MUD units:

8.1.6.4.2.1 Residential heating source that qualifies for repair and replacement services must be a single, pre-existing heating appliance, serving as the dwelling's primary heating source.

8.1.6.4.2.2 A residential cooling source that qualifies for cooling services must be a single, pre-existing cooling appliance, serving as the dwelling's

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primary cooling source, limited to mechanical air conditioners, central and window/wall air conditioners, and evaporative coolers.

8.1.6.4.3 Any and all health and safety heating/cooling appliance services shall be performed in accordance with the following guidelines:

8.1.6.4.3.1 All repair and replacement services are limited to dwellings with pre-existing heating and cooling appliances. An exception to this rule exits, however, for those dwellings without a heating and cooling appliance and there are no means to provide adequate heating and/or cooling during a climatic season that would cause imminent harm to the health and wellbeing of individuals or the household. When no existing primary heating appliance exists, an energy audit is required. When the SIR < 1.0, the appliance shall be installed with Health and Safety funds.

8.1.6.4.3.2 The age of a heating/cooling appliance shall not be used as a basis for replacement.

8.1.6.4.3.3 When repair, replacement, or installation of a primary heating appliance is required in accordance with the policies above but cannot be completed for any reason, the entire dwelling shall be deferred.

8.1.6.4.3.4 Upgrades to heating and cooling appliances for energy efficiency purposes are subject to the energy audit unless required by Title 24.

8.1.6.4.4 Contractor shall repair a defective primary heating appliance when the cost to assess and repair is estimated at less than 50% of the cost of installing a new replacement unit.

8.1.6.4.5 If during repairing the defective unit additional problems are found that would increase the cost of repairs to more than the allowable limit for repair costs, the unit may be replaced.

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8.1.6.4.6 When replacement of a defective primary heating/cooling appliance is performed, Contractor shall perform necessary duct repair and/or replacement services to conform to Title 24 requirements.

8.1.6.5 Secondary Heating Appliance Repair or Removal

8.1.6.5.1 Unsafe secondary heat sources as defined by TRM Section 4 *Heating and Cooling* must be repaired, or removed and disposed of, or dwelling deferral is required.

8.1.6.5.2 Unsafe secondary heating sources cannot be repaired, the appliance must be removed. Appliance abandonment is not allowed.

8.1.6.5.3 Unsafe portable space heaters cannot be repaired and must be removed.

8.1.7 Fuel Switching

Contractor shall not "fuel switch" when replacing furnaces or any other allowable appliance unless an energy audit is conducted in conformance with the CSD TRM Appendix D *Energy Audit/Priority List Protocol* and replacement is cost-justified with an SIR of 1.0 or greater.

8.1.8 Occupant Notification

If, in accordance with the provisions of this article, any notice to an occupant is required, notice shall be in writing and a copy of such notice shall be given to the owner of the unit, when the unit is occupied by a non-owner occupant, or when the unit is vacant.

8.1.9 Natural Disasters

8.1.9.1 When a dwelling that has been damaged by a natural disaster such as fire, flood, earthquake, hurricane, etc., a scope of work shall be submitted to CSD for approval prior to beginning work related to a natural disaster pursuant to the DOE Disaster Relief Plan, which is hereby incorporated by reference to this Agreement and available on the CSD Local Agencies Portal at https://agencies.csd.ca.gov/home/Energy/Documents1/2023%20Annual%20DOE%20WAP%20State%20Plan_Approved_ADA.pdf.

8.1.9.2 The occupant shall be certified as currently eligible, and a dwelling assessment shall be performed.

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8.1.9.3 Contractor may have damages repaired that are within the scope of the weatherization program if the same services will not be paid for or reimbursed by any other source.

8.1.10 Worker Safety

8.1.10.1 Contractors are responsible for ensuring the safety of its weatherization field personnel performing weatherization activities under this Agreement and in accordance with the CSD Health and Safety policies and internal policies of the contract intended to protect the safety of weatherization field personnel.

8.1.10.2 Agencies must ensure that its weatherization field personnel are trained on how to handle situations where weatherization clients and other occupants within a weatherization project display behavior that is construed to be abusive and threatening to weatherization field personnel and their personal safety. Such situations constitute reasons for deferring weatherization services to the dwelling itself and weatherization field personnel must be trained to recognize, deal with, and document threatening situations they encounter while performing weatherization measure installations.

8.1.10.3 Contractors must document such incidents in the CSD Weatherization Deferral Form (CSD 542) and always maintain a copy of the completed form in the client file.

8.2 Quality Assurance

8.2.1 Certification

Contractor, or its designee, shall establish a comprehensive, detailed, and fully documented Quality Control procedure to assess the quality and completeness of Weatherization work performed under this Agreement. Contractor shall document such assurance ed on the CSD Dwelling Assessment Form (CSD 540) and CSD Post Inspection Form (CSD 611 or approved Contractor's equivalent) and the document shall be signed and dated by a certifying Contractor representative.

8.2.2 Post-Weatherization Inspections

8.2.2.1 Contractor shall perform Post-Weatherization Inspections on 100% of the dwellings weatherized under this Agreement. Completed jobs shall not be billed to CSD until a post-inspection has been completed and any inspection fails are resolved.

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8.2.2.2 Post-Weatherization inspections shall be conducted for the purpose of assessing the quality and completeness of performed weatherization services and compliance with CSD weatherization guidelines. The post-inspection shall:

8.2.2.2.1 Verify that all measures were completely installed in accordance with said terms and conditions of this Agreement.

8.2.2.2.2 In addition, installed measures shall be reviewed to determine the absence of any feasible measure not installed and the installation of a measure (non-feasible measure) that may not follow said standards and the terms and conditions of this Agreement.

8.2.2.2.3 Verification that the unit received shell leakage, and duct leakage testing, as applicable.

8.2.2.2.4 Verification that required CAS testing of eligible combustion appliances was performed after completion of combustion appliances to verify the safe operating condition of combustion appliances within the dwelling residence.

8.2.2.2.5 Verification that energy audit and priority list decision was correctly and logically determined in compliance with the TRM Appendix D Energy Audit/Priority List Protocol and DOE Energy Audit Priority Checklist Form (CSD 710), and that the completed CSD 710 form was in the client file.

8.2.2.2.6 Inspector shall confirm that any ECMs as part of the priority list meets the DOE-specific criteria based on building and fuel types, that measures feasibility was accurately reported, ECMs were installed in priority order, and that all required documentation and photographs are contained in the client file.

8.2.2.2.7 Inspector shall confirm that any ECMs installed as part of the energy audit met energy audit improvement results including but not limited to: accurate reporting of dwelling characteristics, confirmation of pre and post blower door and duct testing results were accurately recorded and coincided with the reported data on the CSD 704 Shell Leakage Datasheet and CSD 706 Duct Leakage Datasheet, measured insulation R-values, accurate reported efficiencies and costs of heating/cooling and water heating installations; and that

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the costs billed do not exceed the improvement costs identified in the Improvement Analysis Report.

8.2.2.2.7 Inspector shall retest all diagnostic testing performed in subparagraph 8.2.2.2.3 and 8.2.2.2.4; and

8.2.2.2.8 Inspection of the unit dwelling to ensure that all identified health and safety hazards, whether pre-existing or resulting from the performance of weatherization services, have been successfully remedied.

8.2.2.3 Contractor shall ensure that post-weatherization inspections are performed by a Certified QCI, as provided in Section 9.2 of this Agreement. If Contractor subcontracts Quality Control Inspection services, then Contractor must aggregate weatherization jobs to mitigate the cost associated with performing inspections. The maximum allowable cost of each post-inspection by a subcontractor is as follows:

8.2.2.3.1 Subcontractors awarded a contract through a competitive procurement process shall not exceed the measure maximum per inspection. The inspection rate includes all expenses related to the Certified Quality Control Inspection such as the cost of the inspection, administration, and travel costs of subcontractor.

8.2.2.3.2 Subcontractors, that are part of CSD's network of DOE contractors, with a contract, Memorandum of Understanding, or similar contract with Contractor, not obtained through the procurement process, shall bill actual costs for the Certified Quality Control Inspection and related expenses such as inspector wages, overhead, administration and travel costs of subcontractor. The total cost of all related expenses shall not exceed the measure maximum per inspection.

8.2.2.4 Subcontractors who provide basic weatherization services shall not conduct assessments or inspect dwellings.

8.2.2.5 Contractor shall ensure job separation between staff performing post-weatherization inspection activities and weatherization crew personnel performing the physical installation and performance of weatherization measure services funded under this Agreement.

8.2.2.6 If Contractor elects to subcontract with entities outside of CSD's network of contractors / local service providers for the full installation of weatherization measures, the subcontractor performing the installation

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of weatherization measures shall not perform the post-weatherization inspection activities. Contractor shall ensure job separation by using Contractor's staff or another subcontractor to perform the dwelling post-weatherization inspection.

8.2.2.7 The Certified QCI shall certify the performance of Post Weatherization Inspections of dwelling units by completing and signing Contractor Post-Weatherization Inspection Report (CSD 611). Contractor shall retain a copy of the completed and signed form in the client file.

8.2.3 Third-Party Inspections

8.2.3.1 The State may use a third-party inspector to review and verify that the weatherization activities performed under this Agreement conform to applicable standards and practices.

8.2.3.2 Contractor or a ride-along (designated representative) shall accompany the inspector on client inspection visits and shall provide transportation and equipment to the inspector. When possible, Contractor shall make corrections during the client inspections visits.

8.2.3.3 Contractor agrees to remedy all Nonhazardous Conditions (nonhazardous work deficiencies) noted by the State or its designee within 20 business days of written notification.

8.2.3.4 Contractor must remedy all Hazardous Conditions resulting from weatherization measure installation in accordance with the CSD TRM. Any Hazard Fails that are not remedied within the required timeline of 18 hours will require completion of the Hazardous Correction Work Plan to be completed by the Contractor which includes the reason the hazardous correction cannot be resolved within 18 hours and action that will be taken to resolve the hazard.

8.2.3.5 Contractor must remedy all inspection corrections identified on the Comprehensive Inspection Report including confirmation of correction to CSD's third-party inspector within 20 business days.

8.2.4 Subcontracted Services for Basic Weatherization

8.2.4.1 Contractor who subcontracts basic weatherization services shall submit to CSD for approval a written Weatherization Quality Control Plan for subcontractors. This plan shall include field and fiscal monitoring.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

8.2.4.2 Contractor shall have a minimum of one internal staff member who shall receive the online, classroom and field training coursework required by CSD for a field supervisor.

8.2.5 Noncompliance

8.2.5.1 Where a Fail or a Hazard Fail is identified through inspection, CSD requires the Contractor to correct the issue or comply with the defined consequences of the inspection finding.

8.2.5.2 Contractor shall be subject to the withholding of any or all reimbursements for failure to completely resolve an identified Fail or Hazard Condition in accordance with the CSD TRM. The reimbursement sanction will apply to the next fiscal reimbursement request associated with the program of the weatherized unit(s) in question. The reimbursement sanction will remain in effect until Contractor successfully resolves the Condition and confirms the resolution with CSD and the designated Inspection Contractor. The sanction will apply to all subsequent fiscal reimbursement requests of the primary funding source in question so long as the condition remains unresolved.

8.2.5.3 If it is determined that the Contractor has failed to resolve an identified Hazardous Condition in accordance with the Hazardous Correction Work Plan, CSD may utilize the services of the designated Inspection Contractor to successfully resolve the delinquent Hazardous Condition. Contractor will assume responsibility for costs associated with the use of Inspection Contractor's services. The costs will include labor, materials, and travel equal to the Inspection Contractor's training and technical assistance hourly rate and the total amount will be withheld from the Contractor's next request for fiscal reimbursement.

8.2.5.4 If it is determined that the Contractor has incorrectly billed CSD because a measure was not installed, or the quantity installed is less than the quantity billed, Contractor shall install the billed measure or quantity, if feasible. In cases when a physical remedy is not possible, repayment of the labor and material costs for the non-installed measure or quantity will be withheld from subsequent reimbursements.

8.2.5.5 Contractor will be subject to Special Conditions, in accordance with Article 10.4, if it is determined that one or more of the following conditions exist:

8.2.5.5.1 Contractor has a history of unsatisfactory performance.

ign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

8.2.5.5.2 Identification of one or more Hazardous Conditions in dwellings weatherized by Contractor.

8.2.5.5.3 Failure to remedy an identified Hazardous Condition in a timely manner.

8.2.5.5.4 Substantial number of Nonhazardous Conditions and/or identified trends or patterns of nonconformance to installation criteria.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

ARTICLE 9 – TRAINING, LICENSING AND CERTIFICATIONS

9.1 Training Requirements

9.1.1 CSD's statewide training program, is defined in the CSD Training Policies and Procedures Manual (TPPM).

9.1.2 Contractor shall maintain and make available for reference to Contractor's employees and subcontractors who perform weatherization services, the following foundation documents:

9.1.2.1 CSD TRM.

9.1.2.2 CSD Training Policies and Procedures Manual (TPPM).

9.1.2.3 Other applicable policies and procedures.

9.1.2.4 Official State and Federal Program Notices.

9.1.2.5 Current CSD Field Forms; and

9.1.2.6 Required training materials.

9.1.3 As defined in the TPPM, five field positions describe the types of weatherization duties that field personnel perform and are expected to perform. All weatherization field personnel must be assigned to a field position. Although actual Contractor and subcontractor employee job titles may vary, the CSD-defined field positions in order are Installer, Diagnostic Technician, Assessor, Inspector, and Field Supervisor. Required training for each training path builds incrementally upon the preceding training path(s), creating prerequisite training before the desired training path may begin.

9.1.4 All required training coursework must be successfully completed according to the terms of each course. Certificates of completion shall be issued by the CSD Training Portal upon successful completion of each course and/or training path, unless otherwise noted.

9.1.5 Training Provisions for Staff of Contractor

9.1.5.1 Within three days of the date of hire, Contractor shall ensure field personnel (training candidate) are entered into the CSD Training Portal. Contractor Training Administrator shall determine the intended field position of a training candidate.

gn Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

9.1.5.2 Contractor field personnel shall participate in the courses outlined for their field position within the timelines and as described in the CSD TPPM, Training Table. All courses in a training path must be completed and passed successfully before any candidate can work unsupervised in the capacity of the assigned field position.

9.1.5.3 Contractor field personnel failing to demonstrate appropriate knowledge and skills in a course or training path will be required to complete additional training to enhance deficient skill and knowledge and will be prohibited from performing this activity without appropriate supervision of an employee holding a current certificate in that training path, until the candidate successfully completes the required training and field evaluation (when required).

9.1.5.3.1 Except for the Installer training path, successful completion of this evaluation component by Contractor's personnel is required before a training path certificate may be issued.

9.1.5.4 Supplemental certificates and a DOE WAP-specific adjunct competency certification are required for specific field positions as described in the CSD TPPM Training Table 1.

9.1.5.5 Three years after the completion of training, a CSD-issued training certificate expires. After expiration, a refresher training is required to maintain a training path certificate.

9.1.6 Training Provisions Based Upon Job Duties:

9.1.6.1 For weatherization services performed on pre-1978 units, all Contractor's work crews who perform basic weatherization or specialty services are required to be trained in Lead-Safe Weatherization. This requirement may be met by completing EPA RRP Certified Renovator training (additional information is available in Section 9.6) or through completing the CSD Lead-Safe Weatherization training. No employee of a contractor shall perform work in a pre-1978 dwelling until the required training has been received. All work performed in a pre-1978 dwelling shall be under the supervision of an EPA Certified Renovator.

9.1.6.2 When job duties include basic measure installation, weatherization employees of Contractor shall complete the Installer training path.

9.1.6.2.1 Within 180 calendar days of employment, Installer employees of Contractor shall complete Health and Safety,

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Installer Preparation courses, and Lead-Safe Weatherization Training as defined by the CSD TPPM Training Table 1.

9.1.6.3 When job duties include diagnostic work (i.e., combustion appliance safety, duct leakage testing, and shell leakage testing), Contractor field personnel shall complete the Diagnostic Technician training path. No Contractor field personnel shall perform diagnostic testing without having completed the required prerequisite courses for the Installer training path without supervision by an employee holding the appropriate training path certificate.

9.1.6.3.1 After successful completion of a training path or Diagnostic component course, Contractor field personnel are required to participate in a training center skills evaluation or a monitored field evaluation under the supervision of a third-party training provider to evaluate employee knowledge and skill.

9.1.6.4 When job duties include performing Assessments, field personnel of Contractor shall complete the Assessor training path and the prerequisite courses required for the Installer and Diagnostic Technician training paths. Certificates of Completion shall be issued following successful completion of a field evaluation, which follows completion of all training, and is supervised by CSD or its third-party training provider to evaluate employee skill and knowledge in performing Assessments.

9.1.6.5 When job duties include performing Inspections, field personnel of Contractor who perform Inspections shall complete the Inspector training path. Completion of the Inspector training path also requires completion of prerequisite courses for the Installer, Diagnostic Technician, and Assessor training paths. No Contractor field personnel shall perform Inspections without having completed the required training. Certificates of Completion shall be issued following successful completion of the second phase ("field portion") of the training field evaluation, which follows completion of all training path courses, and is supervised by CSD or its third-party training provider to evaluate employee skill and knowledge in performing Inspections.

9.1.6.5.1 After successful completion of the field evaluation, and prior to performing any BIL WAP inspections, Contractor field personnel performing Inspections are required to apply for and participate in certification examinations from the Building Performance Institute (BPI) for the Energy Auditor

gn Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

and Quality Control Inspector adjunct competency. See Article 9.3.

9.1.6.6 When job duties include performing supervision of Contractor field personnel, these Contractor field personnel shall complete the Field Supervisor training path. Completion of the Field Supervisor training path also requires completion of prerequisite courses for the Installer, Diagnostic Technician, Assessor, and Inspector training paths. No field personnel of Contractor shall perform Field Supervision duties without having completed the required training. Certificates of Completion shall be issued following successful completion of Field Supervisor training.

9.1.7 Training Provisions for Staff of Subcontractors

9.1.7.1 Subcontractors are subject to separate training requirements. Contractor is responsible for ensuring subcontractor workforce is competent in the weatherization work for which they are subcontracted. All subcontractor required trainings are defined in the CSD TPPM, Training Table 2. Based upon the type of work the subcontractor will perform, all courses in a training path must be completed and passed successfully.

9.1.7.2 Training and technical assistance funds may be used to train Contractor's subcontractors participating in the program. In making the determination to pay for subcontractor training, Contractor should secure a retention contract in exchange for the training. The subcontract agreement should stipulate that the subcontractors will work in the program, for a minimum of 12 months. The training costs are limited to travel, admission to training (when applicable), and for course materials.

9.1.7.3 Within three days of the date of hire, Contactor shall enter subcontractor field personnel into the CSD Training Portal. Contractor Training Administrator shall assign the intended field position of a training candidate.

9.1.7.4 When a subcontractor's work includes diagnostic testing, courses and skills evaluations for the Diagnostic Technician field position must be completed before diagnostic work may be performed.

9.1.7.5 If subcontractor training is not yet completed, agency personnel who have successfully completed the Diagnostic Technician training path may perform diagnostic testing in lieu of the subcontractor.

9.1.7.6 Supplementary certificates and a DOE WAP-specific adjunct competency certification are required for the Inspector training path as described in the CSD TPPM Training Table 2 (provided on the LAP).

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

To perform inspections, the QCI adjunct competency shall be completed.

9.2 Training Transition Plan

9.2.1 As older CSD training requirements transition to the TPPM courses beginning June 1, 2023, CSD will work closely with Contractor and subcontractors to categorize existing employees into the required training paths and establish training courses for new field personnel in accordance with the CSD TPPM.

9.2.2 Transition requirements will be based on the individual field worker's hire date and assigned field position as determined by Contractor Training Coordinator, and according to the CSD TPPM, Training Transition Table (excerpted, and provided on the LAP).

9.2.3 In accordance with the TPPM Training Transition Table, field personnel hired before a specified transition date, having already completed specified trainings prior to the transition date, will not be required to complete additional training. They will be issued a training path certificate for the field position for which they qualify. This training path certificate will be valid for three years from the transition date.

9.2.3.1 Field personnel hired on or after the transition date will be required to complete all prerequisites and courses defined by the TPPM for the assigned training path.

9.2.3.2 As long as Contractor's and/or subcontractor's employee's training path certificate is kept in good standing with no quality assurance findings, a training path certificate may remain valid for three years. After that period, a refresher training will be required for the certificate to be retained.

9.2.4 As network-wide training needs continue to be assessed and evolve, training requirements defined in the TPPM may be adjusted by CSD, with all change(s) communicated to Contractor and subcontractors in writing and with at least 30-day notice before implementation.

9.3 Quality Control Inspectors Certification

9.3.1 Quality Control Inspectors (QCI) working for, or contracted by, Contractor must possess the knowledge, skills, and abilities in the National Renewable Energy Laboratory (NREL) Job Task Analysis for QCIs. This applies to all individuals who perform final inspections under the BIL WAP.

gn Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

9.3.2 Staff that have successfully passed the BPI QCI Certification exam and received a certificate will be eligible to conduct final inspections. As a micro-credential, prior successful completion of the BPI Energy Auditor certification also will be required.

9.3.3 Certified QCIs can be employed by third party organizations or weatherization Contractors that possess the required BPI Quality Control Inspector Certification.

9.3.4 The Quality Control Certification identification number of the QCI providing the post-inspection shall be identified on the Agency Post Inspection Report (CSD 611).

9.4 Contractor Licensing

Contractors, unless otherwise exempt, or their subcontractors who perform basic weatherization services under this Contract shall comply with the TRM and following licensing requirements:

9.4.1 Possess and maintain an active Class "B" General Building Contractor license, issued by the Contractors State License Board (CSLB) in the name of the Contractor/qualifying individual.

9.4.2 Fulfill the requirements of and receive certification pursuant to the Toxic Substances Control Act, Section 402 (15 USC § 2601 et seq.; 40 CFR § 745.226 & 227).

9.4.3 Contractor, unless otherwise exempt from the licensing requirement, shall upload, and maintain a copy of the current Class "B" CSLB license into the CSD Training Portal.

9.4.4 Contractor is responsible for ensuring that all subcontractors have an active license and are in good standing with CSLB for the duration of the subcontract; and

9.4.5 Contractor shall immediately notify CSD when any changes in licensing occur.

9.5 Special Licensing - Weatherization

9.5.1 Special licensing may be required for the installation and/or repair of Evaporative Cooler, Cook Top and Range, Vented Space Heater, Air Conditioning, and Gas and Electric Water Heaters, if two or more weatherization measures are not installed in a single unit. Electrical wiring upgrade/replacement and knob and tube wiring certification will always require a C-10 license.

9.5.2 Specialty subcontractor shall possess all applicable licenses as required by the CSLB to carry out installation and/or repairs. Specialty licensing is required for

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specific measures and includes C-10 Electrical Contractor (including electrical wiring upgrade/replacement and knob and tube wiring certification); C-20 Warm-Air Heating, Ventilation and Air-Conditioning Contractor; C-36 Plumbing Contractor; C-46 Solar Contractor; C-47 Mobile Home Contractor; and D-65 Weatherization Energy Conservation.

9.6 Environmental Protection Agency (EPA) Certifications

9.6.1 All contractors providing services utilizing in-house crews shall be certified as an EPA Certified Firm in accordance with EPA's Renovation, Repair and Painting Program requirements (40 CFR Part 745). Contractors who subcontract all their weatherization services are required to be certified and shall have at least one EPA Certified Renovator on staff for subcontractor oversight purposes.

9.6.2 Contractor shall ensure that all subcontractors whose work potentially disturbs lead paint are EPA Certified Firms and have EPA Certified Renovators on staff.

9.6.3 Any contractor without the required certification will not be allowed to perform weatherization services.

9.7 Additional Mandatory Training

Contractor must participate in mandatory training such as eligibility start-up training, TRM-specific trainings, contract review webinars, monitoring trainings, and other trainings CSD deems mandatory. CSD will notice Contractor with a minimum of 10 business days prior to these training opportunities via announcement posted on the LAP.

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BIL DOE WAP
Standard Agreement – Production

ARTICLE 10 – COMPLIANCE POLICIES AND PROCEDURES

10.1 Right to Monitor, Audit, and Investigate

10.1.1 Contractor shall comply with any duly authorized representative of the federal or state government, which includes but is not limited to the DOE, federal offices of inspectors general, the State Auditor, CSD staff, and any entity selected by CSD to perform inspections and/or investigations. Contractor shall comply with DOE and CSD requests to monitor and audit Contractor and all subcontractors providing services under this Agreement through on-site visits, audits, and any other appropriate means as DOE and CSD deem necessary.

10.1.1.1 For purposes of ensuring full compliance with the BIL WAP, CSD may initiate special audits, monitoring visits and requests for program-related information, which Contractor shall provide and/or accommodate in a timely fashion.

10.1.1.2 Should Contractor fail to assist and cooperate with CSD in its oversight functions, or should CSD determine Contractor has not met its obligations under this Agreement, the Parties agree to the following:

10.1.1.2.1 CSD may issue a written, detailed finding and directive, advising Contractor of its failure to meet its obligations, which directive shall specify a date, within a reasonable period, given the urgency and time constraints associated with BIL WAP, in which Contractor must be in full compliance with the directive.

10.1.1.2.2 Should Contractor fail to comply with the CSD finding and directive, CSD may suspend BIL WAP payments to Contractor as provided herein until such time as Contractor complies.

10.1.1.2.3 Should Contractor dispute CSD's finding, it shall within 15 days of receipt of the finding deliver a written rebuttal to CSD which CSD shall evaluate and respond to within ten days, stating whether the finding shall be revoked, amended, or enforced.

10.1.1.3 Any suspension of BIL WAP payments as provided above shall be conditioned upon CSD providing the Federal funding agency with copies of its finding(s) and directive(s) together with Contractor's rebuttal(s).

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

10.1.1.4 Should the Federal funding agency investigate or review, the payment suspension shall be in force until such time as the Federal funding agency affirms, recommends, or compels reversal of CSD's finding(s).

10.1.1.5 Contract status and payment obligation disputes which are not resolved to the mutual satisfaction of the Parties through the procedures specified above, shall be resolved in accordance with procedures established for the standard (non-BIL WAP) CSD programs under applicable Federal and State law, provided CSD may, at its option, withhold BIL WAP payments until final resolution of the dispute.

10.1.2 Contractor shall comply with any duly authorized agent or representative of the federal or state government that is undertaking an investigation in accordance with 42 USC § 6866 and 10 CFR § 440.23, as amended.

10.1.3 DOE Monitoring Notice. DOE may monitor or audit Contractor's administration of BIL WAP at any time, including through on-site visits and technical assistance visits, and with little or no prior notice to CSD or Contractor. Contractor shall comply with all DOE informational requests in connection with the monitoring or audit, as well as WPN BIL 23-4: DOE Monitoring of BIL in WAP.

10.1.4 Contractor shall, upon reasonable notice, make available all information and materials reasonably necessary for CSD to substantiate to its satisfaction that expenditures incurred under this Agree are allowable and allocable, including, but not limited to files, books, documents, papers, and records. Contractor agrees to make such information and materials available to the federal government, the State, or any of their duly authorized agents or representatives, for purpose of examination, copying, or mechanical reproduction, on or off the premises of the subject entity.

10.1.5 All agreements entered by Contractor with audit firms for purposes of conducting independent audits under this Agreement shall contain a clause allowing CSD or any duly authorized agent or representative of the federal or state government timely access to the working papers of the audit firm(s).

10.2 Auditing Standards and Reports

10.2.1 Auditing Standards

10.2.1.1 Applicability. The standards set forth 2 CFR 200 Subpart F, Audit Requirements, are hereby incorporated by reference.

10.2.1.2 Supplemental Audit Guide. In addition to the audit requirements specified above, Contractor must follow the most current CSD

gn Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

Supplemental Audit Guide, incorporated into this Agreement by reference in the Table of forms and Documents Incorporated by Reference. The Supplemental Audit Guide may be accessed at https://agencies.csd.ca.gov/home/Energy/Pages/Resources.aspx.

10.2.2 Audit Reports

10.2.2.1 Funds provided under this Agreement shall be included in an audit conducted in accordance with the provisions of 2 CFR Part 200 Subpart F – Audit Requirements (§§ 200.500-521), standards promulgated by the American Institute of Certified Public Accountants (AICPA), and those standards included in the U.S. Government Accountability Office's "Government Auditing Standards, December 2011 Revision," as amended.

10.2.2.2 Organizations below audit threshold. Contractors falling below the federal funding threshold that mandates a single audit may be subject to an audit and/or other fiscal- or program-specific review conducted by [illegible] upon 10 calendar days written notice.

10.2.2.3 The financial and compliance audit report shall contain the following supplementary financial information: a Schedule of Expenditures of Federal Awards (SEFA) in accordance with 2 CFR § 200.510(b). All DOE contracts shall be reported separately on the SEFA. In addition, a Supplemental Statement of Revenues and Expenditures (SSRE) for each contract that presents, by budget line item and fiscal year, revenue and expenditures for the audit period and a description of the methodology used to allocate and claim indirect costs and any administrative cost pools must be provided.

10.2.3 Submission of Audit Reports. Contractor shall submit to CSD one electronic copy of the required audit report(s) and any management letter(s) issued by the accountant, within the earlier of 30 calendar days after receipt of the auditor's report(s), or nine months after the end of the Contractor's fiscal year.

10.2.4 Failure to File IRS Form 990 for Tax-Exempt Organizations. If Contractor fails to file Form 990 timely, Contractor must provide:

10.2.4.1 Evidence of an extension request with an estimated timeframe for submission; or

10.2.4.2 An explanation of why Contractor does not plan to file Form 990.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

10.2.5 The audit report(s) and all supplemental financial information must be submitted to the following addresses:

Electronic copy:
audits@csd.ca.gov.

Upon receipt of the audit report, CSD's Audit Services Unit (ASU) will send a confirmation email within ten business days. Contractor should verify receipt of ASU's confirmation email to ensure its single audit was received.

10.2.6 Failure to Comply with Audit Reporting Requirements

If Contractor fails to comply with Federal statutes, regulations or the terms and conditions of this Agreement, CSD may impose additional conditions, as described in 2 CFR § 200.208. If CSD determines that noncompliance cannot be remedied by imposing additional conditions, CSD may take one or more of the following actions, as appropriate in the circumstances, as provided in 2 CFR § 200.339 – § 343, Remedies for Noncompliance:

10.2.6.1 Temporarily withhold cash payments pending correction of the deficiency by Contractor or more severe enforcement action by the Federal awarding agency.

10.2.6.2 Disallow (that is, deny both use of funds and any applicable matching credit for) all or part of the cost of the activity or action not in compliance.

10.2.6.3 Wholly or partly suspend or terminate the Federal award.

10.2.6.4 Recommend that suspension or debarment proceedings as authorized under 2 CFR Part 180, be initiated by the Federal awarding agency.

10.2.6.5 Withhold further federal awards for the program; or

10.2.6.6 Take other remedies that may be legally available.

10.2.7 Collection of Disallowed Costs

10.2.7.1 If Contractor challenges questioned costs and submits complete and accurate information or documentary evidence in support of the allowability of questioned costs CSD shall, after consideration of Contractor's submission, issue a final TR, no later than 30 calendar days after receipt of Contractor's information or documentation. If questioned costs are determined to be owning, ASU shall notify CSD's Fiscal Accounting Services Unit (FASU) to send an invoice. Contractor will

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tender payment to FASU or respond with a repayment plan acceptable to FASU.

10.2.7.2 All statements, notices, responses and demands issued in accordance with Article 10.2.7 shall be in writing.

10.2.7.3 CSD may, at its discretion, reasonably extend the time periods allowed for responses specified in this Section 10.2.7.

10.3 Compliance Monitoring

10.3.1 Contractor shall substantiate that all costs claimed pursuant to this Agreement are allowable and allocable under all applicable federal and state laws. To be entitled to reimbursement, Contractor shall trace all allowable costs to the level of expenditure, to include providing supporting documentation reasonably necessary to substantiate the validity of such claim.

10.3.2 Contractor shall ensure funds allocated are expended for the purposes identified in Federal Law and for allowable and allocable costs under the applicable rules of the Code of Federal Regulations.

10.3.3 Contractor shall comply with CSD's on-site or in-house visits and follow-up monitoring to ensure that Contractor meets the performance benchmarks, administrative standards, financial management requirements, and other requirements of the federal program.

10.3.3.1 Monitoring during Ramp-Up Period. Contractor's failure or inability to perform ramp up services, such as failure to conduct activities in accordance with its Ramp-Up Plan, may be cause for denial of further allocations, contract suspension, disqualification from BIL WAP, and other legally available remedies, including initiating the Enforcement Process. Should Contractor's failure to perform under the Ramp-Up Agreement result in contract termination, Contractor shall repay its full allocation upon request from CSD. The Hearing contemplated in Article 10.4 is inapplicable for recovery stemming from termination of the Ramp-Up Agreement.

10.3.3.2 Monitoring during Production Period. Contractor's failure or inability to perform services, such as failure to conduct activities in accordance with its BIL WAP Production Plan, may be cause for denial of further allocations, contract suspension, disqualification from BIL WAP, and other legally available remedies, including initiating the Enforcement Process. Should Contractor's failure to perform under the Production Agreement result in contract termination, Contractor shall repay its full

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allocation upon request from CSD. The Hearing contemplated in Article 10.4 is inapplicable for recovery stemming from termination of the Production Agreement.

10.3.3.3 CSD reserves the right to review Contractor's submission of monthly EARS reports. Failure to submit timely or compliant EARS reports may be interpreted by CSD as noncompliance with Contractor's Ramp-Up or Production Plan or this Agreement.

10.3.3.4 Contractor's failure or inability to achieve performance benchmarks, such as failure to conduct activities in accordance with its Production Plan, may be cause for denial of further allocations, contract suspension, or contract termination. Contract termination shall be in accordance with 1.3.2.3 and fiscal and other Contractor obligations referenced under Section 2.2 – Contractor's Option of Termination.

10.3.4 In accordance with the Uniform Guidance (2 CFR § 200.337), Contractor shall cooperate with CSD program and audit staff and other representatives and provide access to all programs, records, documents, resources, personnel, inventory, and other things reasonably related to the administration and implementation of the services and activities funded directly or indirectly by this Agreement. To the extent Contractor maintains records and documents in an electronic format, Contractor must make such records and documents readily available to CSD program and audit staff and other representatives: 1) for review on an appropriate electronic device provided by Contractor; and/or 2) for reproduction in electronic and/or hard copy format, as is necessary to affect the purposes of this paragraph. To realize the objectives of this subparagraph and to ensure that the integrity of the program, the proper expenditure of grant funds, and to prevent fraud, waste, abuse, and unjust enrichment, whether by design or inadvertence, Contractor shall cooperate with CSD as follows:

10.3.4.1 Upon request, provide a list of clients, jobs or properties to or for which DOE WAP services have been provided by Contractor, and to or for which Contractor has provided related services under other federal, State or non-governmental programs such as, but not limited to, public and private utility company programs, collectively "Associated Programs."

10.3.4.2 With respect to such list of clients, jobs, or properties, provide CSD and/or the investigative entities or persons referenced in Article 10.1, access to client files or similar records and documents of the Associated Programs for the purpose of determining whether related services have been provided that result in duplicate billings or any violation of federal or State law, this Contract, or applicable federal and/or State DOE WAP guidelines.

ign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

10.3.4.3 For purposes of this Section 10.3.4:

10.3.4.3.1 "Duplicate billing" is defined as receiving reimbursement from more than one funding source for the same expenditures or costs, whether in whole or in part, that Contractor incurs in connection with rendering a service to or for a client, job, or property, resulting in a total reimbursement to Contractor, from all sources, in excess of actual expenditures or costs incurred.

10.3.4.3.2 To the extent necessary to realize the objectives of this article, the term "Contractor" includes any subcontractor or agent of Contractor in possession of the files, records, or documents or other information bearing on related services under any relevant Associated Program.

10.3.4.4 It is understood that Contractor has no obligation to provide access to the client files, records, and documents of an Associated Program when no DOE WAP services have been provided and the client, job, or property is not required to be on the list furnished to CSD by Contractor, as provided herein.

10.3.4.5 In the event Contractor is unable to comply with the provisions of subparagraphs 10.3.9.1 or 10.3.9.2 because of restrictions placed on Contractor by law in connection with an Associated Program, or restrictions imposed on Contractor pursuant to a binding written contract between Contractor and the funding source of such Associated Program, then Contractor shall so inform CSD by written declaration and provide supporting documentation for such declaration. Contractor shall, together with any declaration made, certify to CSD in writing that:

10.3.4.5.1 Contractor has not submitted duplicate billings to both DOE WAP and Associated Program.

10.3.4.5.2 Contractor has not otherwise engaged in similar actions in violation of federal or state law.

10.3.5 CSD will host a File Transfer Protocol (FTP) Server and provide Contractor with specifications, documentation and sample of FTP file configurations screens, as necessary, to enable Contractor to use the FTP Server to upload client files, records and documents. Contractor shall submit client files, records and documents via the FTP to allow CSD to complete an in-house review.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

10.3.6 In the event that CSD determines that Contractor is not in compliance with material or other legal requirements of this Contract, CSD shall provide the observations, recommendations, or findings and request for a corrective action plan to Contractor in writing. Contractor shall submit to CSD a specific action plan for correcting the noncompliance.

10.3.7 Collection of Disallowed Costs

10.3.7.1 In the event questioned costs are identified in a final decision on cost disallowance issued by CSD, Contractor shall comply with any demand for repayment, as specified in such final report.

10.3.7.2 Time for response. Contractor shall have no less than 30 calendar days from receipt of the final decision to tender payment to CSD or, alternatively, to provide CSD with complete and accurate information or documentary evidence in support of the allowability of questioned costs.

10.3.7.3 Notice after review of further supporting evidence. If Contractor challenges questioned costs and submits complete and accurate information or documentary evidence in support of the allowability of questioned costs as provided above in subparagraph 10.3.5.2, CSD shall, after consideration of Contractor's submission, accordingly, issue a revised Notice of Disallowed Costs, if any, no later than 30 calendar days after receipt of Contractor's information or documentation. Contractor shall have 15 calendar days from receipt of such Notice to tender payment or a repayment plan acceptable to CSD. In the alternative, Contractor may request a hearing in accordance with Article 10.4, subparagraph 10.4.5.5 of this Agreement, for CSD's final determination of disallowed costs.

10.3.7.3.1 All statements, notices, responses and demands issued in accordance with this paragraph shall be in writing.

10.3.7.3.2 CSD may, at its discretion, reasonably extend the time periods allowed for responses specified in this paragraph.

10.4 Enforcement Process - Noncompliance with Requirement of this Agreement

10.4.1 Tax-Exempt Status Requirement

Nonprofit charitable organizations must maintain their 501(c)(3) tax-exempt status as a requirement for continued DOE grant reimbursements and participation under the Agreement. All 501(c)(3) contractors shall notify CSD within one (1) business day upon revocation of their tax-exempt status and cease all work

ign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

performed under this Agreement. CSD will halt all payments to Contractor while its nonprofit, tax-exempt status is revoked. Work performed prior to the revocation, but billed after such notice is received, shall be timely reimbursed to the Contractor. In addition, CSD may take additional enforcement steps consistent with federal and state law and this Agreement.

10.4.2 General

The authority for CSD Enforcement Actions, as defined in paragraph 10.4.3, for cost disallowances/ recovery of misused funds, and for de-designation of eligible entity status (collectively "Enforcement Process") is found in the Code of Federal Regulations, and in state regulations, with reference to 22 CCR §100875. To facilitate compliance with the cited authorities, the Parties agree that the present article: 1) shall guide, inform, and clarify the Enforcement Process; 2) shall establish the procedures to be followed; and 3) establish the rights and obligations of the parties with respect to the Enforcement Process, for purposes of implementing the principles set out in the applicable legal authorities.

10.4.3 Enforcement Action "High Risk" Determination and Notice

10.4.3.1 If CSD determines that Contractor is not financially stable and that Contractor's financial condition is so tenuous that its ability to implement this Agreement is seriously compromised, or if CSD determines that Contractor has not complied with the requirements of this Agreement and that Contractor's noncompliance constitutes a material breach of the Agreement, CSD may initiate an Enforcement Action. For purposes of this article, "Enforcement Action" means the imposition of any of the following: a) special conditions and/or sanctions; b) a determination of cost disallowance; c) contract suspension; d) contract termination; or e) termination of Contractor's service provider status.

10.4.3.2 To initiate an Enforcement Action, CSD must provide Contractor with written notice of "high risk" designation, setting forth: 1) the factual and legal basis for the determination of noncompliance, upon which the "high risk" designation is based; 2) the corrective action(s) required; and 3) the date by which the corrective action(s) must be taken and completed.

10.4.3.3 For purposes of this article, "material breach" means any act or omission by Contractor that is in contravention or disregard of Contractor's duties and obligations under the terms of this Agreement and under applicable State and federal law, which act or omission:

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

10.4.3.3.1 Constitutes fraud or gross negligence by Contractor or its agent(s).

10.4.3.3.2 Is likely to result in significant waste and/or abuse of federal funds.

10.4.3.3.3 Has a significant adverse impact on Contractor's ability to meet its administrative, financial, or programmatic duties and obligations over the term of the Contract or a significant portion thereof.

10.4.3.3.4 Violates or otherwise disregards significant program guidance and other requirements of the Federal Government, whether issued directly or through CSD.

10.4.3.3.5 May have serious adverse effects and consequences on the Contractor's customers, employees, subcontractors, creditors, suppliers, vendors, or other stakeholders; or

10.4.3.3.6 May otherwise significantly and adversely affect the viability, effectiveness, or integrity of the program.

10.4.4 Special Conditions and Sanctions

10.4.4.1 "High risk" designation may include the imposition of Special Conditions, Sanctions and/or other special requirements with respect to Contractor's performance. CSD may impose Special Conditions and/or Sanctions upon a determination that such steps are reasonably necessary to address acute financial instability or a material breach of contract, as defined in paragraph 10.4.3, above.

10.4.4.2 Notice of Special Condition(s) and/or Sanction(s) shall be in writing and shall become effective on the date specified in the notice. Notice must contain the following information:

10.4.4.2.1 The nature of the Special Condition(s) and/or Sanction(s) being imposed.

10.4.4.2.2 The reason(s) for imposing Special Condition(s) and/or Sanction(s); and

10.4.4.2.3 The corrective actions that must be taken and the time allowed for completing them before CSD removes the Special Condition(s) and/or Sanction(s).

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

10.4.4.3 Special Conditions may include, but are not limited to:

10.4.4.3.1 Obtaining training and/or technical assistance.

10.4.4.3.2 The imposition of special or additional reporting requirements.

10.4.4.3.3 Special or conditional cost reimbursement requirements and procedures.

10.4.4.3.4 The provision of documentation by Contractor; and/or

10.4.4.3.5 The requirement to amend or modify systems, procedures, and/or policies.

10.4.4.4 Sanctions may include, but are not limited to:

10.4.4.4.1 The suspension of advances and/or reimbursements; and/ or

10.4.4.4.2 The issuance of stop-work orders.

10.4.4.5 Sanctions may not be imposed without a hearing being first held in accordance with applicable regulations, *unless* CSD reasonably determines based on credible information that:

10.4.4.5.1 Substantial sums to be paid to Contractor have been or will be used in violation of law or the provisions of this Agreement, or

10.4.4.5.2 The associated costs are otherwise very likely to be disallowed; and

10.4.4.5.3 If Sanctions are not immediately imposed, taxpayer dollars are at significant risk and are unlikely to be recovered.

10.4.4.6 Review of Special Conditions and/or Sanctions.

10.4.4.6.1 If Contractor elects to contest the action to impose Special Conditions and/or Sanctions, Contractor shall have five business days following receipt of Notice of Enforcement Action in which to show cause, in writing, why the Special Conditions or Sanctions should not be enforced.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

10.4.4.6.2 CSD shall have five business days following receipt of Contractor's response to accept or reject Contractor's objection and to state in writing the consequences of the decision and Contractor's obligations going forward, if any.

10.4.4.6.3 Contractor may, within five business days of receipt of Notice of Enforcement Action, request an informal meeting for the parties to consider the merit of the Notice and to discuss alternative courses of action, which meeting CSD may agree to if, in its sole judgment, it determines the meeting would be helpful to the process, can be held expeditiously, and will not unduly cause delay or otherwise increase the risk of loss of taxpayer dollars.

10.4.4.6.4 Contractor may, at any time, request in writing that CSD initiate the contract suspension or contract termination processes, to include the requisite hearings, as set out in 22 CCR § 100875.

10.4.4.6.5 Should Contractor fail to show cause why the Enforcement Action should not go forward, or should Contractor fail to request that CSD initiate either the contract suspension or termination processes, CSD may initiate such action upon its own motion.

10.4.4.6.6 Special conditions and sanctions shall remain in effect until the hearing procedure is completed, provided, with respect to sanctions, CSD reasonably determines that subparagraph 10.4.4.5 applies.

10.4.5 Cost Disallowance

10.4.5.1 If Contractor's non-compliance with the terms of this Agreement results in an enforcement action, and if CSD determines that Contractor's non-compliance has resulted in questioned costs, CSD shall provide Contractor with a Statement of Questioned Costs along with the Notice of Enforcement Action, or at such later time in the Enforcement Process as questioned costs have been identified.

10.4.5.2 The Statement of Questioned Costs shall include:

10.4.5.2.1 A description of the costs questioned and the specified amount by type or category of costs.

Sign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

10.4.5.2.2 The reason the costs are questioned, and the information and/ or documentation required to justify payment of the costs; and

10.4.5.2.3 The timeframe and procedures for Contractor's submission of the required information or documentation to CSD.

10.4.5.3 If CSD determines that more information is required before a Statement of Questioned Costs can be issued or before a final determination of cost disallowance can be made, CSD may conduct an investigative audit of Contractor's records, files, and books of account, or retain an audit firm for such purpose. Contractor agrees to cooperate fully in any audit conducted and to ensure that Contractor's agents, accountants, and subcontractors cooperate in the performance of such audit. A report of any audit conducted shall be shared with Contractor, who shall be given ample opportunity to respond to findings and to submit information and documentation in support of the response. If Contractor fails to cooperate in the conduct of an audit, initiated pursuant to this subparagraph, CSD may either impose sanctions, as provided in subparagraph 10.4.4.4 or, if feasible, issue a Notice of Disallowed Costs.

10.4.5.4 After CSD has considered any information and/ or documentation submitted by Contractor in response to a statement of questioned costs or in response to an investigative audit report, CSD shall issue a Notice of Disallowed Costs, which notice shall include:

10.4.5.4.1 The amount of disallowed costs to be repaid, if any; and

10.4.5.4.2 The date by which repayment must be made or, in the alternative,

10.4.5.4.3 The date by which Contractor must submit a proposed repayment plan for consideration by CSD.

10.4.5.5 Before the expiry of five business days after receipt of a Notice of Disallowed Costs, Contractor may challenge the Notice of Disallowed Costs by requesting a hearing, conducted in accordance with the procedures set out in 22 CCR § 100875, for the purpose of adjudicating the matter of cost disallowance, provided however that either Contractor or CSD may opt to adjudicate other pending Enforcement Action matters, as provided in subparagraph 10.4.4.6.4 of this section, in a combined proceeding.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

10.4.5.6 If Contractor fails to request a hearing to adjudicate cost disallowance, as provided in subparagraph 10.4.5.5, the Notice of Disallowed Costs shall be deemed final, and Contractor shall comply with the provisions of the present Paragraph 10.4.5.

10.4.5.7 Contractor will not be deemed to have complied with a Notice of Disallowed Costs until repayment is made or CSD has approved a repayment plan. In determining the acceptability Contractor's repayment plan, CSD shall take into consideration such factors as, but not limited to:

10.4.5.7.1 Federal requirements or conditions applicable to the grant(s) under which the disallowed costs were funded.

10.4.5.7.2 The exigencies of the grant program and CSD's ability to reallocate the funds repaid or otherwise dispose of the funds in accordance with applicable law.

10.4.5.7.3 The risk of being unable to recover funding and the options for securing Contractor's repayment obligation; and

10.4.5.7.4 Contractor's financial condition and ability to pay.

10.4.6 Contractor shall remain on "high risk" until CSD reasonably determines that Contractor has complied with the requirements of the Notice of "High Risk" Designation, including verification by CSD that corrective measures have been implemented, that all conditions have been met and that disallowed costs have been repaid or, alternatively, that CSD has deemed Contractor's repayment plan to be acceptable and Contractor has demonstrated it is in compliance with the plan. Upon determination that Contractor has complied with the requirements of the Notice of "High Risk" Designation, CSD shall give Contractor written notice of such determination.

10.4.7 In the event Contractor's non-compliance with the terms and conditions of this Agreement are not remedied through imposition of special conditions, and/or sanctions, thereby enabling CSD to remove "high risk" designation, CSD may initiate further Enforcement Actions involving Contract Suspension, Contract Termination and Termination of service provider status, which shall be initiated and conducted in accordance with the applicable provisions found in 22 CCR § 100875 and other applicable State and federal statutes and regulations.

10.4.8 Lien rights. The State retains lien rights on all funds advanced.

Sign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

10.5 Service Delivery and Expenditure Requirement

10.5.1 Service Delivery and Expenditure of Funds

10.5.1.1 Contractor shall be afforded maximum flexibility and control, within the parameters of federal law, in the planning, administration, and delivery of BIL WAP services. Regardless of the modalities and techniques utilized, Contractor shall: a) Ensure that the maximum numbers of persons are served consistent with the effective and efficient service delivery under program requirements and applicable law; and b) Fully expend program funds as required within the defined Period or Phase during the Contract term.

10.5.1.2 Failure to expend funds, weatherize units, and provide services to readily available units occupied by qualified applicants as detailed in BIL WAP Production Plan, TRM and TPPM except for compelling reasons beyond Contractor's control and determined by CSD to justify the Contractor's explanation, shall be deemed evidence of breach of contract and may constitute grounds for "high risk" designation and the applicable remedies as provided in Article 10.4, "Enforcement Process Noncompliance with the Requirements of this Contract." Such failure of performance may, in accordance with the provisions of this Article, result in a reduction in Contractor's grant allocation and the redistribution of unexpended funds.

10.5.2 Contractor Performance Benchmark and Reporting Requirements

10.5.2.1 Contractor shall submit timely expenditure reports, that allow CSD to evaluate Contractor's compliance with required performance benchmark levels. Based upon these reports, CSD may determine that Contractor has not met its expenditure and unit minimum benchmarks as Contractor detailed in Production Plan and is thus out of compliance with this Contract. CSD may reduce or eliminate Contractor's grant allocation for Production Period – Phase 3 if Contractor is out of compliance and has not met minimum performance benchmarks.

10.5.2.2 Should the Contractor's actual expenditure and unit trend indicate the Contractor is unlikely to meet the performance benchmark requirements indicated in Article 1.3 and as detailed in Contractor's BIL WAP Production Plan, CSD may, at its sole option, notify Contractor in writing that Contractor's total allocation, including capped budget items, shall be reallocated. Notice of such action shall be issued within 30 calendar days after Contractor's performance benchmark period as noted in Section 10.5.2.1.

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BIL DOE WAP
Standard Agreement – Production

ARTICLE 11 – FEDERAL AND STATE POLICY PROVISIONS

11.1 Certifications

11.1.1 Contractor's signature affixed to the Agreement shall constitute a certification that to the best of its ability and knowledge it will, unless exempted, comply with the provisions set forth in the following:

11.1.1.1 Contractor Certification Clauses (CCC 04/2017)

11.1.1.2 Safeguarding Access to State Data (Department of Finance, Budget Letter 04-35)

11.1.1.3 Safeguarding Against and Responding to a Breach of Security Involving Personal Information (Office of Information Security and Privacy Protection, Management Memo 08-11).

11.1.2 The above documents are hereby incorporated by reference into this Agreement. To access these documents, please visit the CSD LAP website at https://agencies.csd.ca.gov/home/Energy/Pages/Resources.aspx.

11.1.3 Executive Order N-6-22 – Russia Sanctions. On March 4, 2022, Governor Gavin Newsom issued Executive Order N-6-22 (the EO) regarding Economic Sanctions against Russia and Russian entities and individuals. "Economic Sanctions" refers to sanctions imposed by U.S. government in response to Russia's actions in Ukraine, as well as any sanctions imposed under state law. The EO directs state agencies to terminate contracts with, and to refrain from entering any new contracts with, individuals or entities that are determined to be a target of Economic Sanctions. Accordingly, should the State determine Contractor is a target of Economic Sanctions or is conducting prohibited transactions with sanctioned individuals or entities, that shall be grounds for termination of this agreement. The State shall provide Contractor advance written notice of such termination, allowing Contractor at least 30 calendar days to provide a written response. Termination shall be at the sole discretion of the State.

11.2 Provisions for Federally Funded Grants

11.2.1 Contractor certifies that it possesses legal authority to apply to the State for DOE WAP funds and assures compliance with the purposes as set forth in 42 USC §§ 6861 et seq., as amended, and the BIL.

11.2.2 Eligibility to Receive Federally Funded Public Benefits

Pursuant to the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) (Public Law (Pub. L.) 104-193), as amended, and Executive

gn Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

Order W-13596, dated August 27, 1996, while in effect, applicants for federally funded public benefits are required to provide proof of U.S. citizenship, U.S. non-citizen national, or qualified alien status. (8 USC §§ 1611, 1612, & 1642.) Contractor shall verify client eligibility in accordance with CSD Applicant Verification of Eligibility Procedures and Regulations, forms, and other written guidance provided by CSD.

11.2.3 Under the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (IIRIRA) Section 508 (Pub. L. 104-208), and No Verification Requirement For Nonprofit Charitable Organizations, Section 432 (d) of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (8 USC § 1642 et seq.) as amended, Nonprofit charitable organizations are exempt from the requirement under this title to determine, verify, or otherwise require proof of U.S. citizenship, U.S. non-citizen national, or qualified alien status of any applicant for such benefits in providing any Federal public benefit (as defined in 8 USC § 1611(c)) or any State or local public benefit (as defined in 8 USC § 1621(c)) (8 USC § 1642(d)).

11.2.4 Federal Funding Accountability and Transparency Act Reporting Requirement (FFATA) (Pub. L. 109-282).

Pursuant to the FFATA, CSD is required to report information regarding Contractors (sub-awardees) receiving federal funds. Contractor must complete CSD Form 279 and return with the Contract to enable CSD to comply with FFATA reporting requirements.

CSD may issue guidance and/or Amendment(s) to this Agreement, establishing additional reporting requirements as necessary to ensure compliance with the FFATA or other Federal and State regulations, as applicable.

11.3 Federal Certifications Regarding Debarment, Suspension, and Related Matters

Contractor must certify in writing that to the best of its knowledge that it or any of its officers, or any subcontractors:

11.3.1 Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.

11.3.2 Have not within a three (3) year period preceding this Agreement been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement,

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theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

11.3.3 Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in Section 11.3.2 above of this certification; and

11.3.4 Have not within a three (3) year period preceding this Agreement had one or more public (federal, state, or local) transactions terminated for cause or default.

11.3.5 If any of the above conditions are true for the Agreement or any of its officers, Contractor shall describe such condition and include it as an attachment to Part I of the Agreement. Based on the description, CSD in its discretion may decline to execute this contract or set further conditions of this Agreement. In the event any of the above conditions are true and not disclosed by Contractor, it shall be deemed a material breach of this Agreement, and CSD may terminate this Agreement for cause immediately pursuant to the termination provisions of State and federal law governing the BIL WAP and annual DOE WAP.

11.4 Affirmative Action Compliance

11.4.1 Each Contractor or subcontractor with 50 or more employees and contract of $50,000 or more shall be required to develop a written Affirmative Action Compliance Program.

11.4.2 The written program shall follow the guidelines Equal Employment Opportunity clause obligations set forth in 41 of the Code of Federal Regulations, Subtitle B, Section 60-1.40, Sections 60-2.10 through 60-2.32, and Sections 60-741.1 through 60-741.47.

11.4.3 Each Contractor or subcontractor with less than 50 employees shall comply with Executive Order 11246, Part II, Section 202, as amended by Executive Order 11375. Contractor shall ensure that subcontractors falling within the scope of this provision shall comply in full, with the requirements thereof.

11.5 Nondiscrimination Compliance

11.5.1 Contractor's signature affixed hereon shall constitute a certification that to the best of its ability and knowledge will, unless exempted, comply with the nondiscrimination program requirements set forth in this section.

11.5.2 Contractor hereby certifies compliance with the following:

gn Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

11.5.2.1 Executive Order 11246, as amended by Executive Order 11375, relating to equal employment opportunity.

11.5.2.2 Title VI and Title VII of the Civil Rights Act of 1964, as amended (42 USC §§ 2000d et seq. and 2000e et seq.).

11.5.2.3 The Rehabilitation Act of 1973, as amended (29 USC §§ 701 et seq.).

11.5.2.4 Vietnam Era Veterans' Readjustment Assistance Act of 1974, as amended (38 USC § 4212 et seq.; 41 CFR Subtitle B, Part 60-300).

11.5.2.5 Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor (regulations implementing Executive Orders 11246 and 11375) (41 CFR Subtitle B, Chapter 60, as amended); and

11.5.2.6 Americans with Disabilities Act of 1990 (Pub. L. 101-336, 42 USC § 12101 et seq.).

11.6 Contractor Fair Hearing – Civil Rights Act Violation

11.6.1 In the event of any violation or alleged violation of Title VI of the Civil Rights Act of 1964, as amended, (42 USC § 2000d et seq.), Contractor has the right to request a fair hearing in response to such violation or alleged violation within 30 calendar days from the date of such action.

11.6.2 The HHS shall conduct such fair hearing in accordance with Title 45, Code of Federal Regulations, Part 81.

11.7 Specific Assurances

11.7.1 Pro-Children Act of 1994

11.7.1.1 Smoking Prohibitions. In accordance with Title XII of Public Law 103-227, the "PRO-KIDS Act of 1994," smoking may not be permitted in any portion of any indoor facility owned or regularly used for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs whether directly or through State, Territories, local and Tribal governments. Federal programs include grants, cooperative agreements, loans, and loan guarantees, subawards, and contracts. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions or facilities and used for inpatient drug and alcohol treatment.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

11.7.1.2 The above language must be included in any subawards that contain provisions for children's services and that all subawards shall certify compliance accordingly. Failure to comply with the provisions of this law may result in the imposition of a civil monetary penalty of up to $1,000 per day.

11.7.2 Build America, Buy America (BABA)

Contractor shall assure, pursuant to the Buy American Act of 1933 (41 USC § 8301 et seq.), to the extent practicable, that all equipment and products purchased with funds made available under this Agreement shall be American made if the unit is a publicly owned building.

In 2022 DOE further expanded upon this established "Build America, Buy America" (BABA) provision, indicating that federal funds cannot be used for a project unless certain manufactured products and construction materials (such as iron, steel, glass, lumber, drywall, and other building materials) are all produced or manufactured in the United States. BABA does not apply to tools, equipment, and supplies, such as temporary scaffolding brought to the construction site and removed at or before the completion of the project. Only weatherization on public housing (such as HUD housing), or on privately owned buildings that serve a public function are required to comply with BABA. Contractor must receive prior approval from CSD to begin a project on public housing.

11.7.3 Federal and State Occupational Safety and Health Statutes

Contractor assures that it shall be in compliance with the provisions as set forth in Federal and State Occupational Safety and Health Statutes (federal and Cal/OSHA); the California Safe Drinking Water and Toxic Enforcement Act of 1986 (Health & Safety Code §§ 25249.5 et seq.); Universal Waste Rule (Hazardous Waste Management System: Modification of the Hazardous Waste Recycling Regulatory Program) (60 FR 25492, codified at 40 CFR Part 273); and California Workers' Compensation laws (Labor Code §§ 3200 et seq.).

11.7.4 Political Activities

11.7.4.1 Contractor shall refrain from all political activities if such activities involve the use of any funds that are the subject of this Agreement.

11.7.4.2 Contractor is prohibited from any activity that is designed to provide voters or prospective voters with transportation to the polls or to provide similar assistance in connection with an election if such activities involve the use of any funds that are subject to this Agreement.

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11.7.5 Lobbying Activities

11.7.5.1 Contractor shall refrain from all lobbying activities if such activities involve the use of any funds that are the subject of this Agreement or any other fund, programs, projects, or activities that flow from this Agreement.

11.7.5.2 If Contractor engages in lobbying activities, Contractor shall complete, sign and date the CERTIFICATION REGARDING LOBBYING/DISCLOSURE OF LOBBYING ACTIVITIES, as required by federal law under 2 CFR § 200.450.

11.7.6 Performance of Work in United States

All work performed under this Award must be performed in the United States to qualify for reimbursement.

11.7.7 Use of Program Income

If Contractor earns program income during the project period because of this Award, Contractor may add the program income to the funds committed to the Award and use to further eligible project objectives.

11.8 Publications

11.8.1 Contractor is encouraged to publish or otherwise make publicly available the results of the work conducted under the award, subject to compliance with Section 11.8.2 below.

11.8.2 An acknowledgment of BIL WAP support and a disclaimer must appear in the publication of any material, whether copyrighted or not, based on or developed under this project, as follows:

Acknowledgment:
"This material is based upon work supported by the Department of Energy's Bipartisan Infrastructure Law Weatherization Assistance Program, administered by the California Department of Community Services and Development, under Award Number 81.042."

Disclaimer:
"This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, express or implied, or

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assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof."

11.9 Decontamination and/or Decommissioning (D&D) costs

Notwithstanding any other provisions of this Agreement, neither the State nor Federal Government shall be responsible for or have any obligation to the recipient for: (i) Decontamination and/or Decommissioning (D&D) of any of the recipient's facilities, or (ii) any costs which may be incurred by the recipient in connection with the D&D of any of its facilities due to the performance of the work under this Agreement, whether said work was performed prior to or subsequent to the effective date of this Agreement.

ARTICLE 12 – GENERAL TERMS AND CONDITIONS

Contractor may find the required California General Terms and Conditions (GTC 04/2017) at the following web address:

Standard Contract Language (ca.gov).

iSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

ARTICLE 13 – DEFINITIONS

All terms used in this Agreement shall be those as defined in applicable federal and state law (see 42 USC §§ 6861 et seq.) and regulation (see 2 CFR Part 200 and 10 CFR Part 440), or as more specifically defined as:

Administrative Costs: Actual costs for auxiliary functions such as salaries, wages, workers compensation, and fringe benefits for administrative staff, facilities, utilities, office and computer equipment, telephone, travel, accounting, auditing, monitoring assistance, office supplies, and like services necessary to sustain the direct effort involved in administering a grant program or an activity providing services to the grant program. Includes incurred costs associated with participation and attendance to policy advisory committee meetings and workgroups.

Amendment: A formal change to the Contract of a material nature including but not limited to the term, scope of work, or name change of one of the Parties, or a change of the maximum amount of this Contract.

Ancillary Supplies: Ancillary supplies are additional low cost materials or supplies (e.g. nuts, bolts, screws, and washers) necessary to install a weatherization measure and not easily identifiable to a specific measure or dwelling. Costs of ancillary supplies that benefit multiple programs must be prorated accordingly. Costs must be directly associated to net changes in inventory and not associated with materials chargeable to another measure line item. Reimbursement for ancillary supplies is not allowable for subcontractors.

Authorized Agent: The duly authorized representative of the Board of Directors of Contractor and duly elected or appointed, qualified, and acting officer of CSD. In the case of Contractor, CSD shall be in receipt of board resolution affirming an agent's representative capacity to bind Contractor to the terms of this Contract.

Automation Costs: Such expenditures may include, but are not limited to, any IT expense related to CSD System costs incurred including necessary upgrades to Contractor's system, computer, and IT equipment; approved front-end database acquisition and ongoing subscription costs; IT security implementation costs; and start-up requirements related to IT automation needs. All costs reported in this line item must be directly related to program functions.

California Energy Commission (CEC) Climate Zone: The CEC established 16 climate zones that represent a geographic area and that have a particular weather pattern. These climate zones are based on energy use, temperature, weather, and other factors that determine the types of building standards that are subject to the Title 24 Energy Efficiency Standards and that dictate the energy conservation measures that must be installed in a weatherized dwelling, as required by law.

Call-Back: A call-back occurs when a measure fails (either during inspection, or later within the warranty period) and must be corrected by an agency. The required warranty periods are defined

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

in CSD TRM. Warranty corrections are required under both LIHEAP and DOE BIL WAP, however, under DOE BIL WAP, Contractor is required to notify CSD for billing instructions and DOE is required to be notified of all call-backs.

Client Intake: Includes, but is not limited to, the process of completing an intake form and reviewing applicant documentation to verify eligibility.

Contract: The complete contents of this contract entered by and between CSD and Contractor, including all rights, duties, and obligations, whether expressed or implied, required toward the legal performance of the terms hereof.

CSD: The Department of Community Services and Development, State of California.

CSD Program Advisory (CPA): The purpose of the CPA is to provide information, correct problems, contradictions, and uncertainty. A CPA serves as short-term guidance or transitional in nature, to inform or direct immediate action to correct a problem or provide relief from an obligation.

CSD Program Notice (CPN): The purpose of the CPN is to supplement contractual requirements and facilitate program implementation. A CPN serves as long term guidance to summarize or interpret regulations or contract requirements.

California Certified Inspector/Risk Assessor Contractor: An individual who is certified by the State of California, Department of Public Health, as a lead-related construction Inspector/Risk Assessor.

Certification Date: The date the applicant is deemed eligible, and the agency commits to provide services. The certification date should not be before the intake date.

Certified Lead-Free: Residential property that has been determined by a California Certified Inspector/Risk Assessor Contractor to be absent from the presence of lead-based paint.

Certified Lead-Safe: Residential property in which lead-painted surfaces are intact and/or have been treated with measures to stabilize and eliminate lead-paint hazards and that, as such, poses no immediate threat to the occupants as determined by a California Certified Inspector/Risk Assessor Contractor.

Certified Translator: A translator that has been certified to translate a specific language and are often members of a professional translation association such as American Translators Association and American Literary Translators Association, etc.

Children: Members of a household who are 19 years of age or younger.

Sign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

Client Education/Counseling: Includes, but is not limited to, providing client with written information describing energy-saving behavioral adjustments that will decrease the energy consumption of the household; providing client with resource information, referral, and budget counseling in order to assist clients in achieving self-sufficiency; providing client with mold and lead-safe education and advising client of the benefits of weatherization in their homes.

Client Intake: Includes, but is not limited to, the process of completing an intake form and reviewing applicant documentation to verify eligibility.

Client Needs Assessment: The act of acquiring additional and appropriate information from an eligible client to determine the needs that can be served by Contractor and other available programs AFTER eligibility has been established.

Contractor: The entity (partnership, corporation, agency, or association) designated on the face sheet (STD 213) of this Contract.

Contractor Average Cost Per Unit (ACPU): Represents the maximum average cost per dwelling unit for weatherization services, defined as the aggregate of Total Program Operations and Major Vehicle and Equipment Purchases divided by number of units completed. Under this contract, the Contractor ACPU is set at $8,009.

The formula for determining the Contractor ACPU is:

Total Program Operations + Major Vehicles and Equipment Purchases divided by Total Completed Units

Total Program Operations consists of the following:

- Intake
- Outreach
- Direct Program Activities
- Minor Vehicle & Field Equipment (less than $5,000)
- General Operating Costs
- Other Program Costs (refer to definition below)
- Automation Costs

Other Program Costs consist of the following:

- Wages – Field Staff
- Wages – Program Management & Support
- Workers' Compensation
- Travel and Per Diem
- Disposal Fees
- Ancillary Supplies
- Waste Breakage

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

- Vehicle & Equipment Repair, Maintenance, Fuel
- Historic Preservation Review Costs

Database Transfer: A method wherein contractors utilize a local database platform to provide CSD with downloaded client and other program data.

De Minimis Levels: The amount of lead paint disturbed in a dwelling is comprised of two square feet per room of interior surfaces, or 20 square feet of exterior surface, or 10% of a small component, e.g., windowsill, baseboards, and trim. When calculating the de minimis level, the entire surface of the component must be included in the computation. For example, when replacing a 2 x 3-foot window, the de minimis level would be six square feet and would exceed the maximum allowance for interior surfaces and the unit would be subject to HUD Regulation.

Diagnostic Testing: Series of testing protocols performed under the weatherization program involving the use of specialized tools to assess: the operating condition of combustion appliances for general safety and carbon monoxide emission levels, and pressurized diagnostic testing procedures to assess the integrity of building envelopes and duct systems for leakage and outside air infiltration. Diagnostic tests shall only be performed by qualified individuals possessing the required skill and training needed to perform diagnostic testing activities.

Direct Program Activities: Activities associated with the installation of measures in dwellings to include labor, materials, subcontractors, and lead-safe weatherization materials, and other installation costs.

Disposal Fees: A fee or expense charged by a third-party waste removal entity and/or the direct cost incurred by a contractor for the action of removing or getting rid of refuse, unwanted, and/or hazardous materials left over from the weatherization process.

DOE: The United States (U.S.) Department of Energy that provides funds for the Weatherization Assistance Program for Low-Income Persons. This program is authorized by Title IV of the Energy Conservation and Production Act (Pub. L. 94-385). The federal regulations for this program are in 10 CFR Part 440.

Dwelling Assessment: The process used to evaluate the service needs of an eligible dwelling for weatherization services offered under the DOE and LIHEAP weatherization programs. An assessment shall be performed by qualified individuals possessing the required skill and training needed to perform assessment activities.

Dwelling Unit: A house, including a stationary mobile or manufactured home, an apartment, a group of rooms, or a single room occupied as separate living quarters.
Electronic File: A contract or other record created, generated, sent, communicated, received, or stored by electronic means.

Elderly: An individual 60 years of age or older.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

Energy Audit: An energy audit is an analysis tool intended to be used by the weatherization agencies for the purpose of determining a list of cost-effective measures for a specific dwelling. The REM/Design energy audit and TREAT are currently being used for the purposes of this Contract.

Energy Burden: The expenditures of the household for home energy divided by the income of the household.

Environmental Inspection A visual assessment and sampling which includes asbestos, lead and radon when allowable per the contract. Environmental inspections shall be in accordance with all CSD policies and procedures and in compliance with all Federal and State regulations. Allowable costs include actual labor costs while on the jobsite and testing fees associated with the inspection.

Estimated Budget Allocation: The estimated dollar amount of DOE annual funding, based on the Final Allocation from the 2022 DOE BIL WAP Contract, used to facilitate the completion of budgets, fiscal and local planning efforts in the event this Contract is executed prior to federal authorization of the full annual allocation of DOE funding and funded under Continuing Resolution appropriations.

Evaporative Cooler Repairs: Repair or replacement of filter pads, water pumps, belts, motors, or other components that promote efficient operation of the unit.

Final Allocation: The actual amount of funds available to Contractor under this Contract after CSD receives the notice of grant award for the full annual allocation based on the appropriation by Congress for Federal Fiscal Year 2022, and DOE's approval of the Weatherization Grant Application, as publicly announced by CSD's Director or designee, after the execution of this Contract.

Front-End Vendor: An entity that serves as a consultant to CSD's network of Contractors and maintains an electronic user interface that assists Contractors in reporting dwelling unit and expenditure information to CSD's Expenditure Activity Reporting System (EARS), the Combined Outcome Reporting Engine (eCORE) and possibly other CSD web-based data collection systems.

General Heat Waste Measures: [A subcategory of weatherization measures designed specifically to improve energy efficiency by reducing general heat and cooling waste within the dwelling. General Heat Waste Measures will apply only to the Audit Path as defined in the CSD TRM Appendix D *Energy Audit/Priority List Protocol* and include air conditioning/furnace filter replacements, hot water flow restrictors (aerators) and showerheads (low-flow, handheld, and thermostatic types), water heater blankets, and water heater pipe wrap.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

General Operating Costs: Costs that are directly allocable to those costs defined as related facilities, office and computer equipment, office supplies, telephone, travel and materials and activities to prevent exposure to COVID-19 as allowable program costs.

Hazardous Condition: Any condition posing an immediate health and safety threat to the client and/or persons working in the dwelling unit. Hazardous conditions include but are not limited to: Combustion Appliance Safety (CAS) hazards, appliance-related hazards, and electrical hazards as defined in the CSD TRM.

Health and Safety Measures: A subcategory of weatherization measures installed to mitigate health and safety hazards generated by combustion appliances and to preserve or improve indoor air quality. The measures include CO alarms, smoke alarms, heating/cooling, mechanical ventilation, water heater repairs and replacements, thermostats, lead-safe weatherization and kitchen exhaust repair and replacements. When heating or cooling (and their associated thermostat) and water heaters will be repaired or replaced under BIL WAP, these measures will require an energy audit. Costs associated with Health and Safety measures are limited to the allowable maximum amount specified in the BIL WAP Budget and are excluded from the calculations for the Contract Average Cost Per Unit.

Health and Safety Formula: Health and safety expenditures are limited to 5% of program operations as defined by DOE. The formula used to calculate the allowable maximum is:

Program Operations multiplied by 23%.

Where Program Operations are defined as:
Program Costs less (Training & Technical Assistance + Liability Insurance + Vehicles & Equipment Purchases Over $5,000 + Health & Safety)

Heating/Air Conditioning Appliance Repairs/Replacements: The complete unit replacement adjustments of gas pressure and/or air/fuel mixture, replacement of thermocouples, adjustment of refrigerant charge, filter replacements, or other component repairs or replacements necessary for safe and efficient operation.

High Residential Energy User: A low-income household whose residential energy expenditures exceed the median level of residential expenditures for all low-income households in the State.

Historic Preservation Review Costs: Expenses that are subcontracted to a third party to perform the collection of and reporting of potential weatherization properties subject to Historic Preservation Review requirements.

Home Energy Rating System (HERS) Provider, also referred to as HERS Rater: An entity or individual recognized by the California Energy Commission as a HERS Provider and certified in performing the necessary field and diagnostic testing verifications for demonstrating compliance with the 2022 Building Energy Efficiency Standards.

ign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

HUD Unit: A housing unit participating in a U.S. Department of Housing and Urban Development (HUD) Assisted Housing Program.

Infiltration Reduction Measures: A subcategory of weatherization measures installed in or applied to dwellings to reduce or stop the uncontrolled flow of conditioned air out of the dwelling or the uncontrolled flow of outside air into conditioned areas in the dwelling. Infiltration reduction is best accomplished with shell leakage technology.

Intake Date: The date the agency receives or accepts the application.

Intellectual Property: Patents, trademarks, copyright, mask works, protected data, and other forms of comparable property protected by Federal law and foreign counterparts.

Knob and Tube Wiring: Costs to obtain knob-and-tube wiring "Notice of Survey by Electrical Contractor" and installation of simple overcurrent protection (breakers or S-type fuses) shall be billed to "Mandatory Assessments and Diagnostics - Permits."

Liability Insurance: Insurance coverage to protect against claims alleging one's negligence or inappropriate action resulting in bodily injury or property damage. Related costs shall mean those actual costs allocated for insurance bonds, general liability insurance, and pollution occurrence insurance. Pollution occurrence insurance is optional.

Limited Home Repair (LHR): Those repairs that have a direct association with weatherization measures being installed and are necessary for the effective performance or preservation of weatherization materials or are related to activities that eliminate a health and safety hazard that would otherwise prevent weatherization or protects/preserves the installation of a health and safety measure.

LHR shall NOT include:

a. Any other measure or associated incidental repair that has a chargeable line item, including Minor Envelope Repair items.

b. Repairs to the dwelling that are outside of the program scope, including but not limited to, handicap ramps, major roof repairs, or correction to structural issues that are a mandatory deferral condition.

Major Vehicle and Field Equipment Costs: Actual Costs associated with the purchase of the vehicle, office equipment and field equipment $5,000 or greater per unit used for the purpose of delivery of direct services. Pre-approval from the DOE is required. Field equipment means diagnostic equipment and related equipment. Purchases must follow all federal and state rules and regulations governing DOE pertaining to procurement standards.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

Materials: Materials are those allowable items that are installed in or on the dwelling to promote energy conservation. All materials shall be in conformance with the CSD TRM and 10 CFR Part 440, Appendix A – Standards for Weatherization Materials.

Maximum Amount: The dollar amount reflected on line 3 of the face sheet (STD 213) of this Contract, as amended to reflect the Final Allocation for the term of this Contract.

Migrant Farm Worker: A seasonal farm worker who performs or has performed farm work during the eligibility determination period (any consecutive 12-month period within the 24-month period preceding application for program benefits and/or services) that requires travel such that the worker is unable to return to his/her domicile (permanent place of residence) within the same day. Migrant farm worker is not a term used in the contract but is captured for reporting purposes in CSD's Weatherization Database and Intake Form (CSD 43).

Minor Vehicle and Field Equipment Costs: Actual costs associated with the purchase of vehicle, office equipment and field equipment with per unit fair market value of $5,000 or less used for the purpose of delivery of direct services. Field equipment means diagnostic equipment and related equipment. Purchases must follow all federal and state rules and regulations governing DOE pertaining to procurement standards.

Mobile or Manufactured Home: A manufactured home regulated by the California Department of Housing and Community Development (HCD) that is built on a trailer chassis and designed for highway delivery to a permanent location, and it can be a single-, double-, or triple-wide home. To receive weatherization services under a CSD program, a mobile home must be a permanent, full-time residential dwelling with a floor area of at least 330 square feet.

Modification: An immaterial change to this Contract that does not require an Amendment.

Modified Dwelling Assessment: The process used to evaluate the limited-service needs of an eligible dwelling that has been previously weatherized under the Annual DOE WAP, BIL WAP or LIHEAP weatherization programs. The assessment is limited in scope and does not encompass a re-assessment of the entire dwelling unless measures have exceeded their useful life under DOE. Assessments limited to ECIP EHCS work on dwellings not receiving weatherization services are to be included in the cost of the ECIP measure. An assessment shall be performed by qualified individuals possessing the required skill and training needed to perform assessment activities.

Multi-Unit Dwellings (MUDs) also known as Multi-Family Buildings (MFBs): Defined as residential dwelling structures containing multiple residential units within a single building, to include duplexes, triplexes, fourplexes, and multi-unit apartments.

Natural Disaster: A weather event (relating to cold or hot weather), flood, earthquake, tornado, hurricane, or ice storm, or an event meeting such other criteria of the Department of Energy, in

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the discretion of DOE, may determine to be appropriate. For the DOE BIL WAP Disaster Relief Plan, emergency services may be provided to low-income individuals and families affected by a natural disaster when the event is declared by a Presidential or Gubernatorial Order as a Federal or State Emergency.

Nonprofit Charitable Organization: Defined in the Internal Revenue Code, Section 501(c)(3) (26 USC § 501(c)(3)). Section 501(c)(3) is a tax law provision granting exemption from the federal income tax to non-profit organizations. 501(c)(3) exemptions may apply to corporations, and any community chest, fund, or foundation, organized and operated exclusively for religious, charitable, scientific, testing for public safety, literary, or educational purposes, or to foster national or international amateur sports competition, or for the prevention of cruelty to children or animals.

Other Program Costs: Other program costs include wages (field staff); wages (program management & support); workers' compensation; travel and per diem; disposal fees; ancillary supplies; waste breakages; vehicle & equipment repair, maintenance, fuel; historic preservation review costs.

Outreach and its Related Costs: Outreach activities are designed to ensure that eligible households, especially households with elderly and/or disabled individuals with high home energy burdens, are made aware of the assistance available. Costs relating to these activities may include developing outreach materials (flyer/brochure information packets), advertising costs, printing costs, outreach mailers to targeted households, travel to outreach sites and related facilities, site costs, and the referral of eligible households to assistance providers in the community. Intake and assisting with the completion of an intake form are not considered outreach or a related cost.

Parties: CSD on behalf of the State of California and the Contractor.

Primary Heating and Cooling Source: When a home has more than one heating and/or cooling source, one of the following shall be considered the primary unit:

a. The appliance that provides conditioned air for the dwelling's primary common living area (i.e., occupied during waking hours); or

b. The unit providing conditioned air to the largest volume of living space; or

c. The unit with the largest heating/cooling capacity/output (Btu or tons).
In a two-story home that has a separate heating and/or cooling source on each floor, the unit on the ground floor is considered the

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primary heating and/or cooling source, with the following exception.

d. If the larger capacity/output unit is upstairs, it may be considered the primary unit.

Only the primary heating and/or cooling source (one unit per dwelling) shall be repaired or replaced. It may be one that provides:

a. Heating only; or

b. Cooling only; or

c. Heating and cooling.

Priority List: The list of energy conservation measures determined to be cost effective by a measure evaluation process. These measures may be installed in the specified type of dwelling in the specified climate zone without performing an energy audit. Allowable measures are contained in CSD's DOE Priority List Protocol.

Program: Weatherization services provided under 42 USC §§ 6861 et seq., as amended.

Program Income: Program income means gross income earned by CSD and/or Contractor that is directly generated by a supported activity or earned because of the Federal award during the period of performance except as provided in 2 CFR § 200.307(f). Period of performance means the total estimated time interval between the start of an initial contract and the planned end date, which may include one or more funded portions, or budget periods.

REM/Design Energy Audit: An advanced computer audit software product approved by DOE for estimating the energy savings in single-family dwellings, mobile homes, manufactured homes, and low-rise multi-family buildings with the following characteristics:

a. No more than 24 dwelling units.

b. No more than three (3) stories.

c. Each unit is individually metered; and

d. Each unit is heated and cooled independently.

Re-weatherization: Providing weatherization services to a dwelling that was previously weatherized under DOE WAP, DOE ARRA, HUD, USDA, LIHEAP, or other Federal Funds within the past 15 years from the date of post inspection.

ign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

Ride-along: A representative of the Contractor who accompanies a designated third-party inspector while performing on-site inspections. CSD requires that, when possible, a ride-along be sufficiently trained to make necessary corrections during inspections, thereby minimizing or eliminating the need for return trips that may inconvenience the client and/or require re-inspection in accordance with the CSD TRM.

Seasonal Farm Worker: A person who during the eligibility determination period (any 12-month period within the 24-month period preceding application for program benefits and/or services) was employed at least 25 calendar days in farm work or earned at least $400 in farm work and who has been primarily employed in farm work on a seasonal basis, without a constant year-round salary. *Seasonal farm worker is not a term used in the Contract but is captured for reporting purposes in CSD's Weatherization Database and Intake Form (CSD 43).*

Separate Living Quarters: Living quarters in which the occupant(s) do not live and eat with any other person(s) in the structure, and which have either: (1) direct access from the outside of the building or through a common hall; or (2) complete kitchen facilities for the exclusive use of the occupant(s). The occupant(s) may be a single family, one person living alone, two or more families living together, or any other group of related or unrelated persons who share living arrangements.

Shelter: A dwelling unit or units whose principal purpose is to house on a temporary basis for individuals who may or may not be related to one another and who are not living in nursing homes, prisons, or similar institutional care facilities.

Single-Family Dwelling: A detached dwelling structure containing no more than one dwelling unit, or a duplex, triplex, or fourplex.

State: The State of California, Department of Community Services and Development.

Subcontract: A separate contract or agreement entered by and between Contractor and Subcontractor to fulfill direct program or administrative tasks in support of this Contract.

Subcontractor: An entity (partnership, corporation, association, agency, or individual) that enters into a separate contract or agreement with Contractor to fulfill direct program or administrative tasks in support of this Contract.

Targeted Retrofit Energy Analysis Tool (TREAT): An advanced computer audit software product approved by DOE for all multi-family buildings, including low-rise and high-rise multi-family buildings with master-metered utilities and/or shared (common) heating and cooling systems. This software is designed to address the specific needs and building configurations of multi-family buildings through "whole building" approach in which every unit and common space in a qualifying complex will be retrofitted.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

Training and Technical Assistance (T&TA): T&TA activities are designed to aid in the development and skill of weatherization crewmembers and program staff in supporting the DOE program.

Travel and Per Diem: Travel and per diem requirements are subject to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR § 200.475).

Vehicle Insurance: Insurance purchased for cars, trucks, and other vehicles related for the delivery of direct programs services.

Vendor: An individual, sole proprietorship, firm, partnership, corporation, or any other business venture from which materials and goods are supplied and purchased.

Vulnerable Populations: Young children (ages 19 years or under), disabled, and elderly persons (ages 60 or older).

Wages – Field Staff: The actual labor costs for related to weatherization supervisors, assessors, inspectors, crew members, and field personnel that are allocable to the program but not associated with the direct installation and/or performance of weatherization services/activities on the job site.

Wages – Program Management and Support: The actual labor costs related to program management and support staff directly responsible for the direct management and oversight over BIL WAP Weatherization program activity or providing direct support to ensure the successful delivery of weatherization services. This does not include the actual labor costs related to administrative staff, training, and/or labor costs associated with intake and outreach.

Waste Breakage: Waste breakage are those expenses associated with weatherization materials that have been damaged and are part of Contractor's inventory or special-order materials that are allocated to CSD programs. The cost of weatherization materials that are damaged and benefit multiple programs must be prorated accordingly. Costs must not be associated with materials chargeable to another measure line item. Reimbursement for waste breakage is not allowable for subcontractors.

Weatherization Training and Its Related Costs: Costs associated with the training of personnel or subcontractors as specified in Article 9.1 of this Contract. Training may also include internal contractor training, safety training, and attendance at weatherization-related training to include EPD system training or other forms of weatherization training sponsored by DOE, CSD and/or other organizations. Related costs may include salary/wages, materials, fees, and travel. Excludes incurred costs associated with participating and attendance at policy advisory committee meetings and workgroups.

ıSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

Workers' Compensation: Insurance that covers medical and rehabilitation costs and lost wages for employees injured at work. Workers' Compensation shall mean those actual costs associated with workers' compensation coverage for program staff whose salaries and wages are chargeable under program costs.

DocuSign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

ARTICLE 14 – TABLE OF FORMS AND DOCUMENTS INCORPORATED BY REFERENCE

The following forms and documents are available on the CSD Local Agencies Portal website at https://agencies.csd.ca.gov/home/Pages/Home.aspx.

14.1 **Forms to be returned with signed contract**:

14.1.1 BIL WAP Budget (CSD 540b).
14.1.2 DOE Weatherization Priority Plan Narrative (CSD 793).
14.1.3 BIL WAP Production Plan.
14.1.4 Certification Regarding Lobby/Disclosure of Lobbying Activities.
14.1.5 Executive Director and Board Roster (CSD 188); and
14.1.6 Federal Funding Accountability and Transparency Act Report (CSD 279).

14.2 Additional Elements Integral to Contract

14.2.1 BIL WAP Ramp-Up Plan
14.2.2 BIL WAP Weatherization Budget (CSD 540b).
14.2.3 BIL WAP Allocation Spreadsheet.
14.2.4 Contractor Certification Clauses (CCC 04/2017).
14.2.5 Current Insurance or Self-Insurance Authority.
14.2.6 Davis-Bacon Prevailing Wage Tracking Sheet (Under development by DOE); and
14.2.7 Buy American Form for Publicly Owned Buildings (Under development by DOE); and
14.2.8 Historic Preservation and National Environmental Policy Act (NEPA) Requirements Form.

14.3 The following documents are hereby incorporated by this reference:

14.3.1 BIL WAP Numbers, Contractors, Allocation, Estimated Units and Service Territories.
14.3.2 Reimbursement Rates for Weatherization Activities.
14.3.3 Training Policies and Procedures (TPPM) Training Tables; and
14.3.4 Supplemental Audit Guide.

14.4 The following CPAs and CPNs are incorporated by reference.

14.4.1 CPA-A-12-01 Procedure Guidance with NCB Procurement Worksheet.

14.4.2 CPN-A-17-01 Equipment Use and Disposition Requirements.

14.4.3 CPN-A-18-01 Program Income

Sign Envelope ID: 9922F7E7-F263-4459-ACD7-A882AC518B93

BIL DOE WAP
Standard Agreement – Production

14.4.4 CPA-E-18-005 Expenditure Reconciliation Policy and Procedure.

14.4.5 CPN-E-19-001 Working Capital Advance.

14.4.6 CPN-E-19-002 Energy Reimbursement Policies and Procedures.

14.4.7 CPA-A-20-02 Administrative Relief from Loss of Operations Due to the Novel Coronavirus (COVID-19) Crisis.

14.4.8 CPA-E-20-02 Modifications to the Stay-at-Home Order Issued under Executive Order N-33-20.

14.4.9 CPA-E-20-03 Removal of previously issued CSD Energy Division Program Advisories and Program Notices.

14.4.10 CPN-E-20-05 Transferring funds.

14.4.11 Requirement for Reporting Partially Weatherized Dwellings Due to COVID-19 Public Health Emergency.

14.4.12 Revised Weatherization Forms Implementation; and

14.4.13 CPA-E-21-04 Previously Weatherized DOE WAP Dwelling Requirements.

14.4.14 CPN-E-23-01 Title 24 Updates

14.4.15 CPA-E-23-01 Revised TRM and Energy Forms

14.4.16 CPN-E-23-03 Training Policies and Procedures Manual Release

14.4.17 CPN-E-23-03M1 Training Policies and Procedures Manual Modification

14.4.18 CPA-E-23-04 Establishment of Confirmation ID Codes to Facilitate the Validation and Reporting of Eligible DOE Dwellings

14.4.19 CPN-E-23-06 Measure Matrix Updates for DOE WAP, LIHEAP and ESLIHEAP

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

SUBVENTION CONTRACT

Contents

PREAMBLE 1

ARTICLE 1 – SCOPE OF WORK 1

1.1. General 1

1.2. Service Area 1

1.3. Term and Amount of Contract 2

1.4. Program Authorities – Requirements, Standards and Guidance 2

1.5 Special Contract Contingency – Quality Control Inspector Certification 5

ARTICLE 2 - Contract Administration AND Procedure 6

2.1 State Contracting Requirements – "General Terms and Conditions, GTC 04/2017" 6

2.2 Contractor's Option of Termination 6

2.3 Budget Contingencies 6

2.4 Miscellaneous Provisions 8

ARTICLE 3 – CONTRACT CHANGES 9

3.1 Amendment 9

3.2 Minor Modifications 9

ARTICLE 4 – ADMINISTRATIVE POLICIES AND PROCEDURES 10

4.1 Board Roster, Bylaws, Resolution, and Minutes 10

4.2 Internal Controls Requirements 10

4.3 Record Retention Requirements 11

4.4 Insurance and Fidelity Bond 11

4.5 System Security Requirements 14

4.6 Travel and per diem 17

4.7 Conflict of Interest 17

4.8 Procurement Standards 18

4.9 Use and Disposition of Vehicles and Equipment 20

4.10 Subcontracts 21

4.11 Complaint Management Policies and Procedures 22

4.12 Fair Hearing Process for Applications for Denial of Benefits by Contractor: 23

4.13 Fraud, Waste, and Abuse 23

ARTICLE 5 – ADMINISTRATIVE AND PROGRAM EXPENDITURES REQUIREMENTS 25

5.1 Budget Guidelines 25

5.2 Working Capital Advance and Major Purchase Advances 26

:usign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

5.3 Program Income 28
5.4 Allowable Costs 28
5.5 Reimbursement Guidelines 34
ARTICLE 6 – REPORTING POLICIES AND PROCEDURES 44
6.1 Reporting Requirements 44
ARTICLE 7 – PROGRAM POLICIES AND PROCEDURES 48
7.2 Service Priority Guidelines 50
7.3 Outreach and Intake Activity Guidelines 51
7.4 Client Education and Counseling Activities 52
7.5 Leveraging/Cost Sharing/Buy-Down Activities 53
7.6 Record-Keeping Responsibilities 54
ARTICLE 8 – PROGRAM IMPLEMENTATION 61
8.1 Weatherization Activity Guidelines 61
8.2 Quality Assurance 75
ARTICLE 9 – TRAINING, LICENSING AND CERTIFICATIONS 80
ARTICLE 10 – COMPLIANCE POLICIES AND PROCEDURES 83
10.1 Right to Monitor, Audit, and Investigate 83
10.2 Auditing Standards and Reports 83
10.3 Compliance Monitoring 86
10.4 Enforcement Process - Noncompliance with Requirement of this Contract 89
10.5 Service Delivery and Expenditure Requirements 95
ARTICLE 11 – FEDERAL AND STATE POLICY PROVISIONS 97
11.1 Certifications 97
11.2 Provisions for Federally Funded Grants 98
11.3 Federal Certifications Regarding Debarment, Suspension, and Related Matters 99
11.4 Affirmative Action Compliance 100
11.5 Nondiscrimination Compliance 100
11.6 Contractor Fair Hearing - Civil Rights Act Violation 101
11.7 Specific Assurances 101
11.8 Publications 102
11.9 Decontamination and/or Decommissioning (D&D) Costs 103
11.10 Executive Order N-6-22 Russia Sanctions 103
STATE CONTRACTING REQUIREMENTS GTC 04/2017 104
ARTICLE 12 – GENERAL TERMS AND CONDITIONS GTC 04/2017 104
ARTICLE 13 - DEFINITIONS 105

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

ARTICLE 14 - TABLE OF FORMS AND DOCUMENTS INCORPORATED BY REFERENCE 118

14.1. Forms to be returned with signed contract 118

14.2. The following documents are hereby incorporated by this reference 118

14.3. The following CPA's and CPN's are incorporated by referenced 118

ısign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

SUBVENTION CONTRACT

PREAMBLE

This subvention contract, for the implementation of the Department of Energy Weatherization Assistance Program (DOE WAP) in program year 2022 ("Contract"), is entered into between the Department of Community Services and Development ("CSD" or "Department") and the contractor named on Form STD. 213, the face sheet of this document ("Contractor"), and shall be enforceable on the date last signed.

NOW THEREFORE, in consideration of the promises and of the mutual agreements and covenants hereinafter set forth, CSD and Contractor hereby agree as follows:

ARTICLE 1 – SCOPE OF WORK

1.1. General

1.1.1 Contractor agrees to provide Weatherization assistance to eligible participants residing in the service area described in Section 1.2, pursuant to all applicable federal and state statutes and regulations, including the Energy Conservation and Production Act (42 USC §§ 6861 et seq., as amended) (the Act) and Title 10 of the Code of Federal Regulations (CFR), Part 440, as amended, the Department of Energy Weatherization Assistance Program (DOE WAP) for low-income persons. Contractor shall ensure that the highest level of assistance will be furnished to those households which have the lowest income and highest energy costs or needs in relation to income.

1.1.2 The DOE WAP Federal Assistance Listing is 81.042. The award is funded through the United States Department of Energy (DOE).

1.2. Service Area

1.2.1 The services shall be performed in the Service Territory comprised of the following service area(s):

The 2022 DOE Numbers, Contractors, and Service Areas (Effective May 1, 2023) document may be accessed at https://agencies.csd.ca.gov/home/Energy/Pages/Contracts.aspx.

1.2.2 Contractors that provide services in Los Angeles and San Diego counties shall refer to the ZIP Code Listing for San Diego Contractors or the ZIP Code Listing for Los Angeles County Contractors located at https://agencies.csd.ca.gov/home/Energy/Pages/Contracts.aspx to determine the zip codes for their respective service area.

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

1.3. Term and Amount of Contract

1.3.1 The term of this Contract shall be for the period represented on the face sheet (Form STD 213).

1.3.2 The Maximum Amount of this Contract shall be as specified on Form STD. 213.

1.3.3 The amount allocated under this Contract as specified in Section 1.3.1 is expressly contingent upon Contractor's compliance with DOE WAP Performance requirements specified in Article 10, Section 10.5, "Service Delivery and Expenditure Requirements," of this Contract.

1.4. Program Authorities – Requirements, Standards and Guidance

1.4.1 All services and activities are to be provided in accordance with applicable federal, state, and local laws and regulations, and as those laws and regulations may be amended from time to time, including but not limited to, the following:

1.4.1.1 The Energy Conservation and Production Act of 1976, 42 USC §§ 6861 et seq., and 10 CFR Part 440;

1.4.1.2 The Federal Procurement requirements for federal awards, including 2 CFR § 200.317 et seq.;

1.4.1.3 The Single Audit Act of 1984, 31 USC §§ 7501 et seq.; and

1.4.1.4 Applicable Intellectual Property provisions for federal awards, as specified in 2 CFR § 200.448.

1.4.2 *Conflict of Laws.* Contractor shall comply with all of the requirements, standards, and guidelines contained in the authorities listed below, as they may be amended from time to time, regarding procurement, administrative, and other costs claimed under this Contract, including those costs incurred pursuant to subcontracts executed by Contractor, notwithstanding any language contained in the following authorities that might otherwise exempt Contractor from their applicability. To the extent that the requirements, standards, or guidelines in this Contract directly conflict with any State law or regulation, or any provision of this Contract, then federal law or regulation or provision shall take precedence, and then state law; unless, under specified circumstances, a provision of federal law applicable to grants allows for the application of state law.

1.4.2.1 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR Part 200); and

ısign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

1.4.2.2 Contractor further agrees to abide by all requirements in California Contractor Certification Clauses 04/2017 (CCC-04/2017).

1.4.3 CSD shall provide Contractor with specific program guidance which shall be binding on the Contractor as a condition of the Contractor's participation in the DOE WAP, and as a condition of receipt of funds under the program, PROVIDED:

1.4.3.1 That such guidance shall be issued by CSD in writing in the form of "CSD Program Notice (CPN) No. XX-XX" posted at https://agencies.csd.ca.gov/home/Pages/CPNCPA.aspx;

1.4.3.2 That such guidance shall be issue by CSD in writing in the form of "CSD Program Advisory (CPA) No. XX-XX" posted at https://agencies.csd.ca.gov/home/Pages/CPNCPA.aspx;

1.4.3.3 That such guidance shall be issued by CSD in the most timely and expeditious manner practicable;

1.4.3.4 That such guidance shall be reasonably necessary to realize the purposes of DOE WAP;

1.4.3.5 That major and material changes in the program and/or requirements which substantially affect the Contractor's and/or CSD's ability to fulfill their obligations or otherwise serve to create a substantial hardship on either the Contractor or CSD shall be subject to an amendment to this Contract;

1.4.3.6 Contractor shall notify CSD within 10 business days of issuance of a CPN or CPA, if Contractor is unable to fulfill its obligations under the new guidance;

1.4.3.7 That the parties' failure to execute a mutually acceptable amendment or CPN, as contemplated in subparagraph 1.4.3.5 and 1.4.3.6, in a reasonable period of time, shall result in this Contract being without force and effect subject only to such provisions contained herein as are intended to survive the Contract in accordance with the express and implied provisions of applicable federal and state law; and

1.4.3.8 That upon CSD's good faith determination, delivered to the Contractor by written notice that an agreement between the parties to any necessary amendment or CPN or CPA as contemplated in subparagraph 1.4.3.5 and 1.4.3.6 cannot be achieved, then this Contract shall be "closed-out", and the funds disposed in accordance with established CSD procedure and policy and as required under federal and state law.

1.4.4 CSD provided Contractor with specific participation requirements that are incorporated into this Contract as referenced in the DOE WAP - Participation Requirements and Application. The Participation Requirements and information represented in Contractor's Application are requirements of Contractor's participation in DOE WAP.

1.4.5 The federal and state laws, regulations and other authorities referenced in this section are hereby incorporated by reference into this Contract. Copies may be accessed for reference at https://agencies.csd.ca.gov/home/Energy/Pages/Resources.aspx.

1.4.6 As a recipient of Federal grant dollars, CSD is required to check SAM.gov using the Unique Entity ID (UEI) to ensure subrecipients and subcontractors are not debarred, suspended, or ineligible. The UEI is a 12-character alphanumeric ID assigned by SAM.gov. Entities doing business with the Federal government, including subrecipients and subcontractors must register for a Unique Entity ID (UEI).

1.4.7 Required Documents

1.4.7.1 Contractor's DOE Weatherization Priority Plan Narrative and forms listed below are integral to this Contract:

1.4.7.1.1 DOE Weatherization Priority Plan Narrative (CSD 793) (referenced in Article 5.1);

1.4.7.1.2 DOE Weatherization Budget (CSD 570) (referenced in Article 5.1);

1.4.7.1.3 DOE WAP Expenditure and Production Assessment Template;

1.4.7.1.4 Certification Regarding Lobbying/Disclosure of Lobbying Activities;

1.4.7.1.5 Contractor Certification Clauses (CCC-04/2017);

1.4.7.1.6 Current Insurance or Self-Insurance Authority Certification;

1.4.7.1.7 Agency Staff and Board Roster (CSD 188);

1.4.7.1.8 Federal Funding Accountability and Transparency Act Report (CSD 279); and

1.4.7.1.9 Contractor's 2022 DOE WAP - Participation Requirements and Application.

ign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

1.4.7.2 The forms must be completed by Contractor before CSD will execute the Contract and Contractor is authorized to commence work. CSD may execute this Contract pending its review and final approval of Contractor's submission, provided Contractor acts in good faith to rectify any outstanding issues associated with the documents submitted pursuant to Section 1.4.7.1 forms. All documents submitted pursuant to Section 1.4.7.1 shall become part of this Contract.

1.4.8 Contractor's signature shall constitute a certification that to the best of Contractor's ability and knowledge it will, unless exempted, comply with the provisions set forth in Article 11, Section 11.1, "Certifications" of this Contract.

1.5 Special Contract Contingency – Quality Control Inspector Certification

In addition to the Quality Control Inspectors (QCI) Certification requirement specified in Section 9.2 and the reimbursement restrictions and inspection requirements provided in Section 5.5.4.1.1, this Contract is subject to, and expressly contingent upon, the following provisions:

1.5.1 This Contract shall have no force and effect until fully executed by CSD and notice of CSD's execution of the Contract has been communicated to Contractor. CSD will not execute this Contract until Contractor has provided CSD with documentation reasonably acceptable to CSD that shows Contractor has employed or contracted with a Certified QCI who satisfies the certification requirements of Section 9.2.

1.5.2 If at any time during the term of this Contract Contractor is unable to meet the requirements of Section 5.5.4.1.1. because Contractor loses access to a Certified QCI, Contractor shall immediately notify CSD of the loss and may not report any weatherized dwelling or request reimbursement for weatherization work and associated expenditures until such time as Contractor has employed or contracted with another Certified QCI who satisfies the certification requirements of Section 9.2.

1.5.3 If CSD reasonably determines that Contractor is unable to fully expend Contractor's allocation and to provided services as required herein because of a lack of access to a Certified QCI, CSD may, at its sole option, terminate this Contract and/or transfer Contractor's allocation, in whole or in part, to another contractor for expenditure, after giving Contractor written notice of its intended action.

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

ARTICLE 2 - CONTRACT ADMINISTRATION AND PROCEDURE

2.1 State Contracting Requirements – "General Terms and Conditions, GTC 04/2017"

In accordance with State contracting requirements, specified contracting terms and conditions are made a part of this Contract. The provisions in their entirety are found in Article 12 of this Contract and are fully binding on the parties in accordance with state law.

2.2 Contractor's Option of Termination

2.2.1 Notwithstanding the provisions of Section 1.4.3, Contractor may, at Contractor's sole option, elect to terminate this Contract rather than adhere to the procedures set out in Section 1.4.3, should Contractor determine that any subsequent program guidance or proposed amendment to the Contract is unjustifiably onerous or otherwise counter to Contractor's legitimate business interests and ability to implement the Contract in an effective and reasonable manner, PROVIDED:

2.2.1.1 The notice of termination is in writing, delivered by U.S. Certified Mail, Return Receipt Requested and will be effective 30 calendar days after receipt by CSD; and

2.2.1.2 The notice contains a statement of the reasons for termination with reference to the specific provision(s) in the program guidance or proposed amendment in question.

2.2.2 Contractor shall be entitled to reimbursement for all allowable costs incurred prior to termination of the Contract. Such reimbursement shall be in accordance with the program guidance and Contract provisions in effect at the time the cost was incurred. Contractor is responsible for adhering to the Contractor Average Cost Per Unit (Contractor ACPU) and related provisions. If Contractor exercises its Option of Termination, Contractor is responsible for disposing or transferring equipment and other capital expenditures to a qualifying program pursuant to federal regulations, including 2 CFR § 200.313 and § 200.439, and in accordance with applicable CSD guidance and disposition policies.

2.2.3 Contractor shall, within 60 calendar days of termination, close-out the Contract in accordance with contractual close-out procedures.

2.2.4 CSD may at its option procure a temporary replacement provider, and may at its option, designate a permanent replacement provider for Contractor's service area in accordance with federal and state law.

2.3 Budget Contingencies

2.3.1 Federal Budget Contingency

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2.3.1.1 Because of uncertainty in the federal budget process, this Contract may be executed before the availability and amounts of federal funding can be ascertained, in order to minimize delays in the provision of services and the distribution of funds. The obligations of the parties under this Contract are expressly contingent on adequate funding being made available to the State by the United States Government.

2.3.1.2 If federal funding for any fiscal year is reduced to such degree that CSD reasonably determines that the program cannot be implemented effectively, CSD shall at its sole discretion have the option either to terminate this Contract upon written notice to Contractor or, in the alternative, to offer an amendment addressing the reduced funding. If the parties fail to reach an agreement on such amendment, CSD may at its option give written notice of termination without further obligation by either party except for contract close-out obligations, and final settlement.

2.3.1.3 If federal funding authorities condition funding on any obligations, restrictions, limitations, or conditions not in existence when this Contract was executed, this Contract shall be amended by mutual agreement for compliance with such obligations, restrictions, limitations or conditions. Failure of the parties to reach an agreement on such amendment shall render this Contract without force and effect.

2.3.1.4 Subject to the provisions of subparagraph 2.3.2.2, CSD shall authorize expenditures of funds under this Contract based on any Continuing Resolution appropriations that are adequate for the purpose. CSD shall notify the Contractor in writing of authorized interval funding levels.

2.3.2 State Budget Contingency

2.3.2.1 If funds are not appropriated for implementation of DOE WAP through the State budget process or otherwise, whether in the current year and/or any subsequent year covered by this Contract, this Contract shall be of no further force and effect. Upon written notice to Contractor by CSD that no funds are available for contract implementation, the Contract shall be terminated, and the State shall have no obligation to pay Contractor or to furnish other consideration under this Contract and Contractor shall not be obligated for performance.

2.3.2.2 If program funding for any fiscal year is reduced to such degree that CSD reasonably determines that the program cannot be implemented effectively, the State shall at its sole discretion have the option either to terminate this Contract upon written notice to Contractor or, in the alternative, to offer and negotiate an amendment addressing the reduced funding. If the parties fail to reach agreement on such amendment, CSD may at its option give written notice of termination without further

obligation by either party except for contract close-out obligations and final settlement.

2.4 Miscellaneous Provisions

2.4.1 Assignment. Neither this Contract nor any of the rights, interests, or obligations under this Contract shall be assigned by any party without the prior written consent of the other parties, except in the case where responsibility for program implementation and oversight may be transferred by the State to another State agency. In the event of such transfer, this Contract is binding on the agency to which the program is assigned.

2.4.2 Merger/Entire Contract. This Contract (including the attachments, documents and instruments referred to in this Contract) constitutes the entire contract and understanding of the parties with respect to the subject matter of this Contract and supersedes all prior understandings and contracts, whether written or oral, among the parties with respect to such subject matter.

2.4.3 Severability. If any provision of this Contract is found to be invalid or unenforceable in any respect for any reason, the validity and enforceability of any such provision in any other respect and of the remaining provisions of this Contract will not be in any way impaired and shall remain in full force and effect.

2.4.4 Notices. Unless otherwise provided herein, notice given by the parties shall be in writing, delivered personally, by United States mail, or by overnight delivery service (with confirmation). Certain reporting and other communications may be delivered electronically as specified by CSD or as is customary between the parties. Notice shall be delivered as follows:

2.4.4.1 To Contractor's address of record; and

2.4.4.2 To CSD at: Department of Community Services and Development
Field Operations
2389 Gateway Oaks Drive, Suite 100
Sacramento, CA 95833

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ARTICLE 3 – CONTRACT CHANGES

3.1 Amendment

3.1.1 Changes to this Contract shall be made by formal amendment with exceptions specified in Section 3.2 with respect to minor modifications.

3.1.2 Contractor shall notify CSD in writing when any proposed amendment or change will significantly impact Contractor's Program Budget and/or Operations. CSD will afford Contractor a reasonable opportunity and sufficient time in which to phase-in the mandated change.

3.2 Minor Modifications

3.2.1 Contractor may request modifications to make minor adjustments during the Contract term. Minor Modifications shall not affect the Maximum Amount payable under this Contract.

3.2.2 Minor Modifications shall not affect the maximum limits set for specific line items under this Contract, e.g. administrative costs, health and safety.

3.2.3 Allowable modifications to this Contract include the minor budget modifications and expenditure requirements, specified in Article 5.

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ARTICLE 4 – ADMINISTRATIVE POLICIES AND PROCEDURES

4.1 Board Roster, Bylaws, Resolution, and Minutes

4.1.1 Contractor shall submit to CSD an Agency Staff and Board Roster form (CSD 188) listing the current Agency Staff and roster of its governing board members, including contact information for each board member at a location other than the Contractor's offices, and the most recent version of the organizational bylaws. Contractor is responsible to notify CSD of any changes to the Executive Director, Program Manager, Chief Financial Officer and board roster within 30 calendar days of such occurrence.

4.1.2 Contractor's governing board must authorize the execution of this Contract. Contractor has the option of demonstrating such authority by the signature of a Board member, affixed to the signature page of this Contract, or by any lawful delegation of such authority that is consistent with Contractor's bylaws.

4.1.3 Where Contractor elects to delegate the signing authority to the chief executive officer or designated officials, CSD will accept either a resolution specific to this Contract or a resolution passed by the governing board that applies to any contract entered into by Contractor. Where Contractor provides a general resolution, Contractor shall maintain documentation that the chief executive officer provided timely and effective communication of the execution and terms of this Contract to the Board. Either a specific or current general resolution must be on file with CSD before execution of this Contract by CSD.

4.1.4 If the Contractor's board is both tripartite and advisory to the elected members governing a local government, the Contractor shall submit to CSD the approved minutes from any meeting of the elected officials where matters relating to this Contract are heard, including but not limited to discussions about or decisions affecting the WAP. Such minutes shall be submitted to CSD no later than 30 calendar days after the related meeting.

4.2 Internal Controls Requirements

Contractor shall ensure the establishment and maintenance of a system of internal accounting and administrative control. This responsibility includes documenting the system, communicating system requirements to employees, and assuring that the system is functioning as prescribed and is modified, as appropriate, for changes in conditions. The system of internal accounting and administrative control shall be attested to within the Contractor's independent audit conducted pursuant to this Contract and shall include:

4.2.1 Segregation of duties appropriate to safeguard state assets;

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4.2.2 Limited access to agency assets to authorized personnel who require these assets in the performance of their assigned duties;

4.2.3 Authorization and recordkeeping procedures adequate to provide effective accounting controls over assets, liabilities, revenues, and expenditures;

4.2.4 Established practices to be followed in the performance of duties and functions;

4.2.5 Personnel of a quality commensurate with their responsibilities; and

4.2.6 Effective internal reviews.

4.3 Record Retention Requirements

4.3.1 All records maintained by Contractor shall meet the Record Retention and Access requirements under the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR §§ 200.334-200.338).

4.3.2 Contractor shall maintain all records pertaining to this Contract for a minimum period of three years after submission of the final report or until resolution of all related audit or monitoring findings, enforcement actions, including cost disallowance, legal proceedings or other pending matters, whichever is later.

4.3.3 Contractor shall retain and secure all employee and client/applicant records and information in compliance with the Federal Privacy Act of 1974 (5 USC § 552a), as amended, and Information Practices Act of 1977 (Civ. Code §§ 1798 et seq.), as amended.

4.3.4 To the extent Contractor maintains records in an electronic format, Contractor shall ensure that all records are "backed-up" or copied, utilizing appropriate, secure technology and operational procedures in order to avoid unauthorized access, permanent loss or destruction, occasioned by theft, accident, willful acts or negligence, or by fire, flood, earthquake or other natural disaster.

4.4 Insurance and Fidelity Bond

4.4.1 General Requirements

4.4.1.1 Contractor agrees that the required insurance policies and bonds, specified below, shall be in effect at all times during the term of this Contract.

4.4.1.2 Contractor shall provide CSD with written notice at least 30 calendar days prior to cancellation or reduction of insurance coverage to an amount less than that required in this Contract and, prior to any lapse or reduction in coverage, provide CSD with documentation, as specified in subparagraph

4.4.1.3, showing substitute coverage has been obtained or alternative measures have been taken to ensure compliance with the requirements of this Contract.

4.4.1.3 In the event insurance coverage expires during the term of this Contract. Contractor agrees to provide, within 30 calendar days of the expiration date, a new Certificate of Insurance (ACORD 25) for not less than the remainder of the term of this Contract. The new Certificate of Insurance (ACORD 25) shall evidence no lapse in coverage. The Certificate of Insurance (ACORD 25) shall identify and name the State as the Certificate Holder.

4.4.1.4 New Certificates of Insurance are subject to review for content and form by CSD. Certificates of Insurance must be submitted electronically via email to: PSU@csd.ca.gov

4.4.1.5 In the event Contractor fails to keep in effect at all times the specified insurance and bond coverage as herein provided, CSD may, in addition to any other remedies it may have, suspend this Contract.

4.4.1.6 With the exception of workers' compensation and fidelity bond, the State shall be named as additional insured on all certificates of insurance required under this Contract.

4.4.1.7 The issuance of other CSD contracts, as well as reimbursement payments, to the Contractor may be suspended until evidence of the required current insurance coverage has been submitted to CSD.

4.4.1.8 Should Contractor utilize a subcontractor(s) to provide services under this Contract, Contractor shall indemnify and hold the State harmless against any liability incurred by that subcontractor(s).

4.4.2 Self-Insurance

4.4.2.1 When Contractor is a self-insured governmental entity, the State, upon receipt of satisfactory proof of the entity's self-insurance authority, may waive the insurance requirements. A duly authorized county or city risk manager shall provide signed certification of the governmental entity's ability to cover any potential losses under this Contract.

4.4.2.2 Governmental contractors shall specify in writing a list of which coverage(s) will be self-insured under this Contract and shall list all applicable policy numbers, expiration dates, and coverage amounts for coverage which is not self-insured.

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4.4.2.3 If a governmental contractor's self-insurance coverage does not contain any changes from the prior year, CSD will accept a certified letter signed by authorized personnel, stating that no changes have occurred from the previous year. This letter is due at the time of contract execution or within 30 calendar days thereafter.

4.4.3 Workers' Compensation Insurance

4.4.3.1 During the term of this Contract, Contractor shall maintain legally sufficient workers' compensation insurance issued by an insurance carrier licensed to underwrite workers' compensation insurance in the State of California.

4.4.3.2 Contractor will not be paid an advance or any reimbursement of expenses unless it has first submitted to CSD either a Certificate of Insurance (ACORD 25) or a Certificate of Consent to Self-Insure, issued by the Director of the Department of Industrial Relations, as evidence of compliance with the workers' compensation insurance requirement.

4.4.4 Commercial or Government Crime Coverage (Fidelity Bond)

4.4.4.1 Contractor shall maintain commercial crime coverage. If Contractor is a public entity that elects to self-insure, Contractor shall make provision for adequate coverage to insure against crime risks. The commercial crime policy or government crime self-insurance coverage (hereinafter "fidelity bond") shall include the following coverage or the substantial equivalent: Employee Dishonesty/Theft, Forgery or Alteration, and Computer Fraud.

4.4.4.2 Contractor's fidelity bond coverage limits shall not be less than a minimum amount of 4% of the total contract amount set forth under this Contract.

4.4.4.3 Contractor will not be paid an advance or any reimbursement of expenses unless it has first submitted to CSD an applicable Certificate of Insurance (ACORD 25) as evidence of compliance with the fidelity bond requirement.

4.4.5 General Liability Insurance

4.4.5.1 Contractor shall maintain for the term of this Contract general liability and property damage insurance for a combined single limit of not less than $500,000 per occurrence.

4.4.5.2 Contractor will not be paid an advance or any reimbursement of expenses unless it has first submitted to CSD an applicable Certificate of Insurance

(ACORD 25), designating CSD as an additional insured as evidence of compliance with general liability insurance requirements.

4.4.6 Vehicle Insurance

4.4.6.1 Contractor shall maintain for the term of this Contract vehicle insurance in the amount of $500,000 for each person and each accident for bodily injury and in the amount of $500,000 for each person and each accident for property damage.

4.4.6.2 When employees use their own vehicles to perform duties within the scope of their employment, Contractor shall have and maintain for the term of this Contract non-owned and hired-auto liability insurance in the amount of $500,000 for each person and each accident for bodily injury and $500,000 for each person and each accident for property damage. (Driving to and from work shall not be considered to be within the scope of employment.)

4.4.6.3 Contractor will not be paid an advance or any reimbursement of expenses unless it has first submitted to CSD an applicable Certificate of Insurance (ACORD 25), designating CSD as an additional insured, to CSD as evidence of compliance with the stated vehicle insurance requirements.

4.5 System Security Requirements

Contractor shall, in cooperation with CSD, institute measures, procedures, and protocols designed to ensure the security of data and to protect information in accordance with the Information Practices Act of 1977 (Civ. Code §§ 1798, et seq.), and such other State and Federal laws and regulations as may apply. In the event there are different system security standards that may be applied to this Article, Contractor shall endeavor to use the strictest security standard that complies with state and federal requirements. The parties hereto agree to the following requirements, obligations, and standards in accordance with regulations set in the State Administrative Manual (SAM) and Statewide Information Management Manual (SIMM):

4.5.1 Data Protection

4.5.1.1 Data exchanged between CSD and Contractor must be limited to the data fields included on Data Transfer Rules (DTR) documents posted at https://agencies.csd.ca.gov/home/Energy/Pages/Resources.aspx. No personal financial information, e.g., credit card, bank account numbers, shall be stored or exchanged in the data exchange sessions.

4.5.1.2 Access to the above-mentioned data included in the DTR must only be given to authorized personnel to complete essential duties. Authorized personnel are to log into these systems using their own assigned

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credentials (i.e., no login account sharing). Upon departure of personnel with assigned credentials, the Contractor will remove the employee's access to the systems as soon as possible.

4.5.1.3 To the extent Contractor utilizes tablet or other internet-based or mobile devices for client intake and application purposes ("Electronic Intake") in lieu of paper forms and documents, Contractor shall comply with all federal and state information security requirements and with such guidance and protocols as CSD may from time to time issue for the purpose of ensuring the integrity of Electronic Intake, including, but not limited to, the use of electronic signatures, data privacy, security, transfer and retention requirements.

4.5.1.4 Data exchanged between CSD and Contractor via email communication must have all personal identifiable information (PII) and other sensitive information redacted before the document is sent. Alternately, Contractor must encrypt any attachments that have sensitive data using encryption tools and configurations as required by CSD.

4.5.2 Contractor Systems Security

4.5.2.1 The physical location of the computing and data storage devices (e.g. servers) shall be within access-controlled facilities. Individual users may not have access to the data except through their systems that are specifically credentialed for Contractor business. All access will be controlled by authentication methods to validate the approved users.

4.5.2.2 Standards for secure transmission may be accomplished through such means as certificates, secure socket layer, etc., and storage of the data with encryption.

4.5.2.3 Both CSD and Contractor shall keep security patches and anti-virus and anti-malware software up to date on all systems on which data may be used.

4.5.2.4 Contractor shall securely destruct data by sanitizing media prior to disposal.

4.5.3 Trusted Behavior Expectations

CSD's application system and users shall protect Contractor's application system/data, and the Contractor's application system and users shall protect CSD's application system/data, in accordance with the Privacy Act of 1974 (5 USC § 552a), Trade Secrets Act (18 USC § 1905), and the Stored Communications Act (18 USC §§ 2701 et seq.). Technology and systems code

and functionality are owned by the respective parties and may not be shared with anyone else or used without the consent of the owner.

4.5.3.1 Incident Reporting

Any party discovering a security incident shall report it in accordance with its incident reporting procedures. Contractor shall, within 24 hours of discovery, report to CSD's Information Security Office at ISO@csd.ca.gov any security incident contemplated herein. Examples include, but are not limited to, stolen or lost equipment, malware/ransomware detection, suspected hacking, etc. Contractor further agrees CSD shall have the right to participate in the investigation of a security incident involving CSD's data, and to cooperate fully with CSD and other relevant State entities during independent investigation of the security incident.

4.5.3.2 Audit Trail Responsibilities

Both parties are responsible for auditing application processes and user activities. Activities that will be recorded include event type, date and time of event, user identification, workstation identification, success or failure of access attempts, and security actions taken by system administrators.

4.5.4 Data Sharing Responsibilities

Contractor shall ensure that all primary and delegated secondary organizations that share, exchange, or use personal, sensitive, or confidential data, pursuant to this Contract and subcontracts issued by Contractor, shall adhere to these security requirements and applicable state and federal law, in addition to further data sharing guidance as may be issued by CSD during the term of this Contract. If data sharing is accomplished via interconnectivity of an application system, then data sharing must be certified to be secure by both parties.

4.5.5 Security Assessment

Contractor shall work with CSD to develop a Memorandum of Understanding (MOU) to further clarify privacy and information security requirements for ensuring the security of personal information of DOE WAP participants and technology systems supporting program administration and service delivery. In addition, the MOU will specify security requirements for Contractor information technology systems storing and transmitting personal information of program participants, to include specific security assessments and audits of Contractor systems that interconnect with CSD in accordance with federal and state requirements.

4.6 Travel and per diem

4.6.1 Contractor's employee travel costs and per diem reimbursement rates shall be reimbursed in accordance with Contractor's written policies and procedures not to exceed federal per diem requirements, and are subject to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR § 200.475), or any amendments thereto, as applicable.

4.6.2 Contractor shall complete the Out-of-State Travel Form (CSD 536) and keep on file with back up documentation for compliance monitoring. Out-of-State travel is limited to two staff per agency per event, unless otherwise indicated on the Out-of-State-Travel Form CSD 536. Contractor must seek preapproval, prior to travel, for non-preapproved conferences when more than two staff are attending.

4.6.3 In the absence of a written travel reimbursement policy, Contractor shall receive reimbursement rates not to exceed federal per diem limits.

4.7 Conflict of Interest

4.7.1 Contractor shall maintain written standards of conduct governing the performance of its employees engaged in the award and administration of contracts or subcontracts. No employee, officer, or agent of the Contractor shall participate in the selection, award, or administration of a subcontract supported by Federal funds if a real or apparent conflict of interest would be involved. Such a conflict would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization that employs or is about to employ any of the parties indicated herein, has a financial or other interest in the firm selected for an award. The officers, employees, and agents of the Contractor shall neither solicit nor accept gratuities, favors, or anything of monetary value from subcontractors or parties to sub-contracts. The standards of conduct shall provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the recipients.

4.7.2 Contractor shall not pay Federal funds received from CSD to any entity in which it (or one of its employees, officers, or agent, any member of his or her immediate family, his or her partner, or an organization that employs or is about to employ any of the parties indicated herein) has an interest. As ownership constitutes a financial interest, Contractor shall not subcontract with a subsidiary. Similarly, Contractor shall not subcontract with an entity that employs or is about to employ any person described in 2 CFR § 200.318.

4.7.3 Contractor shall ensure that its employees and the officers of its governing body do not engage in actual or potential conflicts of interest and that no officer or

employee who has responsibility for any activity or function with respect to DOE WAP and the implementation of this Contract shall have any personal financial interest in such activity or function or otherwise personally benefit or gain from the activity or function.

4.7.4 Contractor shall establish safeguards to prohibit its employees or its officers from using their positions for a purpose that could result in private gain or that gives the appearance of being motivated for private gain for themselves or others, particularly those with whom they have family, business, or other ties.

4.7.5 Contractor shall not provide DOE WAP services or benefits in situations where an actual or perceived conflict of interest exists, unless the activity is explicitly allowed under Contractor's conflict of interest policies and procedures that are compliant with federal requirements. If Contractor provides program services to owner-occupied or rental dwellings that are owned or managed by the Contractor, its employees, or officers, Contractor shall submit the Property Certification form (CSD 378), in advance of providing weatherization services. Contractor shall ensure that other recipients or potential eligible recipients of services are not prejudiced or adversely affected by the receipt of services by Contractor.

4.7.6 Contractor must demonstrate that it will:

4.7.6.1 Follow all federal and state client eligibility and prioritization requirements, as applicable to each service or activity under DOE WAP;

4.7.6.2 Comply with all dwelling eligibility requirements of this Contract, including but not limited to the prohibition against rent increases after service delivery and multiple dwelling restrictions;

4.7.6.3 Substantiate the need for weatherization services by completing a dwelling assessment for each individual dwelling unit served; and

4.7.6.4 Consent to any further conditions required by CSD. Failure to obtain prior written approval by CSD may result in costs being disallowed.

4.8 Procurement Standards

Contract Administration

4.8.1 *Maintenance of written procurement procedures.* Contractor shall administer this Contract in accordance with all federal and state rules and regulations governing DOE WAP grants pertaining to procurement, including the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards and amendments thereto, consistent with the general Code of Federal Regulations compliance requirement in Section 1.4, Article 1 of this

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Contract, and pursuant to CPA-A-12-01. Contractor shall establish, maintain, and follow written procurement procedures consistent with the procurement standards in 2 CFR § 200.317 through § 200.326 or any subsequent amendments to these standards, and the applicable provisions in this Contract, including but not limited to a code of conduct for the award and administration of contracts and a procedure that provides, to the maximum extent practical, open and free competition.

4.8.2 *Eligible Bidders*. Contractor shall not permit any organizational conflicts of interest or noncompetitive practices that may restrict or eliminate competition or otherwise restrain trade. In order to ensure objective subcontractor performance and eliminate unfair competitive advantage, individuals or firms that develop or draft specifications, requirements, statements of work, invitations for bids, and/or requests for proposals shall be excluded from competing for such procurements. Contractor shall only award a subcontract to the bidder or offeror whose bid or offer is responsive to the solicitation and is most advantageous to Contractor when considering price, quality, and other factors relevant to the procurement. Contractor's solicitations shall clearly set forth all requirements that the bidder or offeror must fulfill in order for the bid or offer to be adequately and fairly evaluated by the recipient.

4.8.3 All supplies, materials, equipment, or services purchased or leased with funds provided pursuant to this Contract shall be used solely for the activities allowed under this Contract, unless the fair market value for such use is charged to the benefiting program and treated as program income earned under this Contract.

4.8.4 Contractor shall provide for an open and free competition, to include a cost analysis, in accordance with federal and state law, for the procurement of materials, supplies, equipment, or services.

4.8.5 *Non-competitive bid justification*. If a service or product is of a unique nature, is in response to a public exigency or emergency, or more than one potential vendor/provider cannot reasonably be identified, Contractor shall document adequate justification for the absence of competitive bidding. "Adequate justification" must include but is not limited to:

4.8.5.1 Explanation of why the acquisition of goods or services is limited to one vendor or supplier;

4.8.5.2 Description of sole vendor/supplier's unique qualifications to provide the goods or services in question; and

4.8.5.3 Analysis of cost(s) to demonstrate reasonability.

4.8.6 *CSD Lease/Purchase Pre-Approval Requirements*. To ensure that significant procurement transactions are conducted in an open and freely competitive

manner, Contractor shall prepare and submit a Request for Purchase/Lease Pre-Approval (CSD 558) to CSD at least 15 calendar days prior to executing the subcontract for each of the following procurement transactions:

4.8.6.1 Any articles, supplies, equipment, or services having a per-unit cost in excess of $5,000; or

4.8.6.2 Any articles, supplies, or equipment where the total contract amount exceeds $100,000.

4.8.7 In all procurements, whether requiring CSD pre-approval or not, Contractor is solely responsible for maintaining adequate procurement records demonstrating compliance with Federal and State requirements.

4.8.8 Noncompliance with any of the provisions in this section may result in a disallowance of costs related to the procurement transaction.

4.9 Use and Disposition of Vehicles and Equipment

4.9.1 To ensure compliance with the requirements for vehicles and equipment, Contractor shall comply with Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards governing the acquisition of equipment with federal funds set forth in 2 CFR § 200.313.

4.9.2 To ensure compliance with the requirements for equipment, vehicles, and the maintenance of equipment and vehicle records, Contractor shall adhere to CPN-A-17-01 or as revised. Contractor shall include information relevant to any purchase/lease pre-approval documented in the CSD 558 submitted to, and approved by, CSD, including the date the request was sent to CSD, the item(s) requested, and date of CSD approval in Contractor's property records. Pursuant to DOE Guidance (including WPN 24-1, BIL WPN 1, and WPN 17-6), vehicle and equipment purchases made under this agreement are to be expensed as a Program Operations cost. Vehicles and Equipment are Program Operations costs and must be included in the Contractor Average Cost Per Unit (Contractor ACPU) for all projects completed on before May 15th of each year.

4.9.3 Contractor shall provide the information specified in CPN-A-17-01, including any supporting documents, to CSD upon request.

4.9.4 Limitation on Use of Funds. Contractor shall assure that funds received under this Contract shall not be used for the purchase or improvement of land or for the purchase, construction, or permanent improvement of any building or other facility other than low-income weatherization or energy-related home repairs.

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4.10 Subcontracts

4.10.1 Contractor may enter into subcontract(s) to provide services pursuant to this Contract in the service area(s) specified in Section 1.2 of Article 1, Subcontracts must require that parties comply with all applicable provisions of this Contract. Such requirement shall not relieve Contractor from any performance obligation created herein, nor from liability for a subcontractor's failure of performance.

4.10.2 If Contractor elects to subcontract for services, the Contractor's Board authorization and approval must be obtained and communicated to CSD in writing together with notice of execution of the subcontract as provided in Section 4.10.3. Contractor's Board, through a resolution or other official documentation, may elect to delegate the signing authority for the approval of subcontractors to the Chief Executive Officer or designated authority unless such delegation is set forth in the bylaws of the agency and a copy of the provision is communicated to CSD.

4.10.3 Within 60 calendar days of the execution of any subcontract, Contractor shall provide written notification to CSD of the execution of the subcontract as well as identifying information, to include the name of the subcontractor entity, its address, telephone number, contact person, contract amount, and program description of each subcontractor activity to be performed by the subcontractor.

4.10.4 Notification of subcontract execution shall contain certification by Contractor that to the best of Contractor's knowledge, the subcontractor is not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any federal department or agency. For purposes of this certification of subcontractor eligibility, Contractor may rely on information available at https://www.sam.gov/.

4.10.5 If CSD determines that Contractor has executed a subcontract with an individual or entity listed as disbarred, suspended or otherwise ineligible on the Excluded Parties List System as of the effective date of the subcontract, costs Contractor has incurred under the subcontract may be disallowed.

4.10.6 Contractor must ensure that funds expended pursuant to this Contract are allowable and allocable and Contractor must adopt fiscal control and accounting procedures sufficient to enable the tracing of funds paid to any subcontractor to a level of expenditure adequate to establish that such funds have not been used in violation of this Contract. Contractor shall ensure that any subcontracts under this Contract contain all provisions necessary to ensure adequate substantiation and controls of the expenditure of such funds. Contractor may achieve this through detailed invoices, by periodic monitoring of subcontractor's program activities and fiscal accountability, by retaining a right of reasonable access to the subcontractor's books and records, or by any other method sufficient to meet

Contractor's responsibility to substantiate costs required by the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards (2 CFR § 200, Subpart E – Cost Principles).

4.10.7 Contractor shall notify subcontractor(s) in writing within five business days of such action in the event the State suspends, terminates, and/or makes changes to services to be performed that materially alter the obligation of the subcontractor under this Contract.

4.10.8 Contractor is liable for the failure of performance of the terms, conditions, assurances, and certifications of this Contract, without recourse against the State over matters involving subcontracts entered into for the implementation of this Contract, including but not limited to disputes, claims, or other legal action for breach of contract, negligence, torts or criminal acts and other misconduct.

4.10.9 Nothing in this Contract creates or implies a contractual relationship between the State and any subcontractor or creates any obligation by the State to any subcontractor. Contractor is liable to the State for damages to the State for the acts and omissions of its subcontractors that occur in connection with the implementation of this Contract. Contractor's obligation to pay its subcontractors is independent of any obligation of the State to pay Contractor, and Contractor shall not represent to subcontractors any such obligation of the State to pay or ensure payments to subcontractors.

4.10.10 All subcontractors shall be subject to the training and record-keeping provisions in this Contract. In addition, subcontractors whose training is provided at Contractor's expense will be subject to a retention contract, as indicated in Section 9.1.4, Article 9.

4.11 Complaint Management Policies and Procedures

4.11.1 Contractor shall establish and maintain policies and procedures for handling complaints and provide applicants an opportunity to register a complaint based on their experience with attempts to obtain services under DOE WAP. The policies and procedures shall be in writing and Contractor shall provide the complaint process to interested individuals upon request.

4.11.2 Contractor shall ensure that all formal complaints are documented and include the date, time, client name and address, and nature of the complaint and the actions undertaken by the Contractor to resolve the issue. For purposes of this section, "formal complaint" means a written complaint filed with the Contractor by the complainant.

4.11.3 If the Contractor's efforts did not result in a resolution, the Contractor may refer the complainant to CSD. The Contractor shall contact CSD and explain the issue, actions taken to resolve the issue, and provide CSD with all supporting

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documentation that indicates the nature and extent of Contractor's effort to resolve the issue.

4.11.4 The CSD Field Representative shall immediately be notified if the Contractor has reason to believe that the complainant will contact the media, a State or Federal oversight agency or the Governor's Office regarding the complaint.

4.12 Fair Hearing Process for Applications for Denial of Benefits by Contractor:

4.12.1 Contractor shall establish a written appeal process to enable applicants who are denied benefits or services, or who receive untimely response or unsatisfactory performance, the right to appeal the decision or performance to the Contractor. Contractor's process shall include, at a minimum, all of the requirements of 22 CCR § 100805(b), plus:

4.12.1.1 Provisions that ensure that each applicant is notified in writing of the right to appeal a denial of or untimely response to an application, or to appeal unsatisfactory performance. At the time the applicant applies for services, applicant shall be informed of appeal rights and appeal procedures, to include the right to appeal to both the Contractor and to CSD.

4.12.1.2 Provisions that ensure that Contractor will make a good faith effort to resolve each appeal.

4.12.1.3 Provisions that ensure that Contractor shall notify the applicant in writing of the Contractor's final decision within 15 business days after the appeal is requested. If the appeal is denied, the written notification shall include instructions on how to appeal the decision to CSD. Whenever Contractor notifies an applicant of a denial of an appeal, Contractor shall at the same time provide a copy of the final decision to the Manager of CSD's Energy Services Division.

4.12.1.4 Provisions to track information on denials and appeals.

4.12.2 Upon receipt of an applicant's appeal of a Contractor's denial of benefits or services, CSD may conduct a hearing in accordance with established procedures. CSD's decision following the appeal and hearing shall be final.

4.13 Fraud, Waste, and Abuse

4.13.1 Contractor shall submit written reports to CSD within 30 calendar days of discovery of incidents and activities, or suspected incidents and activities, involving fraud, waste, and abuse of DOE funds by Contractor's employees, subcontractors, clients, or other parties affiliated with Contractor. Incidents and

activities subject to reporting under this section include, but are not limited to, criminal acts and other violations of law constituting a misuse of funds that could result in cost disallowance. Contractor shall inform CSD within 30 calendar days of any reports or complaints submitted to law enforcement officials by Contractor, Contractor's employees, subcontractors, clients or other parties affiliated with Contractor, concerning the misuse of DOE funds.

4.13.2 Contractor shall provide employees, subcontractors, clients, and other parties affiliated with the Contractor the information necessary to report fraud, waste, and abuse to the Department of Energy's Office of Inspector General fraud hotline.

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ARTICLE 5 – ADMINISTRATIVE AND PROGRAM EXPENDITURES REQUIREMENTS

5.1 Budget Guidelines

5.1.1 Budget and Allocation Forms

5.1.1.1 Upon execution of this Contract, Contractor shall submit all budget and allocation forms, including the 2022 DOE WAP Weatherization Budget (CSD 570) based on the Maximum Amount of this Contract and in accordance with the accompanying instructions and other applicable provisions of this Contract.

5.1.1.2 In the event the DOE WAP annual grant award is yet to be determined and CSD funds this Contract based on Continuing Resolution appropriations, Contractor shall complete the budget and allocation forms using the Budget Allocation amount as defined in the "Definitions" section.

5.1.1.3 For purposes of allocating indirect costs, contractors may use current negotiated indirect cost rates that have been approved by a cognizant federal agency. Contractor shall submit a copy of the letter of approval from the cognizant agency which includes date of approval and amount of rate. In the absence of a negotiated indirect cost rate, Contractor may elect to use a 15 percent de minimis indirect cost rate as permitted under 2 CFR § 200.414(f).

5.1.2 Minor Modifications

If Contractor intends to request a minor modification to this Contract, Contractor shall submit a Request for Amendment/Modification Energy, Form CSD 509, an updated budget if applicable, and a justification supporting the funds transfer or change request. Contractor may submit the signed request for amendment/modification to CSD via email, fax, or hard copy with signature via Mail.

Minor modifications which Contractor may propose for approval by CSD include the following:

5.1.2.1 Transferring funds within or between Program Services and/or Support Costs program components as defined:

Modifications to the projected budget(s) that do not affect the maximum amount payable under this Contract or the work to be performed within the specific DOE WAP component.

5.1.2.2 An increase to the out-of-State travel budget allocation prior to travel.

5.1.2.3 Changes to the DOE Weatherization Priority Plan Narrative.

5.2 Working Capital Advance and Major Purchase Advances

5.2.1 Working Capital Advance (WCA)

Contractor may, in accordance with applicable law, receive WCA payments of allowable program costs per this Contract, *provided* Contractor complies with the provisions of this section and guidance issued by the State as is needed to implement this section. In order to receive a WCA, Contractor's financial management systems shall be compliant with the provisions of this Contract, WCA Requirements, applicable CPNs and CPAs, and the standards for fund control and accountability as established in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR Part 200).

5.2.1.1 WCA Requirements include the following standards:

5.2.1.1.1 The WCA shall be for the minimum amounts necessary, timed in accordance with Contractor's immediate cash requirements, which will enable Contractor to carry out the purposes of this Contract;

5.2.1.1.2WCA Requirements issued by CSD to Contractor, while conforming to the requirements of this Section 5.2.1, shall take into account the practical requirements and limitations of efficient administration and the effective implementation of this Contract by both Contractor and the State;

5.2.1.1.3 Interest on Advances. Contractor shall deposit all advances in an interest-bearing account. Interest earned amounts up to $500 per year may be retained by Contractor for administrative expense. The account shall be sufficiently segregated to enable the tracking and accounting of WCA funds by CSD. Any additional interest earned on Federal advance payments deposited in interest-bearing accounts must be remitted annually to the federal government pursuant to 2 CFR § 200.305(b)(9); and

5.2.1.1.4 Non-advance Payments and Offsets. If Contractor elects not to request a WCA, payment for allowable expenses under this Contract shall be made upon approval by CSD of Contractor's monthly Expenditure Activity Report. If Contractor owes CSD any outstanding balances for overpayments under any contract, current or previous, the balance may be offset, based on arrangements made with the Contractor.

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5.2.1.1.5 On or before May 15th of each year, Contractor shall liquidate outstanding WCA balance and return any remaining WCA funds to CSD.

5.2.1.2 Contractor shall adhere to WCA Requirements outline in CPN-E-19-001, which is available online at: https://agencies.csd.ca.gov/home/Energy/Pages/CPNCPA-Energy.aspx.

5.2.1.3 Major Purchase Advances

5.2.1.3.1 In the event Contractor needs significant cash outlay for large purchases, a special advance may be requested at any time during the contract term. To request a Major Purchase Advance, the following requirements apply:

5.2.1.3.2 Request must be completed via the Major Purchase Advance Request (CSD 144).

5.2.1.3.3 Limited to purchase of items in excess of $5,000.

5.2.1.3.4 No advance will be issued until the Request for Pre-approval of Purchase/Lease (CSD 558) has been approved by CSD.

5.2.1.3.5 Procurement must comply with the open and competitive bid process, which must be documented through the Request for Pre-approval of Purchase/Lease (CSD 558).

5.2.1.3.6 Advance repayment for major purchases will be liquidated upon the first expenditure reporting period following the date of the purchase of the item or items identified in the Request for Pre-approval of Purchase/Lease (CSD 558). An Advance Request (CSD 144) must reflect 100% liquidation in the month following the expected date of purchase.

5.2.1.3.7 Major Purchase Advance requests will not be granted until such time as no less than 50% of the current WCA has been repaid. The combined total amount of the WCA and Major Purchase advance cannot exceed 25% of the Contract or the remaining Contract balance, whichever is less.

5.2.1.3.8 Interest on Major Purchase Advances. Contractor shall deposit all major purchase advances in an interest-bearing account. Interest earned up to $500 per year may be retained by Contractor for administrative expense. The account shall be sufficiently segregated to enable the tracking and accounting of Major Purchase Advances funds issues by CSD. Any additional interest earned on Federal advance

payments deposited in interest-bearing accounts must be remitted annually to the federal government pursuant to 2 CFR § 200.305(b)(9).

5.2.2 WCA and Major Advance Limits

The total amount advanced to Contractor at any time, whether in the form of a WCA or a Major Purchase Advance, shall not exceed 25% of Contractor's total contract amount. If the WCA request exceeds the remaining balance, then CSD shall only provide Contractor with the amount of the remaining balance. Advance amounts repaid by Contractor may be replaced by additional advances at any time as allowed in this section and corresponding guidance.

5.3 Program Income

5.3.1 Contractor shall maintain records of the receipt and disposition of all "program income" defined in 2 CFR § 200.1 and pursuant to CPN-A-18-01, as income that is generated or earned as a result of DOE WAP activities.

5.3.2 Determining Net Program Income

5.3.2.1 Except as provided below in paragraph 5.3.2.2, any costs Contractor incurs in generating program income may be deducted from gross program income to determine net program income.

5.3.2.2 Contractor shall not deduct from gross program income any allowable program expenses for which Contractor has been, or will be, reimbursed from the DOE WAP grant award.

5.3.3 Expenditure and Reporting of Program Income

5.3.3.1 Program income must be expended in accordance with the requirements for expenditure of regular DOE WAP funds, for allowable program purposes.

5.3.3.2 Contractor shall expend program income during the term of this Contract. Contractor shall report all such expenditures, along with remaining unexpended program income, at the close-out of this Contract or at such other time(s) as CSD reasonably requires.

5.4 Allowable Costs

5.4.1 Cost Reporting

5.4.1.1 All costs shall be reported using a "modified accrual" or "accrual" method of accounting.

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5.4.1.2 Pursuant to the federal grant and applicable regulations, Contractor may only claim reimbursements for actual, allowable, and allocable direct and indirect costs.

5.4.1.3 Contractor shall report all expenditures at actual cost and shall maintain records and source documentation in such a manner as to substantiate all costs reported.

5.4.2 Administrative

5.4.2.1 General

5.4.2.1.1 Administrative costs shall not exceed the amounts as set forth in allocation spreadsheet. Contractor shall not use funds provided under this Contract to cover administrative costs incurred under another contract.

5.4.2.1.2 Administrative Costs shall mean actual costs for auxiliary functions such as salaries, wages, workers' compensation, and fringe benefits for administrative staff, as well as for facilities, utilities, equipment, telephone, travel, accounting, auditing, monitoring assistance, office supplies, and like services necessary to sustain the direct effort involved in administering a grant program or an activity providing services to the grant program.

5.4.2.2 Contractor shall use 2 CFR Part 200 Subpart E – Cost Principles as a guide for determining administrative costs.

5.4.2.3 Travel and per diem costs related to the participation and attendance at policy advisory committees and work groups will be reimbursed by CSD in addition to Contractor's allocation, upon submittal of an allowable claim to CSD or CSD's representative.

5.4.2.4 Administrative Equipment More Than $5,000—Acquisition Costs

5.4.2.4.1Acquisition costs shall mean the actual costs associated with the purchase of equipment over $5,000 per unit used for administrative purposes.

5.4.2.4.2 CSD pre-approval is required for the purchases or lease-purchase option of equipment with a total value greater than $5,000 utilizing the Request for Pre-approval of Purchase/Lease (CSD 558).

5.4.2.5 Administrative Out-of-State Travel

Administrative out-of-state travel costs shall mean cost incurred for out-of-state meeting, conferences or training that is critical to administering and/or maintaining DOE WAP. Travel expenses are limited to transportation, subsistence and related items incurred by traveling on official business on behalf of Contractor for DOE WAP purposes.

5.4.3 Program Costs

5.4.3.1 General

Program costs are all allowable costs other than Administrative Costs. Program costs include those costs that are directly attributable to the performance of this Contract and that are reasonable and necessary as determined by CSD for the purpose of delivering services. Allowable costs shall be as set forth in Uniform Administrative Requirements, Cost Principles, and Audit Requirements (2 CFR Part 200 Subpart E – Cost Principles).

5.4.3.2 Intake

Intake costs shall include, but are not limited to, the process of completing an intake form and reviewing applicant documentation in order to verify eligibility.

5.4.3.3 Outreach

Outreach shall include those actual costs associated with outreach and related services.

5.4.3.4 Direct Program Activities

Direct Program Activities shall mean those costs associated with the installation of measures to those dwellings weatherized and reported as completed, to include but not limited to, assessment, diagnostic testing, labor, materials, subcontractors, environmental inspections, permits, California Home Energy Rating System (HERS Raters), and lead-safe weatherization materials.

5.4.3.5 Liability Insurance

Liability Insurance shall mean those actual costs allocated for insurance bonds, general liability, vehicle, and pollution occurrence insurance (if applicable).

5.4.3.6 Training and Technical Assistance

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5.4.3.6.1 Training and technical assistance shall not exceed the actual cost as set forth in the project funding page and shall be reimbursed at actual cost.

5.4.3.6.2 Associated training and technical assistance costs may include costs related to: travel, admission, materials, client education, and actual salaries/wages. Subcontractor training costs are limited to travel, client education admission and materials.

5.4.3.6.3 Training and technical assistance shall include costs associated with the completion of training of personnel or subcontractors to perform program activities related to outreach, intake, client education, and weatherization training as specified in the Training Requirements of Article 9.1 of this Contract. Training includes, but is not limited to, internal contractor training, safety training, attendance at weatherization-related training to include the software database collection system or other forms of training to aid the development and skill of staff in utilizing and supporting internal program automation systems, and/or weatherization-related workshops sponsored by utility companies, Department of Energy (DOE), or CSD training. CSD training may include Local Service Provider's Meetings and Association of California Community and Energy Services Roundtable Meetings, and/or other organizations offering a component of weatherization training, and/or is necessary to carry out the direct delivery of services.

5.4.3.6.4 Training is limited to agency or subcontractor personnel who will be performing weatherization services directly funded by DOE WAP.

5.4.3.6.5 Training for job corps and workforce development trainees shall be limited to required CSD health and safety training sessions, unless otherwise approved by CSD.

5.4.3.6.6 Out-of-State Travel. Contractor staff out-of-state travel costs shall mean cost incurred for out-of-state meetings, conferences or trainings that are critical to carrying out the DOE program. Travel expenses are limited to transportation, subsistence, and related items incurred by traveling on official business on behalf of the Contractor for DOE WAP.

5.4.3.7 Acquisition Costs

5.4.3.7.1 Minor Vehicle and Field Equipment Costs Less Than $5,000 – Acquisition Costs

Minor Vehicle and Field Equipment costs under $5,000 per unit must follow all federal and state rules and regulations governing DOE WAP pertaining to procurement standards.

5.4.3.7.2 Major Vehicle and Field Equipment Costs $5,000 or Greater– Acquisition Costs Must Be Pre-Approved

CSD and DOE pre-approval is required for the purchases or lease-purchase option of vehicles and field office equipment with a total value of $5,000 or greater, utilizing the Request for Pre-Approval of Purchase/Lease (CSD 558).

5.4.3.8 General Operating Costs:

General Operating Costs may be charged to the program and are for costs that are directly allocable to those costs defined as related facilities, office and computer equipment, office supplies, telephone, travel and materials and activities to prevent exposure related to COVID-19 as allowable program costs.

5.4.3.9 Other Program Costs:

5.4.3.9.1 Other Program Costs

Other Program Costs shall mean the actual costs associated with field staff wages, program management and support wages, ancillary supplies, disposal fees, and Historic Preservation review costs, lodging and per diem, vehicle and equipment repair, maintenance, and fuel, waste, breakage, and solar water heating maintenance/warranty.

5.4.3.9.2 Workers' Compensation

Workers' Compensation shall mean those actual costs associated with workers' compensation coverage for program staff whose salaries and wages are chargeable under program costs.

5.4.3.10 Client Education/Counseling Services

Contractor shall include those actual costs associated with providing group client education, energy conservation information, resource and referral, budget counseling, mold education, and lead safe education.

5.4.3.11 Automation Costs

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5.4.3.11.1 Contractor can expend funds to the Automation Costs (AC) in an amount not to exceed $5,000, to be used to meet the contract program startup requirements such as the Contractor's IT automation needs to comply with updated or new Expenditure Activity Reporting System and the Weatherization Database ("CSD System") requirements or contractual reporting requirements programmatic in nature, related to CSD System IT expenses, and with ongoing programmatic IT expenses. AC funds are not limited exclusively to CSD System -related IT expenditures but any IT expense related to CSD System costs incurred including necessary training on upgrades to Contractor's system.

5.4.3.11.2 If Contractor's cost requires an increase to the AC budgeted amount Contractor may request written approval from CSD to exceed the five thousand ($5,000) dollar maximum.

5.4.3.11.3 Contractor shall report all AC and IT expenditures related to compliance with the reporting requirements under this Contract in the Automation Costs line item. Such expenditures may include, but is not limited to, computer and IT equipment; approved front-end database acquisition and ongoing subscription costs; IT security implementation costs; and IT systems training. All costs reported in this line item must be directly related to program functions. IT costs related to administrative functions shall be reported as administrative costs pursuant to the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards.

5.4.3.11.4 Contractors with multiple DOE contracts for the same program year are limited to reimbursement up to $5,000 per contract. Contractor shall allocate costs among contracts when permitted and may not charge the same costs to more than one contract.

5.4.3.11.5 CSD System related IT costs charged to the AC shall be submitted for reimbursement in accordance with CSD's normal reporting and accounting procedures.

5.4.3.11.6 Contractors that remain in contract with their front-end vendor are not required to conduct a procurement for ongoing maintenance, updates or process improvements performed by the front-end vendor.

5.4.3.12 Health & Safety Activities

5.4.3.12.1 Health & Safety Activities shall mean those costs associated with installation of measures classified as health and safety measures and to include labor, materials, lead safe weatherization renovator certification and subcontractors. These costs shall represent the cumulative total of

expenditures from the separate Health & Safety Activities section of the DOE Monthly Expenditure Report.

5.4.3.12.2 Contractor shall apply no more than the allowable maximum amount toward mitigating health and safety hazards as described in the DOE Weatherization Budget (CSD 570). The allowable maximum shall be determined using the Health and Safety formula as defined in Article 13, "Definitions". Reimbursement shall be limited to the allowable maximum contingent upon expenditure of line items included in the Health and Safety formula.

5.4.3.12.3 Lead Safe Weatherization means those expenses associated with performing lead safe weatherization, lead renovator certification for ensuring lead paint safety on weatherized dwellings built prior to 1978, including materials, and the time spent by the EPA-Certified Renovator completing the EPA reporting requirements while on the job site.

5.5 Reimbursement Guidelines

5.5.1 Claims for Reimbursement

5.5.1.1 Pursuant to the federal grant and applicable regulations, Contractor may only claim reimbursements for actual, allowable, and allocable direct and indirect costs. Contractor shall report actual costs incurred for actual expenditures up to any applicable maximum amounts set by this Contract.

5.5.1.2 Contractor shall not incur expenditures prior to execution of this Contract by both parties.

5.5.2 General

5.5.2.1 Contractor may claim reimbursement for weatherization-related activities under the terms of this Contract as documented on the CSD Dwelling Assessment Form (CSD 540) or approved Contractor's equivalent for each eligible household not previously weatherized under the Annual DOE WAP, BIL WAP and funding granted under the American Recovery and Reinvestment of Act of 2009 (ARRA).

5.5.2.2 Contractor is prohibited from leveraging funds with any other DOE program that may be in effect in any dwelling.

5.5.2.3 Contractor shall ensure that duplicate billings for the same product or service do not occur.

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5.5.2.4 All completed dwelling units shall be submitted for payment within 30 calendar days of completion or by the due date of the last reporting period of this Contract, whichever is less. A completed dwelling unit shall not be carried over into another contract period.

5.5.2.5 Contractor Average Cost Per Unit

5.5.2.5.1 Contractor shall be entitled to reimbursement for allowable costs, not to exceed the Contractor Average Cost per Unit (Contractor ACPU) of $8,250 for jobs completed on or before June 30, 2024.

Contractor shall be entitled to reimbursement of allowable costs, not to exceed the Contractor ACPU of $8,497 for jobs completed between July 1, 2024 - June 30, 2025.

Contractor shall ensure the cost for individual weatherized units correspond with specified Contractor ACPU maximums. Job costs shall include conservation measures and activities described in the Reimbursement for Weatherization Activities located on the CSD LAP at https://agencies.csd.ca.gov/Archive/Docs/Page/Contractors.aspx. The formula for determining the Contractor ACPU rate is specified in Article 13, "Definitions".

5.5.2.5.2 The Contractor shall be entitled to reimbursement for allowable costs related to the weatherization of whole multi-family building projects.

If a multi-family building project meets the 66/50 rule in accordance with Article 8.1, Section 8.1.2.6, then total investment for the whole building multi-family project may not exceed the number of dwelling units multiplied by the specified Contractor ACPU. Calculation of total investment for buildings that meet the 66/50 rule includes income eligible, non-income eligible, and vacant units. Contractor must complete the Multi-Family Dwelling Certification form (CSD 75P) to substantiate that the 66/50 rule is being applied correctly.

Contractor shall ensure costs for weatherizing whole multi-family building projects on or before June 30, 2023, do not exceed the number of eligible dwelling units multiplied by the $8,009 Contractor ACPU.

Contractor shall ensure costs to weatherize whole multi-family building projects completed between July 1, 2023 – June 30, 2024, do not exceed the number of eligible dwelling units in the building multiplied by the $8,250 Contractor ACPU.

If performing weatherization services on individual units when approved by CSD and DOE Project Office, and not a whole multi-family building project, Contractor shall ensure costs do not exceed the Contractor ACPU.

5.5.2.6 Group Homes

The maximum reimbursement that can be paid for a group home shall be equal to the current maximum average allowed for single family and multi-unit dwellings.

5.5.2.7 Temporary Shelters/Homeless Individuals

Maximum reimbursement will be based on the unit otherwise qualifying as a multi-unit structure. For the purpose of determining how many dwelling units exist in a shelter, a grantee may count each 800 square feet of the shelter as a dwelling unit or it may count each floor of the shelter as a dwelling unit.

5.5.2.8 Measure Reimbursement

5.5.2.8.1 For those weatherization measures that have an established maximum rate, the reimbursement amount shall be equal to the actual costs of labor, materials and subcontracted services not to exceed the maximum reimbursement allowable.

5.5.2.8.2 For those weatherization measures that have an established maximum quantity, the quantity shall not exceed the maximum quantity allowable.

5.5.2.8.3 Cost and quantities that are projected to exceed the maximum limits as described in Reimbursements Rates for Weatherization may be exceeded if a waiver request has been submitted to and approved by CSD. Contractor shall obtain prior written approval from CSD before work commences.

5.5.2.8.4 Work outside of the scope of the program may only be allowable under extenuating circumstances. Contractor shall obtain prior written approval from CSD before work commences.

5.5.2.8.5 Weatherization measure costs or quantities exceeding the maximum reimbursement limit cannot be offset by charging the cost difference to another weatherization measure, or another CSD or non-CSD program. An exception to this rule exists, however, as identified within Section 5.5.5 Leveraged Funds.

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5.5.2.8.6 When costs for a measure exceed the maximum cost reimbursement, labor hours and/or quantity limits allowed for a health and safety measure as described in Reimbursement Rates for Weatherization, Contractor shall obtain prior written approval from CSD prior to work commencing to exceed the maximum costs limitations for health and safety measures. However, in no case will Contractor be allowed to exceed the maximum allowable for Health and Safety as shown in DOE Weatherization Budget based on the formula specified in Article 13, "Definitions".

5.5.2.8.7 Assessments and Diagnostics

5.5.2.8.7.1 Contractor may claim reimbursement for one full dwelling assessment for each instance of weatherization services including initial weatherization and reweatherization services. Contractor may claim reimbursement for performed dwelling assessments.

5.5.2.8.7.2 In the case of an un-weatherized dwelling where the installation of measures was not feasible and/or the dwelling was not accessible to install measures, Contractor may claim reimbursement for any related assessments and/or diagnostic testing that were performed.

5.5.2.8.7.3 Contractor may claim reimbursement for dwelling assessment and diagnostic testing only once when LIHEAP and DOE funds are used concurrently in the same unit.

5.5.2.8.7.4 Waivers from CSD shall be required for any assessments and diagnostic testing or health and safety and weatherization measure with a cost that will exceed the maximum reimbursements allowable.

5.5.2.8.7.5 HERS Rater and permit fees are acceptable expenses and may be charged only once per dwelling to ECIP EHCS or LIHEAP weatherization or DOE WAP per weatherized dwelling. HERS Rater fee and permit reimbursement include subcontractor cost, staff time on job site, and fees that will be reimbursed based on the actual cost.

5.5.2.8.8 Labor Reimbursement

5.5.2.8.8.1 Contractor shall bill the number of actual labor hours and actual labor cost incurred by weatherization crew members or other persons associated with the installation, assessment and

inspection of weatherization measures, removal of debris and appliances, the procurement of permits and services performed by HERS Raters.

5.5.2.8.8.2 Contractor must be able to substantiate all actual labor hours and labor costs charged.

5.5.2.8.8.3 Actual labor hours and costs for weatherization services shall not exceed the cumulative number of hours on the job site and shall be substantiated with client file documentation, job schedules, and payroll time records.

5.5.2.8.8.4 When the installation of a measure is subcontracted and there are billable labor hours for weatherization crew members who participate in the installation of that subcontracted measure, Contractor may bill, in addition to the subcontracted expenditure, the actual labor hours and labor costs incurred by Contractor's crew members.

5.5.2.8.8.5 Labor expenses for weatherization service delivery shall exclude labor expenses associated with training, travel to weatherization job sites, staff time not associated with the direct installation and/or performance of weatherization services and activities on the job site, downtime and general operating expenses as provided below in subsection 5.5.3 "Other Program Costs".

5.5.2.8.8.6 Labor expenses associated with the manufacturing of installation materials such as cooler covers while not on the job site shall be charged as part of the cost of materials at actual labor hours and actual labor costs.

5.5.2.8.9 Heating and Cooling Appliance Repair and Replacement

For health and safety reasons:

5.5.2.8.9.1 If during the course of repairing a defective unit, additional problems are found that would increase the cost of repairs to an amount beyond the established limits for repairs, Contractor may claim reimbursement for incurred costs related to the repair in addition to those costs associated with the replacement of the heating/cooling appliance.

5.5.2.8.9.2 Dwellings in which a single appliance has been both repaired and replaced, or under a call-back Contractor may claim reimbursement for both the repair and the replacement of the

appliance. Contractor shall report the single appliance as both a repaired and replaced appliance. Call-backs will require additional reporting; refer to CPN-E-12-05.

5.5.2.8.9.3 For multi-unit dwellings with a common system (water heater, heating and/or cooling), Contractor shall prorate the cost among all dwelling units within that building envelope.

5.5.3 Other Program Costs

5.5.3.1 Wages – Field Staff

Contractor may request reimbursement for the actual labor costs including benefits related to weatherization supervisors, assessors, inspectors, and crew members that are allocable to the program but not associated with the direct installation and/or performance of weatherization services/activities on the job site and training, including, but not limited to: job scheduling, job preparation, travel time, disposal of appliances and materials building and prepping of weatherization materials away from the job site and downtime in accordance with any guidance issued by CSD.

5.5.3.2 Wages – Program Management and Support

5.5.3.2.1 Contractor may request reimbursement for the actual labor costs related to program management and support staff directly responsible for the direct management and oversight over the DOE Weatherization program activity or providing direct support to ensure the successful delivery of weatherization services.

5.5.3.2.2 Reported costs may include labor costs associated with performing direct support in coordinating the delivery and tracking of direct program services, including but not limited to: job scheduling, collating and aggregating of weatherization activities and materials, staff time associated with Historic Preservation Review activities, obtaining permits and coordination of subcontracted services.

5.5.3.3 Lodging and Per Diem

Contractor may claim reimbursement for lodging and per diem related to the installation of weatherization measures subject to travel and per diem as described in the Travel and Per Diem Section 4.6 of this Contract.

5.5.3.4 Disposal Fees

5.5.3.4.1 Contractor may claim reimbursement for disposal fees and associated expenses incurred by Contractor and their subcontractor. Disposal fee reimbursement is limited to the actual cost of the fee.

5.5.3.4.2 Contractor may claim reimbursement for the removal of a secondary heating system that cannot be repaired to include associated labor and materials.

5.5.3.5 Vehicle, Equipment Repair, Maintenance and Fuel

5.5.3.5.1 Contractor may claim reimbursement for expenses related to upkeep and maintenance of vehicles and equipment used in the direct delivery of weatherization services. Allowable costs shall be limited to expenditures associated with the maintenance of the vehicles and equipment fuel and oil.

5.5.3.5.2 Contractor shall maintain records for fuel expenditures, vehicle maintenance and vehicle usage to substantiate allowable travel costs related to and allocable to DOE WAP.

5.5.3.6 Historic Preservation Reviews

Historic Preservation Reviews means those expenses that are subcontracted to a third party to perform the collection of and reporting of potential weatherization properties subject to Historic Preservation Review requirements.

5.5.3.7 Waste Breakage

Waste breakage are those expenses associated with weatherization materials that have been damaged and are part of Contractor's inventory or special-order materials that are allocated to CSD programs. The cost of weatherization materials that are damaged and benefit multiple programs must be prorated accordingly. Costs must be directly associated to net changes in inventory and not associated with materials chargeable to another measure line item. Reimbursement for waste breakage is not allowable for subcontractors.

5.5.3.8 Ancillary Supplies

Ancillary supplies are additional low-cost materials or supplies (such as nuts, bolts, screws and washers) necessary to install a weatherization measure and not easily identifiable to a specific measure or dwelling. Costs of ancillary supplies that benefit multiple programs must be prorated accordingly. Costs must be directly associated to net changes in inventory

:usign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

and not associated with materials chargeable to another measure line item. Reimbursement for ancillary supplies is not allowable for subcontractors.

5.5.4 Dwelling Status

5.5.4.1 Completed Units

5.5.4.1.1 Except as otherwise provided in the CSD Technical Reference Manual (TRM), Contractor shall not report a weatherized dwelling as completed nor shall Contractor request reimbursement for a weatherized dwelling until all weatherization measures identified as feasible during the dwelling assessment have been installed and inspected by a Certified Quality Control Inspector and all inspection fails have been resolved.

5.5.4.1.2 For dwellings where no Energy Conservation Measures (ECM) are feasible, health and safety work may be performed, but the home cannot be counted toward the dwelling completion count.

5.5.4.1.3 Contractor shall not bill for incomplete units or prematurely close a unit with outstanding, unfinished weatherization measures in order to receive reimbursement for work completed. If there are measures found to be non-feasible by crew members after the initial assessment, the reason for the non-feasibility shall be documented in the client file and if satisfactorily documented, the job shall be reported as completed in accordance with subparagraph 5.5.4.1.1.

5.5.4.1.4 Contractor shall reimburse CSD for all costs associated with the delivery of weatherization services covered under this Contract to dwellings occupied by households ineligible for weatherization assistance at the time such services were provided.

5.5.4.2 Building Permits

5.5.4.2.1 Contractor shall obtain all required permits in accordance with the TRM, prior to the commencement of all work performed, unless work is performed as a result of an emergency requiring immediate action where there is an imminent danger and requesting a permit would hinder the Contractor's ability to resolve the emergency. If an emergency is remedied, Contractor shall apply for a permit as soon as reasonably possible.

5.5.4.2.2 Penalties or fines imposed on Contractor or subcontractor by the local authority or building department are not allowable costs.

5.5.5 Managing Alternative Funding

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

5.5.5.1 Contractor may perform services and install energy conservation measures in a qualified dwelling as provided herein and in accordance with requirements of any other CSD program and compatible non-CSD funded program, if in the best interest of the client, and as described in the TRM Appendix D Energy Audit/Priority List Protocol, provided:

5.5.5.1.1 Contractor may not leverage DOE WAP funded weatherization service or related activity with other DOE funding.

5.5.5.1.2 Contractor may divide DOE material expenditures associated with a single measure with any funding source other than other DOE WAP provided the combined expenditures reported to each contract does not exceed the maximum reimbursement for the individual measure. Contractor will be required to provide an accounting of labor, material, and quantities installed under each program.

5.5.5.1.3 Contractor shall not bill multiple funding sources for the same product or service unless costs are allocated in such a manner that billing is not duplicative and Contractor receives no more than the total cost of the products and services provided. The amount billed under both DOE WAP and alternative funding source cannot exceed the total cost of the installation of the measure.

5.5.5.1.4 In accordance with TRM Appendix D Energy Audit/Priority List Protocol, individual measure leveraging is allowable under the following conditions:

5.5.5.1.4.1 Full measure leveraging, or braiding of funds, is when the entire measure cost will be paid for by the funds of any non-DOE program. When the total reimbursement for a measure is paid with a non-DOE funding source, and the reimbursement is intended to cover the entire costs of the contracted service, all related costs associated with the installed measure shall be charged to the alternative funding source. Additional costs to facilitate or to offset cost deficits for the measure shall not be charged to another CSD energy program.

5.5.5.1.4.2 Partial measure leveraging, or co-funding, is where the cost of an Audit-Driven Measure (ADM) is divided between the DOE WAP and an alternative non-DOE funding source. The package of measures, including the full cost of the measure to be partially leveraged, must have a Dwelling SIR $\geq$ 1.0 for the BIL DOE WAP share of

cusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

investment. Measures that are not included in this package do not qualify for partial measure leveraging. Leveraged ADMs must have a Measure SIR < 1.0, but ≥ 0.5, to qualify for partial measure leveraging.

5.5.5.1.4.3 Cost sharing is not considered leveraging, but it is a division of measure cost that applies only to Health & Safety, Priority List, and General Heat Waste (audit path only) measures. When cost-sharing, all labor must be billed to the BIL DOE WAP. Material costs may be billed entirely to another program or shared between the BIL DOE WAP and another program.

5.5.5.1.5 Measure buy-down is optional and will apply only to multi-family buildings. The property owner/landlord is allowed to contribute to the cost of an ADM in single-family (2-4 unit buildings only), small multi-family (5-24 units), or large multi-family rental properties (25 or more units). The buy-down must apply to all units served (except any unit occupied by the owner) when the Measure SIR is >1.0 using the reduced measure cost and the Dwelling SIR is ≥1.0 using the total installed cost of the measures to be installed in the building.

5.5.5.1.6 Weatherization Readiness Funds – Only WRF measures may be billed under the "Weatherization Readiness Funds" line item.

5.5.6 Disaster Relief

5.5.6.1 Contractor may claim reimbursement for approved services for qualified disaster victims in accordance with the Disaster Relief Plan which is hereby incorporated by reference to this Contract and available on the CSD Local Agencies Portal website at https://agencies.csd.ca.gov/home/Energy/Pages/Resources.aspx.

5.5.6.2 Reimbursement shall be limited to a maximum average reimbursement of $8,250 per dwelling unit completed on or before June 30, 2024 or $8,497 per dwelling unit completed on or after July 1, 2024.

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

ARTICLE 6 – REPORTING POLICIES AND PROCEDURES

6.1 Reporting Requirements

6.1.1 General

6.1.1.1 Contractor shall submit required client/job detailed data for Weatherization activities to CSD's Weatherization Database on a monthly basis, for the period in which the service activity occurred.

Similarly, adjustments shall be submitted for the monthly period in which services occurred.

6.1.1.2 Contractor shall request reimbursement for expenditures associated with all Contract activities by reporting in the Expenditure Activity Reporting System (EARS), in accordance with CPN-E-19-002: Energy Reimbursement Policies and Procedures, which is available online at: https://agencies.csd.ca.gov/home/Energy/Pages/Resources.aspx.

6.1.1.2.1 Contractor shall submit adjustments in accordance with CPN-E-19-002.

6.1.1.2.2 Payment to Contractor for any given month shall be contingent upon receipt and approval by CSD of the preceding monthly submission.

6.1.1.2.3 Contractor shall be up to date with all monthly reporting no later than May 15th of each contract year. If Contractor is not current with all monthly reporting for each program year, CSD will withhold reimbursement from all open contracts.

6.1.1.2.4 Contractor shall be at or below the required Contractor ACPU as identified in the contract as of May 15th of each contract year. If Contractor exceeds the Contractor ACPU, CSD will disallow costs to bring the Contractor into compliance with the Contractor ACPU requirement.

6.1.1.2.5 Contractor shall liquidate outstanding WCA balance and return any remaining WCA funds to CSD by May 15th of contract year. Failure to liquidate WCA balance by this date will result in CSD withholding reimbursement payments and issuance of any future WCAs under this agreement.

6.1.1.2.6 Contractor must report expenditures in EARS and ECORE the month after the expenditures occur.

cusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

6.1.1.2.7 Contractor must settle any negative balances no later than May 15th of the contract year.

6.1.1.3 Contractor shall ensure that the data reported in the Weatherization Database and the request for reimbursement reported in EARS, reconcile in accordance with CPA-E-18-005.

6.1.1.4 Contractor shall submit requested client files, records and documents to the File Transfer Protocol (FTP) Server quarterly or as requested by CSD. CSD shall use Contractor-submitted documents to perform an in-house desk review to verify compliance with financial, administrative and programmatic requirements.

6.1.1.5 Reporting System Requirements

6.1.1.5.1 CSD will provide Contractor with specifications of minor IT reporting changes or other minor changes, and upon receipt of the specifications, Contractor shall implement system changes in their local system within 30 calendar days. Minor changes are those that are routine in nature to begin performance under the Contract such as but not limited to [illegible] deleting measures and adjusting eligibility guidelines.

6.1.1.5.2 Major reporting changes, upon receipt of the specifications, shall be implemented in Contractor's local system as negotiated by CSD. Major IT system changes are those changes made to the business rule validations as listed in the most current Weatherization DTR and/or new field lines as outlined in the DTR Document (Schema-Breakdown). The most current Weatherization DTR and Data Transfer Reference Document (Schema-Breakdown) are located on the CSD Local Agencies Portal website on the Resources website page.

6.1.2 CSD Review and Approval of Reports

6.1.2.1 CSD shall review and approve Contractor's monthly reimbursement/activity reports before offsets to advances or reimbursement payments are issued. CSD will conduct an ongoing evaluation of Contractor's performance related to program, fiscal operations, Contractor ACPU, and its demonstrated ability to effectively utilize all funds available under this Contract.

6.1.2.2 The issuance of other CSD contracts, including reimbursement payments to Contractor, shall be contingent upon timely receipt of the required reports, and/or compliance with the material requirements of this Contract.

6.1.3 Close-out Report

6.1.3.1 Contractor shall submit, on the appropriate CSD forms, a close-out report verifying all actual, allowable, and allocable costs expended during the term of this Contract and return all excess reimbursement and unexpended funds to CSD within 30 calendar days of the expiration of this Contract. If Contractor fully expends funds prior to the end of the contract term, all appropriate CSD close-out forms shall be submitted within 30 calendar days of final expenditure.

6.1.3.1.1 Administrative costs shall remain proportionate to the allowable program expenditures, not to exceed the amount set forth in the allocation spreadsheet.

6.1.3.1.2 Training and Technical Assistance costs shall remain proportionate to the allowable program expenditures, not to exceed the amounts set forth in the allocation spreadsheet.

6.1.3.1.3 Health and Safety shall not exceed 33% of the allowable Program Operations expenditures in accordance with the formula defined in Article 13, "Definitions".

6.1.3.1.4 Any Administrative, Health and Safety, and Training and Technical assistance costs that exceed the maximum limits shall be disallowed.

6.1.3.1.5 Subsequent payments, including advance payments, for DOE or other CSD contracts may be withheld, absent timely receipt of the close-out report of this Contract.

6.1.3.2 The issuance of other CSD contracts, and reimbursement and advance payments for existing contracts, may be withheld, absent receipt of the close-out report which is due no later than 30 calendar days after Contractor fully expends or the end of the Contract term.

6.1.3.3 The close-out report shall include the following forms and be available on the CSD Local Agencies Portal website:

6.1.3.3.1 DOE Close-Out Checklist (CSD 720);

6.1.3.3.2 DOE Close-Out Equipment Inventory Schedule (CSD 720D); and

6.1.3.3.3 DOE Close-Out Reconciliation Report (CSD 720E).

:usign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

6.1.3.4 Unexpended Funds

6.1.3.4.1 Contractor shall use the DOE Close-Out Reconciliation Report (CSD 720E) to reconcile and report actual costs, interest earned, and reimbursements.

6.1.3.4.2 Any unexpended funds shall be returned to CSD at the time the close-out report is submitted.

6.1.3.5 Any weatherization materials purchased with these funds and remaining at the Contract expiration shall be credited against Contractor's weatherization materials expenditures under this Contract and charged to whatever other weatherization program Contractor may have in effect. If Contractor has no other weatherization program in effect, CSD shall determine how the materials will be disposed and what, if any, financial adjustments are required.

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

ARTICLE 7 – PROGRAM POLICIES AND PROCEDURES

7.1 Program Standards and Regulatory Requirements

7.1.1 Program Standards

7.1.1.1. Contractor shall adhere to all CSD program standards pursuant to the following documents and manuals which have been incorporated by reference and made part of this Contract as if attached hereto:

7.1.1.1.1 CSD Technical Reference Manual (TRM);

7.1.1.1.2 Official State and Federal Program Notices and Guidance Documents;

7.1.1.1.3 DOE WAP Disaster Relief Plan;

7.1.1.1.4 Current Eligibility and Verification Guide;

7.1.1.1.5 Weatherization DTR;

7.1.1.1.6 Contractor's DOE WAP – Participation Requirements and Application;

7.1.1.1.7 Upon execution of the Agreement, Contractor will acknowledge receipt of all current and revised technical manuals, policies, and protocols in Article 7.1.1.1; and

7.1.1.1.8 The CSD Training Policies and Procedures Manual (TPPM).

7.1.1.2 In the event of disagreement between policies and field protocols contained within the TRM and/or the Weatherization Policies and Procedures and this Contract, Contractor shall abide by the terms of this Contract.

7.1.2 Regulations

7.1.2.1 Standards contained in the most current Uniform Building Code and local city and county codes shall take precedence over the CSD TRM if the code requirement is not included in the manual and/or is more stringent.

7.1.2.2 All work performed by Contractor shall be in compliance with most current and applicable provisions of the California Energy Commission Building Energy Efficiency Standards, Alterations under Title 24, Part 6, of the California Code of Regulations, HERS Program regulations.

cusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

7.1.2.3 Services provided to all covered pre-1978 dwellings shall be in compliance with the most current Environmental Protection Agency rules in 40 CFR Part 745 et seq., Lead-Based Paint Poisoning Prevention in Certain Residential Structures, and the Housing and Urban Development rules in 24 CFR Part 35 et seq., and Lead; Requirements for Hazard Education Before Renovation of Target Housing: Final Rule (63 FR 29908).

7.1.2.4 All materials procured for weatherization purposes shall be in conformance with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

7.1.2.5 All materials used must be in compliance with Department of Energy rules in 10 CFR Part 440, Appendix A.

7.1.3 Title 24

7.1.3.1 Contractor shall, when required by its local jurisdiction, obtain a building permit when additions or alterations of existing residential buildings are performed or when a component, system, or equipment of an existing building breaks, cannot be repaired and must be replaced.

7.1.3.2 Title 24 requirements are applicable only to energy conservation measures and Health and Safety appliance replacements of heating, cooling, and water heating installed to dwellings located within Contractor's specific California Energy Commission (CEC) Climate Zone. For a listing of the CEC climate zones, refer to the CSD Local Agencies Portal website at https://agencies.csd.ca.gov/home/Energy/Pages/Resources.aspx. Contractor shall exercise caution not to utilize the DOE Climate Zone for compliance with California's Title 24 Energy Efficiency Standards for Residential and Nonresidential Requirements.

7.1.3.3 Contractor shall obtain the services of a qualified HERS Rater when required to perform required field verification and diagnostic testing on applicable weatherization measures and building alterations performed under this Contract.

7.1.3.4 The HERS Rater shall be an independent entity from the Contractor or subcontractor performing the building alteration and/or energy-efficiency improvement being tested and verified and shall have no financial interest in the work performed.

7.1.4 Pre-1978 Dwellings

7.1.4.1 Lead-based paint is presumed to be present in all pre-1978 units unless the dwelling unit has previously been certified by a California Certified Inspector/Risk Assessor to be lead-free.

7.1.4.2 Dwellings that are not previously certified to be lead-free, were built prior to 1978, and are receiving weatherization services in which painted surfaces exceeding de minimis levels are disturbed, require the successful achievement of lead-safe standards after the completion of weatherization services. Contractor shall assure that an Environmental Protection Agency (EPA) Certified Renovator performs the post-weatherization verification after the completion of weatherization services and that the Assessor deems the weatherized meets EPA Renovation, Repair, and Painting Rule lead-safe standards.

7.1.4.3 HUD units not previously certified to be lead-free, built prior to 1978, and receiving weatherization services in which painted surfaces exceeding de minimis levels are disturbed, require the successful achievement of lead-safe standards after the completion of weatherization services. Contractor shall assure that a third-party California Certified Inspector/Risk Assessor performs the clearance inspection after the completion of weatherization services and that the Assessor deems the weatherized HUD unit as lead-safe.

7.1.4.4 Contractor shall document notification to tenants of multi-unit housing of weatherization and/or renovation activities in common areas using the Notice of Weatherization/Renovation (CSD 320) or approved Contractor's equivalent and Record of Tenant Notification Procedures (CSD 322) or approved Contractor's equivalent.

7.2 Service Priority Guidelines

7.2.1 Contractor shall give first priority for weatherization services to those households of families with children 19 years of age or younger, disabled, elderly persons (ages 60 years or older) and households with high energy burdens.

7.2.2 Contractor may give first priority for services to those households whose members have life-threatening emergencies.

7.2.3 Equitable Treatment. Contractor shall ensure that owners and renters receive equitable treatment under this program.

7.2.4 Eligibility Income Data - If the Contractor displays income eligibility data on its website(s), Contractor must regularly update the information to align with the most recent income eligibility guidelines applicable to the services covered by

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

this agreement. The displayed information must include specific reference to DOE WAP income eligibility guidelines.

7.3 Outreach and Intake Activity Guidelines

7.3.1 Outreach

Contractor shall perform appropriate outreach activities to ensure that households in the service area(s) are informed about all DOE WAP services and have an opportunity to apply for such services.

7.3.2 Intake

Contractor shall use intake program funds for determining eligibility of applicants seeking DOE WAP services. Services include the process of completing an intake application and reviewing applicant documentation. Contractor shall:

7.3.2.1 Establish reasonable hours whereby applicants will have access during regular business hours to seek program information with an assurance that the Contractor shall respond to the applicant's request within a reasonable amount of time.

7.3.2.2 Accept applications for assistance during regular business hours.

7.3.2.3 Accept applications at sites that are geographically accessible to all households in the area served by Contractor.

7.3.2.4 Provide low-income individuals who are physically infirm with the means to submit applications without leaving their residences.

7.3.2.5 All sites where intake is conducted must be accessible to the disabled.

7.3.2.6 If Contractor opts to "pre-screen" applicants for benefits by discussing eligibility criteria and by counseling potential clients in advance of their completing and submitting an Energy Intake Form (CSD 43) or approved Contractor's equivalent, Contractor must apply income guidelines and Contractor's DOE Weatherization Priority Plan Narrative (CSD 793) when prescreening applicants. If the applicant appears to be ineligible, Contractor must so inform the applicant but must nevertheless notify prescreened applicants of the right to apply for benefits upon changes in the prescreened applicant's circumstances and status. Energy Intake Form (CSD 43) or approved Contractor's equivalent must be provided to an applicant upon request, whether or not a prescreening process is employed.

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

7.4 Client Education and Counseling Activities

Client Education/Counseling Activities program funds shall be used for such services, including client needs assessment, client education and budget counseling, that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance.

7.4.1 Needs Assessment

Contractor shall conduct a needs assessment for each applicant, which shall include computing the energy burden of each applicant's household and prioritizing households as described in Article 7.2, Service Priority Guidelines.

7.4.2 Client Education / Budget Counseling

7.4.2.1 Contractor shall provide to all recipients of energy assistance under this Contract applicable energy conservation information and budget counseling in accordance with Contractor's approved DOE Weatherization Priority Plan Narrative (CSD 793). As a minimum Contractor shall include the following:

7.4.2.1.1 Information to the client regarding the importance of applying for energy assistance prior to being in an arrearage situation and to include information concerning various utility company budget payment plan(s) and other forms of energy assistance offered within the State;

7.4.2.1.2 Written information that describes energy-saving behavioral adjustments that will decrease the energy consumption of the household;

7.4.2.1.3 Written information that identifies safety conditions assessed in the home and as self-declared by occupants, in accordance with the CSD TRM Appendix E Health and Safety Requirements, CSD TRM individual measure standards, and as required in the CSD 540G Health and Safety Form (A copy of the completed CSD 540G form shall be left with the client during the assessment visit);

7.4.2.1.4 Resource information, referral, family, and budget counseling in order to assist clients in achieving self-sufficiency;

7.4.2.1.5 Referral to other community, state or federal programs to address conditions that may exist that cannot be mitigated due to the scope of the corrections which exceed DOE WAP or other CSD weatherization programs and cannot be achieved in a cost-effective manner.

7.4.2.1.6 The EPA pamphlet "Renovate Right: Important Lead Hazard Information for Families, Child Care Providers and Schools";

:usign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

7.4.2.1.7 The EPA pamphlet "A Brief Guide to Mold, Moisture, and Your Home";

7.4.2.1.8 A description of the benefits that the client can expect to receive as a result of the weatherization measures installed and diagnostic tests performed in the dwelling;

7.4.2.1.9 Disclosure of any identified health, safety, or structural hazard conditions or deficiencies to the property owner and occupying tenant; and

7.4.2.1.10 The EPA pamphlet "A Citizen's Guide to Radon: The Guide to Protecting Yourself and Your Family from Radon."

7.4.2.1.11 The California Department of Public Health fact sheet "About Asbestos in the Home and Workplace".

7.4.2.2 Contractor shall place in the client's file the Client Education Confirmation of Receipt (CSD 321) or Contractor's equivalent, which substantiates that the client was provided with energy conservation, budget counseling, and mold and moisture, lead-based paint-safe, radon, and asbestos education.

7.4.2.3 In the event pre-existing health, safety, or structural conditions prevent the delivery of weatherization services or a particular measure, Contractor shall complete the CSD Weatherization Deferral Form (CSD 542) to document the reason(s) for the service deferral and provide a copy to the property owner and occupying tenant.

7.4.3 Coordination

Contractor shall refer all potentially eligible applicants to other energy or conservation programs including, but not limited to the LIHEAP Weatherization Program, ECIP EHCS, HEAP, California Alternative Rates for Energy Program (CARE), Reduced Rate Program (RRP), or Arrearage Management Payment (AMP) Plan. Contractor shall coordinate its activities with other federal, state, or local energy conservation programs with the goal of conserving energy, improving thermal efficiency, or defraying energy costs of low-income households.

7.5 Leveraging/Cost Sharing/Buy-Down Activities

7.5.1 Leveraging, cost sharing, and buy-downs with weatherization funds may be used to install feasible measures in accordance with the CSD TRM Appendix D Energy Audit/priority List Protocol. Decision making for measure cost management shall be documented in the client file accordingly.

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

7.5.2 When using alternative funding with BIL DOE WAP to pay for a measure, Contractor shall ensure that the measure installation conforms with BIL DOE WAP weatherization guidelines.

7.5.3 Contractor shall track the use of different funding sources with sufficient detail to confirm that funds are spent according to federal regulations and CSD policies. Contractor shall document within the Weatherization client file the activity performed, date of the activity performed, and the source of the leveraged funds.

7.5.4 CSD may use information about activities paid for with funds from alternate funding sources for the purpose of verifying the delivery of services. CSD may review and verify or use a third-party inspector to review and verify that the leveraged-funded activities conform to applicable DOE WAP standards and practices.

7.6 Record-Keeping Responsibilities

7.6.1 Contractor shall maintain client intake/needs assessment form(s) for Weatherization, together with appropriate supporting documentation and shall maintain separate client files containing supporting documents related to disqualifications, denials, and appeals for each applicant who is not certified as being eligible to receive assistance.

7.6.2 Contractor shall make a reasonable effort to collect the completed Client/Customer Consent Form and Authorization to collect energy usage data when the client applying for services is not the person listed as the account holder of the utility bill. Client services shall not be denied if the client or bill account holder refuses to sign the consent form.

7.6.3 All Client Files – Requirements

Contractor shall maintain a separate hard copy or electronic file for each applicant. These files shall include, the following documentation, when applicable:

7.6.3.1 For Public Agencies only: Statement of Citizenship, Alienage and Immigration Status for Public Benefits (CSD 600), and supporting documents;

7.6.3.2 Energy Intake Form (CSD 43) or approved Contractor's equivalent;

7.6.3.3 Multi-Family Property Intake Form (CSD 43-MFP) or approved Contractor's equivalent;

7.6.3.4 Utility/energy bill(s) for all sources of energy used by qualified households;

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7.6.3.5 Documentation supporting eligibility in accordance with the Eligibility and Verification Guide;

7.6.3.6 Client Education Confirmation of Receipt (CSD 321) or approved Contractor's equivalent that substantiates that the client was provided services;

7.6.3.7 Client denial or approval notification;

7.6.3.8 Certification of Income and Expenses (CSD 43B);

7.6.3.9 Client/Customer Consent Form and Authorization (CSD 081) – Only requested when the client is not the account holder of the utility bill;

7.6.3.10 CSD Dwelling Assessment Forms (CSD 540 series which includes: 540 Dwelling Assessment, 540A Weatherization Mold/Moisture Assessment and Release, 540C Mechanical Ventilation Calculator, 540D Mechanical Ventilation Assessment, 540E Refrigerator Calculator, and 540G DOE Health and Safety Form) or approved Contractor's equivalent when allowed,

7.6.3.11 Combustion Appliance Safety Inspection Form (CASIF) series (CSD 700, CSD 700B (Interim CASIF), or CSD 700C (Appliance Repair & Replacement CASIF);

7.6.3.12 Shell Leakage Data Sheet (CSD 704);

7.6.3.13 Duct Test Data Sheet (CSD 706);

7.6.3.14 CSD Weatherization Deferral Form (CSD 542) and other source documentation supporting deferrals and appeals;

7.6.3.15 Notice of Weatherization/Renovation (CSD 320) or approved Contractor's equivalent;

7.6.3.16 Record of Tenant Notification Procedures (CSD 322) or approved Contractor's equivalent;

7.6.3.17 Energy Service Agreement for Occupants (CSD 515A) or approved Contractor's equivalent;

7.6.3.18 Energy Service Agreement for Rental Property Owners (CSD 515B) or approved Contractor's equivalent;

7.6.3.19 Lead-Based Paint Regulatory Compliance Report (CSD 708);

7.6.3.20 DOE Energy Audit/Priority List (CSD 710);

7.6.3.21 Contractor Post-Weatherization Inspection Report (CSD 611);

7.6.3.22 Multi-Family Dwelling Unit Eligibility Certification (CSD 75P) or approved Contractor's equivalent;

7.6.3.23 Client confirmation of work completed;

7.6.3.24 Required building permits or building's permit applications, or documentation of permit cost, and evidence of final permit inspection;

7.6.3.25 Copy of lead clearance inspection by a California Certified Inspector/Risk Assessor for applicable pre-1978 HUD units;

7.6.3.26 Waivers from CSD to exceed maximum costs and quantity limits of weatherization measures and work outside of the scope of CSD weatherization policies and standards;

7.6.3.27 Documented approvals from DOE and CSD to make a fuel change for an installed appliance;

7.6.3.28 Documentation that substantiates all actual labor hours including a time and activity log associated with each job;

7.6.3.29 Documentation of weatherization measures installed and leveraged with other CSD and non-CSD weatherization program funds;

7.6.3.30 Documentation that substantiates the criteria and basis for replacement of all gas and electric appliances including results of all required diagnostic tests results and the non-feasibility of all mandatory measures not performed or installed;

7.6.3.31 Documentation indicating the manufacturer, manufacture date, make, serial number and model and metering information for all refrigerator replacements;

7.6.3.32 Documentation and records substantiating mileage claims by individual weatherized Single-Family Dwelling (SFD) and Multi Unit Dwelling (MUD) Unit;

7.6.3.33 Documentation of HERS Rater's inspection report and a copy of the invoice from the HERS Rater, in addition to the Residential Compliance Forms (CF-1R, CF-4R and CR-6R);

7.6.3.34 Documentation providing evidence that the client receiving disaster-related services was a victim of a natural disaster;

7.6.3.35 Documentation providing evidence of participation in a federal, state, or local government rehabilitation program if being used to qualify ineligible multi-family dwelling units for weatherization services;

7.6.3.36 Documentation of notification to the owner-occupant, tenant and/or the owner of a rental unit or owner's agent of significant structural changes to the dwelling due to weatherization services;

7.6.3.37 All Historic Preservation Online review documentation, including the copies of the printed Project Description Sheet (PSD) and HPO site e-mails;

7.6.3.38 REM/Design Improvement Analysis Report and REM/Design Building File Report reports indicating measure that meet the SIR requirement for installation;

7.6.3.39 Documentation of attempts to schedule post-weatherization inspection

7.6.3.40 Justification images, when required;

7.6.3.41 Notice of Survey by Electrical Contractor (CSD 543);

7.6.3.42 REM Energy Audit Entry Form (CSD 544);

7.6.3.43 Insulation Certificate (CSD 610);

7.6.3.44 REM/Design Multi-Family Input Sheet (CSD 808);

7.6.3.45 If Contractor administers Weatherization Readiness Funds refer to CPA-E-23-04, CPA-E-23-04M1, WRF Fact Sheet, and WRF Client Consent Form for guidance.

7.6.3.46 If Contract administers (WRF) then the following must be included in client file of each unit that received WRF:

- Photographic documentation of the conditions requiring the WRF work;
- A copy of the contractor's and/or subcontractor(s) license(s) to perform particular WRF measure(s);
- Repair(s) Proof that home would have been deferred if WRF condition(s) not addressed;
- Steps Contractor went through to ensure home billed as a DOE

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Unit;

- Any additional supporting documentation to validate the use of WRF funds as collected by the Contractor.

7.6.3.47 All other documentation as further defined by CSD.

7.6.4 Translation of Forms

Contractor shall use a certified translator deemed qualified by the Contractor when translating CSD forms that require a client/customer signature into a foreign language.

7.6.5 Other Recordkeeping Responsibilities

7.6.5.1 Labor and Materials

7.6.5.1.1 Contractor shall maintain documentation in such a manner that include job references and total labor hours so that actual costs and actual labor hours billed to the weatherization programs can be substantiated.

7.6.5.1.2 Contractor shall document all costs expended under this Contract with purchase orders, inventory records, and payroll records identifying the funding source.

7.6.5.1.3 Contractor shall maintain documentation in such a manner to prove that materials used under this program conform to the requirements contained within the CSD TRM and/or state, county, or local regulations.

7.6.5.2 Training

Contractors who perform weatherization services are required to input, update, and maintain employee data in the CSD Training Database. The Training Database is located and maintained on the CSD Local Agencies Portal website and is a repository for Contractor and their subcontractors to track and monitor employees' completed trainings as they progress through the CSD training curriculum. The Training Database shall also document all training received for each employee and shall include for each training session/course the source/location, type/content, and completion date.

7.6.5.2.1 CSD shall maintain all trainings records in the Training Database for trainings completed through the CSD Online Weatherization Training Center, CSD-approved Training Centers, and field or classroom training provided by CSD or its agents.

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7.6.5.2.2 Contractors shall maintain all training records in the Training Database for trainings provided by third parties for Occupational Safety and Health Administration (OSHA) 10, OSHA 30, and EPA Renovator certifications as designated by CSD.

7.6.5.2.3 Contractors shall be responsible for maintaining the required training records in the same manner for their subcontractors.

7.6.5.2.4 Contractors and subcontractors shall update the Training Database employee information on or before the first (1st) day of each subsequent month.

7.6.5.3 Equipment

7.6.5.3.1 Contractors and subcontractors who perform combustion appliance safety tests shall maintain the Carbon Monoxide Analyzer Calibration Log (CSD 785) documenting the calibration of all analyzers as required.

7.6.5.3.2 Contractors and subcontractors who perform shell leakage and duct leakage diagnostic tests shall maintain the Manometer Calibration Log (CSD 786) documenting the calibration of all manometers as required.

7.6.5.4 Energy Audits

7.6.5.4.1 Contractor shall maintain electronic records generated from the REM/Design audit software for the required period of 3 years from submission of final report or until resolution of all related audit or monitoring findings, enforcement action, including cost disallowance, legal proceedings or other pending matters, whichever is later in accordance with Section 4.3.

7.6.5.4.2 Contractor shall make all records generated from the REM/Design audit software accessible to the State, or a third-party inspector acting on the State's behalf, for the purpose of a third-party inspections or monitoring.

7.6.5.4.3 Contractor shall submit all REM audits through the CSD Energy Audit Submittal System to include the initial audit submittal and resubmittals to address changes to the audit based on CSD feedback. A final audit shall also be submitted to address one or more of the following:

7.6.5.4.3.1 Changes in measure cost; input of final duct or shell leakage readings, in lieu of estimated leakage used for initial

improvement analysis;

7.6.5.4.3.2 Changes to the final scope of work; any decisions related to full or partial measure leveraging.

7.6.6 Automation

7.6.6.1 Contractor shall use a software database system to support all required data collection and reporting requirements under the administration of this grant.

7.6.6.2 Contractor shall use an automated application system capable of supporting DOE WAP data collection, reporting requirements, and client data transmission to CSD. No database transfer will be accepted prior to the completion of successful data file transfer testing to CSD. Contractor shall submit the data in accordance with CSD's Weatherization DTR layout found at https://agencies.csd.ca.gov/home/Energy/Pages/Resources.aspx. Contractor shall exercise best practices and perform a daily backup of all client data/application systems that capture DOE WAP service detail. Contractor shall assure that adequate files are maintained as required in Article 7.6.

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ARTICLE 8 – PROGRAM IMPLEMENTATION

8.1 Weatherization Activity Guidelines

8.1.1 Applicant Eligibility

8.1.1.1 Assistance shall be available only to households with incomes that do not exceed an amount equal to 200% of the Federal Poverty level.

8.1.1.2 Income verification must be for one month. For acceptable types of documentation, refer to the current Eligibility and Verification Guide at https://agencies.csd.ca.gov/home/Energy/Pages/Contracts.aspx.

8.1.1.3 Contractor shall certify a household's income eligibility prior to the delivery of energy program services.

8.1.1.4 The income certification shall remain in effect for a period of 120 days from the date applicant is deemed eligible for services.

8.1.1.5 Contractor shall recertify a household's income eligibility by obtaining updated income verification documentation if the dwelling assessment has not been completed within 120 days from the income certification date.

8.1.1.6 In the event the Contractor is unable to perform all weatherization services within 180 days from dwelling assessment date, Contractor shall obtain updated income verification documentation to recertify the household's income eligibility.

8.1.1.7 If a dwelling has been previously weatherized under the DOE WAP and meets one of the exceptions for services in subparagraph 8.1.2.7, the dwelling and household's income eligibility must be recertified.

8.1.1.8 Contractor shall collect copies of all of the household's energy utility bills for the current month, and if applicable, receipt(s) for wood, propane, and oil to determine the household's energy burden.

8.1.2 Dwelling Eligibility

8.1.2.1 Contractor shall perform the assessment of weatherized dwellings within 120 days of the income certification date.

8.1.2.2 Contractor shall complete the post-combustion appliance safety test within 60 days from the date of the pre-combustion appliance safety test. In the event the Contractor is unable to perform the work associated with the combustion appliance safety testing and the post-combustion appliance

safety test within the 60-day period, Contractor shall perform another pre-test for the dwelling prior to commencing the delivery of any form of weatherization assistance services.

8.1.2.3 Contractor shall complete weatherization services within 180 days from the date of the original assessment of a dwelling.

8.1.2.4 Permission to Provide Services

8.1.2.4.1 Contractor shall obtain general written permission of the owner-occupied dwelling from the tenant and the owner (or owner's agent) to perform an assessment and weatherization work prior to performing any such services. Such permission shall be recorded on the Energy Service Agreement for Occupant (CSD 515A) or approved Contractor's equivalent and the Energy Service Agreement for Rental Property Owner (CSD 515B) or approved Contractor's equivalent.

8.1.2.4.2 If during the course of performing weatherization and/or heating and cooling appliance repair or replacement services in a dwelling, Contractor identifies that significant structural and/or engineering changes may occur, Contractor shall notify the owner-occupant dwelling or the owner of a rental unit prior to continuing with the scheduled work.

8.1.2.5 Rent Increase Restrictions

8.1.2.5.1 For a period of two years after weatherization work has been completed on a dwelling containing a unit occupied by an eligible household, the tenants in that unit (including households paying for their energy through their rent) will not be subjected to rent increases unless those increases are demonstrably related to matters other than the weatherization work performed.

8.1.2.5.2 Tenants shall be given a written summary of these conditions with the current telephone number of the Contractor with instructions on how to file a complaint should these conditions not be met. Contractor shall investigate all complaints filed and shall forward a copy of all written complaints to CSD or, if a verbal complaint has been made, contact CSD with the details of the complaint-including date complaint was made, date investigations began, and results.

8.1.2.5.3 CSD will evaluate the merits of the complaint and all supporting documentation. If CSD determines a complaint is valid, CSD may pursue collection activities against the landlord in the amount equal to the weatherization work performed on that unit and/or building.

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8.1.2.6 Multi-Unit Dwellings

8.1.2.6.1 In accordance with 10 CFR § 440.22(b) (2), Contractor is strongly recommended to weatherize a whole multi-unit building containing rental dwelling units when not less than 66% (50% for duplexes and four-unit buildings) of the dwelling units in the building:

8.1.2.6.1.1 Are eligible dwelling units, or

8.1.2.6.1.2 The dwelling units will become eligible (occupied by eligible low-income tenants) within 180 days under a federal, state, or local government program for rehabilitating the building or making similar improvement to the building.

8.1.2.6.2 Contractor may weatherize individual units in a multi-family building in lieu of the whole building, *provided* Contractor first endeavors in good faith to weatherize the whole building in accordance with the provisions stated herein.

8.1.2.6.3 Upon Contractor's determination that the whole building cannot be weatherized because the building does not qualify in accordance with the CSD TRM Contractor shall submit the request to CSD for DOE Project Officer approval prior to weatherizing individual units in the multi-family building. The request shall specify the that the Individual Unit criteria are met (with photographs, where required) and provide reason(s) why the whole building cannot be weatherized. Contractor shall retain supporting documentation justifying the determination in the event of an audit or monitoring visit.

8.1.2.6.4 The weatherization of individual units in multi-family buildings is subject to unique criteria and allowable measures, distinct from those applicable to single family and multi-family buildings. Contractor may install only those measures allowed for individual units in multi-family buildings in accordance with the CSD TRM.

8.1.2.6.5 If dwelling units are qualified for services through a federal, state, or local government rehabilitation program, documentation to verify participation in the rehabilitation program is required in the master job file.

8.1.2.6.6 Contractor shall complete a Multi-Unit Dwelling Unit Eligibility Certification (CSD 75P) or approved Contractor's equivalent for each building and shall maintain a copy in each individual client file.

8.1.2.6.7 Contractor shall certify unit eligibility by completing Energy Intake Form (CSD 43) or approved Contractor's equivalent for each

dwelling unit in each building. Certification of eligibility by the owner/manager of the occupants of the building is not acceptable.

8.1.2.6.8 No undue or excessive enhancement shall occur to the value of the dwelling units.

8.1.2.7 Previously Weatherized Dwellings

Weatherization services for a dwelling unit previously weatherized within the past 15 years from the date of completion using Annual DOE WAP, BIL WAP, LIHEAP, HUD, USDA, DOE ARRA or other Federal funds are ineligible for weatherization services unless the dwelling meets one of the exceptions in accordance with CPN-E-21-04 Previously Weatherization DOE WAP Dwelling Requirements.

8.1.2.8 Call-back

Services provided in a previously weatherized dwelling to correct a previously installed measure or as a result of a CSD or DOE inspection finding is a call-back and is allowable and must be reported to CSD and DOE. Refer to CPN-E-12-05. Demographics for a callback are not included for reporting purposes.

8.1.2.9 Ineligible Dwellings

8.1.2.9.1 Contractor shall not weatherize a dwelling unit that is designated for acquisition or clearance by a federal, state, or local program within 12 months from the date of completion of the proposed weatherization.

8.1.2.9.2 Contractor shall not weatherize any dwelling under this Contract unless the property owner agrees to all the terms and conditions of the CSD Dwelling Assessment Form (CSD 540) and signs the Energy Service Agreement for Occupant (515A) or Contractor's equivalent or Energy Services Agreement for Rental Property Owner (515B) or Contractor's equivalent.

8.1.2.9.3 No institutional or commercial building including, but not limited to, universities, schools, nursing homes, or hospital, etc., may be weatherized under this Contract.

8.1.2.10 Temporary Shelters/Homeless Individuals

Eligibility of the occupants may be assumed if the owner/operator will certify in writing that occupancy is temporary and that admittance

criterion complies with CSD contract eligibility guidelines, whether or not rent is paid has no effect on eligibility.

8.1.2.11 Group Homes

If the building does not qualify as a multi-family structure, income eligibility is based on all occupants as a group, and the building must be weatherized as a single dwelling unit.

8.1.3 Requirements for Weatherization Services

8.1.3.1 Contractor must install all feasible weatherization measures in accordance with the CSD TRM.

8.1.3.2 All feasible Health and Safety measures must be installed and shall not be skipped. Similarly, feasible Health and Safety measures cannot be removed from a work scope (for client refusal or other reason), or the dwelling shall be deferred.

8.1.3.3 When building a dwelling work scope for the BIL DOE WAP, there are two approved approaches to determine the energy conservation measures (ECMs): the Priority List Path or the Audit Path. A single approach must be identified for each dwelling served. A hybrid approach is not allowed.

8.1.3.3.1 The Contractor path decision shall be directed by a set of criteria for each dwelling and cannot be based on a "preferred" approach. Contractor must use the CSD 710 Energy Audit/Priority List Checklist to document dwelling conditions and the Audit path/Priority List path decision.

8.1.3.3.2 While the CSD 710 may prompt the Contractor auditor to use the PL path, Contractor may decide to conduct a site-specific energy audit for any dwelling.

8.1.3.4 Priority List (PL) Path.

The PL path is allowable for single-family, mobile homes, and low-rise multi-family (LRMF) as defined in the CSD TRM Appendix H. When using the PL path, a prescribed set of measures must be installed, following a specific order as defined on the PL. Feasible ECMs must not be skipped as defined by the CSD TRM Appendix D Energy Audit/Priority List Protocol.

8.1.3.4.1 All feasible Mandatory measures must be installed before any Optional measures are installed/

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8.1.3.4.2 All PL measures shall be installed according to the order defined in the building type-specific Priority List in accordance with the TRM Appendix D.

8.1.3.5 Audit Path.

The Audit path is required when specific conditions exist in the dwelling or certain measures that are not on the DOE PL may be feasible and will be billed to the BIL DOE WAP. Final feasibility of ECMs shall be defined by the REM/Design or TREAT software, which must be selected based upon the number of dwelling units in a multi-unit building. Cost-justified ECMs, with a Savings-to-Investment Ratio (SIR) greater than or equal to 1.0 shall not be skipped or installed after a measure with a lower SIR.

8.1.3.5.1 When applying the Audit Path and all feasible measures classified under Health & Safety have been assessed, Contractor must assess for Energy Conservation Measures (ECMs) by conducting a REM/Design or TREAT audit in accordance with the TRM Appendix D *Energy Audit/Priority List Protocol* located at https://agencies.csd.ca.gov/home/Energy/Pages/Weatherization.aspx.

8.1.3.5.2 The REM/Design energy audit tool must be applied to single-family dwellings, mobile homes, and multi-unit dwellings containing 24 or fewer dwelling units where each unit is independently heated and/or cooled. Small multi-family audits must be approved by CSD before any installation work is performed by Contractor.

8.1.3.5.3 The TREAT energy audit must be applied to all multi-unit dwellings except for those multi-unit dwellings that are qualified to use REM/Design. Contractor must submit all TREAT audits to CSD for approval by the DOE Project Officer before any installation work is performed.

8.1.3.6 Installation of a common (shared) heat source, cooling source, or water heater shall qualify as a mandatory measure for each unit served by the same appliance.

8.1.3.7 Weatherization measures may be leveraged or cost-shared with alternative funding sources as defined in Section 5.5.5. All leveraged measures used to fulfill the completion of the Audit Path or Priority List Path shall be billed in accordance with the policies defined by the CSD TRM Appendix D.

8.1.4 Dwelling Assessments

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8.1.4.1 Contractor shall assess eligible dwellings to identify the specific energy-efficiency and health and safety services to be offered under the allowable scope of services outlined in this contract.

8.1.4.2 Contractor shall determine whether the dwelling meets the criteria for a Historic Preservation Review pursuant to subparagraph 8.1.4.7.2, below.

8.1.4.3 Contractor shall ensure that all dwelling assessments are performed by trained individuals possessing all the required skill and training as specified in Article 9.1, Training Requirements.

8.1.4.4 Contractor shall ensure job separation between staff performing dwelling assessments and the crew personnel responsible for performing the actual installation of weatherization measures. Assessors may not install weatherization measures in the same dwelling where the assessor performed the assessment for weatherization services.

8.1.4.5 If Contractor elects to subcontract with entities outside of CSD's network of local service providers for the full installation of weatherization measures, the subcontractor performing the installation of weatherization measures shall not perform the dwelling assessment. Contractor shall ensure job separation by using Contractor's staff or another subcontractor to perform the dwelling assessments.

8.1.4.6 Contractor shall provide written documentation or notification to the owner-occupant and the owner of a rental unit or owner's agent and inform the tenant of any significant structural and engineering changes required to complete the weatherization work before the specified work commences.

8.1.4.7 Dwelling Assessment Performance

8.1.4.7.1 Dwelling assessments shall include the following required activities:

8.1.4.7.1.1 The visual assessment of the eligible dwelling to identify safety and structural hazards conditions present within the dwelling that may limit ability to perform any or all of the required weatherization services in accordance with CSD weatherization guidelines and terms of this Contract. Assessor shall disclose all noted safety and structural hazard conditions to the property owner and tenant, where applicable.

8.1.4.7.1.2 The visual inspection and pre-CAS diagnostic testing of all combustion appliances as to identify the presence of

combustion appliance safety conditions within the occupied living space and requiring immediate attention and the offering of prescribed list of health and safety measures needed to remedy noted conditions.

8.1.4.7.1.3 The visual inspection of dwelling to identify any structural deficiencies and/or barriers inhibiting the ability for required pressurized diagnostics to occur. Assessor shall also inform client of the various types of diagnostic testing to be performed within the dwelling, including the general nature and benefits of each form of required diagnostic testing.

8.1.4.7.1.4 Completing the DOE Health and Safety form (540G), assessment shall include an occupant health screening to document whether any household members have a pre-existing or potential health conditions that should be taken into consideration before or during weatherization of the residence; hazard identification notification to document hazardous materials or conditions that may affect occupants; radon informed consent that identifies potential risk of increased radon levels when building air tightness levels are improved; and client education about the use of common weatherization materials that may create health effects for occupants.

8.1.4.7.1.5 In conformance with the TRM Appendix D and the CSD 710 Energy Audit/Priority List Checklist, determination of whether the Audit Path or Priority List Path must be followed. When the Audit Path is prescribed, assessment shall include completion of the energy audit by an assessor holding a valid certificate of completion for audits as defined by the TPPM. When the Priority List Path is followed, the assessor must confirm that the unit meets the minimum dwelling criteria based upon the building type.

8.1.4.7.2 Historic Preservation Review of Dwellings

8.1.4.7.2.1 To ensure compliance with Section 106 of the National Historic Preservation Act (54 USCS §§ 300101 et seq., former 16 USCS §§ 470 et seq.), CSD will establish appropriate procedures for historic property review standards as outlined by a Programmatic Agreement with the State Historic Preservation Office. The established review standards will be utilized for weatherization activities conducted under the DOE WAP on dwellings that are 45 years or older. For purposes of this Contract,

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the historic review shall be known as the Historic Preservation Review.

8.1.4.7.2.2 Contractor shall ensure that a Historic Preservation Review is completed on a dwelling that is either: (1) 45 years or older, (2) located within a historic district, or (3) considered to be of exceptional importance under the National Register Criteria for Evaluation pursuant to 36 CFR § 60.4.

8.1.4.7.2.3 When a dwelling assessment is performed and the dwelling is determined to meet any of the criteria specified in subparagraph 8.1.4.7.2.2, Contractor shall initiate the Historic Preservation Review process pursuant to DOE WAP ARRA No. 010.

8.1.4.7.3 Combustion Appliance Safety (CAS) Diagnostic Testing

8.1.4.7.3.1 The completion of the entire combustion appliance safety (CAS) test is required on all dwellings with combustion appliances.

8.1.4.7.3.2 If it is determined during the CAS test that the dwelling unit contains a condition that is hazardous to the occupants, proper steps must be taken to alleviate the hazard. In these cases, no measures may be installed until the hazard has been corrected.

8.1.4.7.4 If the dwelling unit is not eligible because of the need for extensive repair, the unit shall not be serviced and the applicant should be referred to the local Housing and Community Development Department, U.S. Farmers Home Administration Housing Loan Program, or other similar organizations or programs.

8.1.4.7.4.1 Documentation of such ineligibility due to the need for extensive repairs shall be recorded on the CSD Weatherization Deferral (CSD 542).

8.1.4.7.4.2 If the applicant can obtain the necessary repairs to make the dwelling unit eligible for weatherization services, weatherization activities may be accomplished following the repair work.

8.1.4.8 Contractor shall ensure the health and safety of weatherization personnel in carrying out activities funded under this Contract. In the event the weatherization of a dwelling threatens the general health and safety of weatherization field personnel, Contractor shall take measures to ensure

the safety of the personnel and thoroughly document the incident(s) utilizing the CSD Weatherization Deferral (CSD 542). The deferral form does not need to be signed by the client where weatherization personnel construe the client or occupants of the dwelling to be threatening and hostile. If unable to get a signature, a certified letter shall be sent to the owner, along with the tenant if the residence is a rental.

8.1.5 Duct and Shell Diagnostic Testing

8.1.5.1 Contractor shall perform shell leakage diagnostic testing only for shell sealing purposes on all single-family and multi-unit building types weatherized under this Contract in accordance with CSD shell leakage testing standards and policies and procedures.

8.1.5.2 Following a determination that no combustion byproduct hazards exist, Contractor shall perform pressure diagnostic guided infiltration reduction using a pre-weatherization shell leakage test.

8.1.5.3 Duct Blaster diagnostic testing shall be required on all dwellings with forced-air systems.

8.1.5.4 Contractor shall ensure that all dwelling diagnostic tests are performed by trained individuals possessing all the required skill and training as specified in Article 9.1, Training Requirements.

8.1.6 Health and Safety Measures

8.1.6.1 Contractor is authorized to mitigate health and safety hazards in accordance with the CSD TRM.

8.1.6.2 Feasible Health and Safety measures shall not be skipped and feasible Health and Safety measures cannot be removed from the work scope (for client refusal or other reason), or the dwelling shall be deferred.

8.1.6.3 If a health or safety hazard is found to exist that requires replacing or repairing a combustion appliance, the dwelling shall be served under the Audit Path only or the Health and Safety measure must be fully leveraged with an alternate funding source.

8.1.6.3.1 When the measure will be repaired or replaced with BIL DOE WAP or Annual DOE WAP funds, it is required to conduct an energy audit to determine if the heating, cooling, or water heating appliance would qualify for replacement of a higher efficiency unit as an Energy Efficiency Upgrade (EEU). If the EEU is cost

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justified with an SIR of 1.0 or greater, the appliance must be replaced as an EEU.

8.1.6.3.2 Only when the EEU replacement is not cost justified and the appliance meets the criteria established in the CSD TRM Appendix E Health and Safety Requirements, shall the appliance be repaired or replaced with Health and Safety funds.

8.1.6.3.3 In addition to meeting the requirements for Health and Safety repairs/replacements above, any cooling appliance repair or replacement shall be allowed only when one or more of the occupants in the dwelling meets the CSD definition of "at-risk" as defined in the CSD TRM Appendix E.

8.1.6.4 Primary Heating and Cooling Appliance Repair and, Replacement, and Installation Services

8.1.6.4.1 Prior to the performance of any heating/cooling service, a qualified technician must perform a diagnostic inspection of the primary heating/cooling appliance to assess operational performance.

8.1.6.4.2 The following guidelines are restricted to occupied SFD and/or MUD units:

8.1.6.4.2.1 Residential heating source that qualifies for repair and replacement services must be a single, pre-existing heating appliance, serving as the dwelling's primary heating source.

8.1.6.4.2.2 A residential cooling source that qualifies for cooling services must be a single, pre-existing cooling appliance, serving as the dwelling's primary cooling source, limited to mechanical air conditioners, central and window/wall air conditioners, and evaporative coolers.

8.1.6.4.3 Heating and/or cooling services may be provided when one of the following conditions exists:

8.1.6.4.3.1 Existing primary heating/cooling appliance is deemed hazardous by a qualified technician, HVAC contractor or utility company gas service technician; or Primary heating and/or cooling appliance replacement or installation (when no existing heating/cooling appliance is present) is cost-

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justified with a savings-to-investment ratio (SIR) of 1.0 or greater using the CSD-approved energy audit tool.

8.1.6.4.3.2 Existing primary heating/cooling appliance is verified by a qualified technician, HVAC contractor or utility company gas service technician to be inoperable or in need of repair. When an SIR of < 1.0 is calculated by the energy audit tool, and the heating/cooling appliance is deemed inoperable or hazardous by a qualified technician, HVAC contractor or utility company gas service technician, and the appliance meets the feasibility criteria for repair or replacement with Health and Safety, the appliance shall be repaired or replaced as a Health and Safety measure.

8.1.6.4.3.3 In addition to the items above, no primary cooling appliance may be repaired, replaced, or installed except when a current occupant of the dwelling unit meets CSD's definition of "at-risk", in accordance with the TRM Appendix E *Health and Safety Requirements*.

8.1.6.4.4 Any and all health and safety heating/cooling appliance services shall be performed in accordance with the following guidelines:

8.1.6.4.4.1 All repair and replacement services are limited to dwellings with pre-existing heating and cooling appliances. An exception to this rule exits, however, for those dwellings without a heating and cooling appliance and there are no means to provide adequate heating and/or cooling during a climatic season that would cause imminent harm to the health and wellbeing of individuals or the household. When no existing primary heating appliance exists, an energy audit is required. When the SIR < 1.0, the appliance shall be installed with Health and Safety funds.

8.1.6.4.4.2 The age of a heating/cooling appliance shall not be used as a basis for replacement.

8.1.6.4.4.3 When repair, replacement, or installation of a primary heating appliance is required in accordance with the policies above but cannot be completed for any reason, the entire dwelling shall be deferred.

8.1.6.4.4.4 Upgrades to heating and cooling appliances for energy efficiency purposes are subject to the energy audit unless required by Title 24.

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8.1.6.4.5 Contractor shall repair a defective primary heating appliance when the cost to assess and repair is estimated at less than 50% of the cost of installing a new replacement unit.

8.1.6.4.6 If during the course of repairing the defective unit additional problems are found that would increase the cost of repairs to more than the allowable limit for repair costs, the unit may be replaced.

8.1.6.4.7 When replacement of a defective primary heating/cooling appliance is performed, Contractor shall perform necessary duct repair and/or replacement services in order to conform to Title 24 requirements.

8.1.6.4.7.1 Fuel switching or replacement of an alternate appliance type of any heating/cooling appliance shall only be allowed when justified by energy audit as described in TRM Appendix D *Energy Audit/Priority List Protocol*.

8.1.6.5 Secondary Heating Appliance Repair or Removal

8.1.6.5.1 Unsafe secondary heat sources as defined by TRM Section 4 *Heating and Cooling* must be repaired, or removed and disposed of, or dwelling deferral is required.

8.1.6.5.2 Unsafe secondary heating sources cannot be repaired, the appliance must be removed. Appliance abandonment is not allowed.

8.1.6.5.3 Unsafe portable space heaters cannot be repaired and must be removed.

8.1.7 Waiver for Fuel Switching or Alternate Appliance Type

Contractor shall not switch fuel when replacing furnaces or any other allowable appliance or replace an alternate appliance type unless an energy audit is conducted or a waiver request is submitted to CSD and approved. Contractor shall submit the waiver request through the CSD Local Agencies Portal website at https://agencies.csd.ca.gov/home/Energy/Pages/Weatherization.aspx. Contractor shall keep a copy of such waiver in the client's file.

8.1.8 Priority Lists of Energy Conservation Measures

Contractor shall install energy conservation measures in single-family dwellings, mobile homes and small multi-unit dwellings in accordance with the CSD Priority List Protocol which is hereby incorporated by reference to this Contract and

available on the CSD Local Agencies Portal website at https://agencies.csd.ca.gov/home/Energy/Pages/Resources.aspx.

8.1.9 Energy Audit Requirements

8.1.9.1 If all feasible measures classified under Health & Safety and other Mandatory Measures have been assessed, Contractor may assess additional measures utilizing the DOE Priority List Protocol and conducting a REM/Design or Targeted Retrofit Energy Analysis Tool (TREAT) audit in accordance with CSD Single-Family/Small Multi-Family Energy Audit Protocol, CSD Multi-Family Energy Audit Protocol and CSD Priority List Protocol.

8.1.9.2 Energy audits shall be conducted as specified in the CSD Single-Family/Small Multi-Family Energy Audit Protocol and CSD Multi-Family Energy Audit Protocol (CSD TRM, Appendix D and Appendix F) incorporated by reference to this Contract and available on the CSD Local Agencies Portal website at https://agencies.csd.ca.gov/home/Energy/Pages/Weatherization.aspx.

8.1.9.3 REM/Design energy audit tool may be applied to single-family dwellings, mobile homes, and multi-unit dwellings containing 24 or fewer dwelling units where each unit is independently heated and/or cooled.

8.1.9.4 Targeted Retrofit Energy Analysis Tool (TREAT) may be applied to all multi-unit dwellings except for those multi-unit dwellings that are qualified to use REM/Design.

8.1.10 Occupant Notification

If, in accordance with the provisions of this article, any notice to an occupant is required, notice shall be in writing and a copy of such notice shall be given to the owner of the unit, when the unit is occupied by a non-owner occupant, or when the unit is vacant.

8.1.11 Natural Disasters

8.1.11.1 When a dwelling that has been damaged by a natural disaster such as fire, flood, earthquake, hurricane, etc., a scope of work shall be submitted to CSD for approval prior to beginning work related to a natural disaster pursuant to the DOE Disaster Relief Plan, which is hereby incorporated by reference to this Contract and available on the CSD Local Agencies Portal website at https://agencies.csd.ca.gov/home/Energy/Pages/Resources.aspx.

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8.1.11.2 The occupant shall be certified as currently eligible and a dwelling assessment shall be performed.

8.1.11.3 Contractor may have damages repaired that are within the scope of the weatherization program if the same services will not be paid for or reimbursed by any other source.

8.1.12 Workers Safety

8.1.12.1 Contractors are responsible for ensuring the safety of its weatherization field personnel performing weatherization activities under this Contract and in accordance with the CSD Health and Safety policies and internal policies of the contract intended to protect the safety of weatherization field personnel.

8.1.12.2 Agencies must ensure that its weatherization field personnel are trained on how to handle situations where weatherization clients and other occupants within a weatherization project display behavior that is construed to be abusive and threatening to weatherization field personnel and their personal safety. Such situations constitute reasons for deferring weatherization services to the dwelling unit and weatherization field personnel must be trained to recognize, deal with, and document threatening situations they encounter in the course of performing weatherization measure installations.

8.1.12.3 Contractors must document such incidents in the CSD Weatherization Deferral Form (CSD 542) and maintain a copy of the completed form in the client file at all times.

8.2 Quality Assurance

8.2.1 Certification

Contractor, or its designee, shall establish a comprehensive, detailed, and fully documented Quality Control procedure to assess the quality and completeness of Weatherization work performed under this Contract. Such assurance will be documented on the CSD Dwelling Assessment Form (CSD 540) and CSD Post Inspection Form (CSD 611 or approved Contractor's equivalent and shall be signed and dated by a certifying Contractor representative.

8.2.2 Post-Weatherization Inspections

8.2.2.1 Contractor shall perform Post-Weatherization Inspections on 100% of the dwellings weatherized under this Contract. Completed jobs shall not be

billed to CSD until a post-inspection has been completed and any inspection fails are resolved.

8.2.2.2 Post-Weatherization inspections shall be conducted for the purpose of assessing the quality and completeness of performed weatherization services and compliance with CSD weatherization guidelines. The post-inspection shall:

8.2.2.2.1 Verify that all measures were completely installed in accordance with said terms and conditions of this Contract;

8.2.2.2.2 In addition, installed measures shall be reviewed to determine the absence of any feasible Mandatory Measure not installed and the installation of a measure (non-feasible measure) that may not be in compliance with said standards and the terms and conditions of this Contract;

8.2.2.2.3 Verification that the unit received shell leakage, and duct leakage testing, as applicable;

8.2.2.2.4 Verification that required CAS testing of eligible combustion appliances was performed and inspection of combustion appliances to verify the safe operating condition of combustion appliances within the dwelling residence;

8.2.2.2.5 Verification that energy audit was performed when required and in compliance with Energy Audit/Priority List Protocol and DOE Energy Audit Priority Checklist Form (CSD 710) was completed and in client file;

8.2.2.2.6 Inspector shall confirm that any ECMs installed as part of an energy audit met energy audit improvement results including but not limited to: confirmation that pre and post blower door and duct testing results, insulation R-values, and heating/cooling and water heating are accurate efficiencies; and that the costs billed do not exceed the improvement costs identified in the Improvement Audit Report.

8.2.2.2.7 Inspector shall retest all diagnostic testing performed in subparagraph 8.2.2.2.3 and 8.2.2.2.4; and

8.2.2.2.8 Inspection of the unit dwelling to ensure that all identified health and safety hazards, whether pre-existing or resulting from the performance of weatherization services, have been successfully remedied.

8.2.2.3 Contractor shall ensure that post-weatherization inspections are performed by a Certified QCI, as provided in Section 9.2 of this Contract. If

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Contractor subcontracts Quality Control Inspection services, then Contractor must aggregate weatherization jobs to mitigate the cost associated with performing inspections. The maximum allowable cost of each post-inspection by a subcontractor is as follows:

8.2.2.3.1 Subcontractors awarded a contract through a competitive procurement process shall not exceed the measure maximum per inspection. The inspection rate includes all expenses related to the Certified Quality Control Inspection such as the cost of the inspection, administration and travel costs of subcontractor.

8.2.2.3.2 Subcontractors, that are part of CSD's network of DOE contractors, with a contract, Memorandum of Understanding or similar contract with Contractor, not obtained through the procurement process, shall bill actual costs for the Certified Quality Control Inspection and related expenses such as inspector wages, overhead, administration and travel costs of subcontractor. The total cost of all related expenses shall not exceed the measure maximum per inspection.

8.2.2.4 Subcontractors who provide basic weatherization services shall not conduct assessments or inspect dwellings.

8.2.2.5 Contractor shall ensure job separation between staff performing post-weatherization inspection activities and weatherization crew personnel performing the physical installation and performance of weatherization measure services funded under this Contract.

8.2.2.6 If Contractor elects to subcontract with entities outside of CSD's network of local service providers for the full installation of weatherization measures, the subcontractor performing the installation of weatherization measures shall not perform the post-weatherization inspection activities. Contractor shall ensure job separation by using Contractor's staff or another subcontractor to perform the dwelling post-weatherization inspection.

8.2.2.7 The Certified QCI shall certify the performance of Post Weatherization Inspections of dwelling units by completing and signing Contractor Post-Weatherization Inspection Report (CSD 611). Contractor shall retain a copy of the completed and signed form in the client file.

8.2.3 Third-Party Inspections

8.2.3.1 The State may use a third-party inspector to review and verify that the weatherization activities performed under this Contract conform to applicable standards and practices.

8.2.3.2 Contractor or a ride-along (designated representative) shall accompany the inspector on client inspection visits and shall provide transportation and equipment to the inspector. When possible, Contractor shall make corrections during the client inspections visits.

8.2.3.3 Contractor agrees to remedy all Nonhazardous Conditions (nonhazardous work deficiencies) noted by the State or its designee within 20 business days of written notification.

8.2.3.4 Contractor must remedy all Hazardous Conditions resulting from weatherization measure installation in accordance with the CSD TRM. Any Hazard Fails that are not remedied within the required timeline of 18 hours will require completion of the Hazardous Correction Work Plan to be completed by the Contractor which includes the reason the hazardous correction cannot be resolved within 18 hours and action that will be taken to resolve the hazard.

8.2.3.5 Contractor must remedy all inspection corrections identified on the Comprehensive Inspection Report including confirmation of correction to CSD's third-party inspector within 20 business days.

8.2.4 Subcontracted Services for Basic Weatherization

8.2.4.1 Contractor who subcontracts basic weatherization services shall submit to CSD for approval a written Weatherization Quality Control Plan for subcontractors. This plan shall include field and fiscal monitoring.

8.2.4.2 Contractor shall have a minimum of one internal staff member who shall receive the online, classroom and field training coursework required by CSD for a field supervisor.

8.2.5 Noncompliance

8.2.5.1 Contractor shall be subject to the withholding of any or all reimbursements for failure to completely resolve a Hazardous Condition in accordance with the CSD TRM. The reimbursement sanction will apply to the next fiscal reimbursement request associated with the program of the weatherized unit in question. The reimbursement sanction will remain in effect until Contractor successfully resolves the Hazardous Condition and confirms the resolution with CSD and the designated Inspection Contractor. The sanction will apply to all subsequent fiscal reimbursement requests of the primary funding source in question so long as the Hazardous Condition remains unresolved.

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8.2.5.2 If it is determined that the Contractor has failed to resolve an identified Hazardous Condition in accordance with the Hazardous Correction Work Plan, CSD may utilize the services of the designated Inspection Contractor to successfully resolve the delinquent Hazardous Condition. Contractor will assume responsibility for costs associated with the use of Inspection Contractor's services. The costs will include labor, materials, and travel equal to the Inspection Contractor's training and technical assistance hourly rate and the total amount will be withheld from the Contractor's next request for fiscal reimbursement.

8.2.5.3 If it is determined that the Contractor has incorrectly billed CSD because a measure was not installed, or the quantity installed is less than the quantity billed, Contractor shall install the billed measure or quantity, if feasible. In cases when a physical remedy is not possible, repayment of the labor and material costs for the non-installed measure or quantity will be withheld from subsequent reimbursements.

8.2.5.4 Contractor will be subject to Special Conditions, in accordance with Article 10.4, if it is determined that one or more of the following conditions exist:

8.2.5.4.1 Contractor has a history of unsatisfactory performance.

8.2.5.4.2 Identification of one or more Hazardous Conditions in dwellings weatherized by Contractor.

8.2.5.4.3 Failure to remedy an identified Hazardous Condition in a timely manner.

8.2.5.4.4 Substantial number of Nonhazardous Conditions and/or identified trends or patterns of nonconformance to installation criteria.

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

ARTICLE 9 – TRAINING, LICENSING AND CERTIFICATIONS

9.1 Training Requirements

9.1.1 CSD's statewide training program is detailed in the CSD Training Policies and Procedures Manual (TPPM). Contractor shall ensure weatherization service activities covered by this Agreement are performed by properly licensed contractors and/or properly trained individuals in accordance with training requirements specified in the TPPM.

9.1.2 Contractor shall maintain and make available for reference to Contractor's employees and subcontractors who perform weatherization services, the following foundation documents:

9.1.2.1 CSD Technical Reference Manual (TRM);

9.1.2.2 CSD Training Policies and Procedures Manual (TPPM);

9.1.2.3 Other applicable policies and procedures;

9.1.2.4 Official State and Federal Program Notices;

9.1.2.5 Current CSD Field Forms; and

9.1.2.6 Required training materials.

9.2 Quality Control Inspectors Certification

9.2.1 Quality Control Inspectors (QCI) working for, or contracted by, Contractor must possess the knowledge, skills, and abilities in the National Renewable Energy Laboratory (NREL) Job Task Analysis for QCIs. This applies to all individuals who perform final inspections under the DOE WAP.

9.2.2 Staff that have successfully passed the BPI QCI Certification exam and received a certificate will be eligible to conduct final inspections. As a micro-credential, prior successful completion of the BPI Energy Auditor certification also will be required.

9.2.3 Certified QCIs can be employed by third party organizations or weatherization Contractors that possess the required BPI Quality Control Inspector Certification.

9.2.4 The Quality Control Certification identification number of the QCI providing the post-inspection shall be identified on the Agency Post Inspection Report (CSD 611).

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9.3 Contractor Licensing

Contractors, unless otherwise exempt, or their subcontractors who perform basic weatherization services under this Contract shall comply with the TRM and following licensing requirements:

9.3.1 Possess and maintain an active Class "B" General Building Contractor license, issued by the Contractors State License Board (CSLB) in the name of the Contractor/qualifying individual;

9.3.2 Fulfill the requirements of, and receive certification pursuant to the Toxic Substances Control Act, Section 402 (15 USC § 2601 et seq.; 40 CFR § 745.226 & 227);

9.3.3 Contractor, unless otherwise exempt from the licensing requirement, shall upload and maintain a copy of the current Class "B" CSLB license into the CSD Training Portal.

9.3.4 Contractor is responsible for ensuring that all subcontractors have an active license and are in good standing with CSLB for the duration of the subcontract; and

9.3.5 Contractor shall immediately notify CSD when any changes in licensing occur.

9.4 Special Licensing - Weatherization

9.4.1 Special licensing may be required for the installation and/or repair of Evaporative Cooler, Cook Top and Range, Vented Space Heater, Air Conditioning, and Gas and Electric Water Heaters, if two or more weatherization measures are not installed in a single unit. Electrical wiring upgrade/replacement and knob and tube wiring certification will always require a C-10 license.

9.4.2 Specialty subcontractor shall possess all applicable licenses as required by the CSLB to carry out installation and/or repairs. Specialty licensing is required for specific measures and includes: C-10 Electrical Contractor (including electrical wiring upgrade/replacement and knob and tube wiring certification); C-20 Warm-Air Heating, Ventilation and Air-Conditioning Contractor; C-36 Plumbing Contractor; C-46 Solar Contractor; C-47 Mobile Home Contractor; and D-65 Weatherization Energy Conservation.

9.5 Environmental Protection Agency (EPA) Certifications

9.5.1 All contractors providing services utilizing in-house crews shall be certified as an EPA Certified Firm in accordance with EPA's Renovation, Repair and Painting Program requirements (40 CFR Part 745). Contractors who subcontract all of their

weatherization services are required to be certified and shall have at least one EPA Certified Renovator on staff for subcontractor oversight purposes.

9.5.2 Contractor shall ensure that all subcontractors whose work potentially disturbs lead paint are EPA Certified Firms and have EPA Certified Renovators on staff.

9.5.3 Any contractor without the required certification will not be allowed to perform weatherization services.

9.6 Additional Mandatory Training

Contractor must participate in mandatory training such as eligibility start-up training, TRM-specific trainings, contract review webinars, monitoring trainings, and other trainings CSD deems mandatory. CSD will notice Contractor with a minimum of 10 business days prior to these training opportunities.

gn Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

ARTICLE 10 – COMPLIANCE POLICIES AND PROCEDURES

10.1 Right to Monitor, Audit, and Investigate

10.1.1 Any duly authorized representative of the federal or state government, which includes but is not limited to the federal offices of inspectors general, the State Auditor, CSD staff, and any entity selected by CSD to perform inspections and/or investigations, shall have the right to monitor and audit Contractor and all subcontractors providing services under this Contract through on-site visits, audits, and any other appropriate means CSD deems necessary.

10.1.2 Contractor shall, upon reasonable notice, make available all information and materials reasonably necessary for CSD to substantiate to its satisfaction that expenditures incurred under this Contract are allowable and allocable, including, but not limited to files, books, documents, papers, and records. Contractor agrees to make such information and materials available to the federal government, the State, or any of their duly authorized agents or representatives, for purpose of examination, copying, or mechanical reproduction, on or off the premises of the subject entity.

10.1.3 Any duly authorized agent or representative of the federal or state government shall have the right to undertake investigations in accordance 42 USCS § 6866 and 10 CFR § 440.23, as amended.

10.1.4 All agreements entered into by Contractor with audit firms for purposes of conducting independent audits under this Contract shall contain a clause allowing CSD or any duly authorized agent or representative of the federal or state government timely access to the working papers of the audit firm(s).

10.2 Auditing Standards and Reports

10.2.1 Auditing Standards

10.2.1.1 *Applicability.* The standards set forth 2 CFR 200 Subpart F, Audit Requirements, are hereby incorporated by reference.

10.2.1.2 *Supplemental Audit Guide.* In addition to the audit requirements specified above, Contractor must follow the most current CSD Supplemental Audit Guide, incorporated into this Contract by reference in the Table of forms and Documents Incorporated by Reference. The Supplemental Audit Guide may be accessed at https://agencies.csd.ca.gov/home/Energy/Pages/Resources.aspx.

10.2.2 Audit Reports

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

10.2.2.1 Funds provided under this Contract shall be included in an audit conducted in accordance with the provisions of 2 CFR Part 200 Subpart F – Audit Requirements (§§ 200.500-521), standards promulgated by the American Institute of Certified Public Accountants (AICPA), and those standards included in The U.S. Government Accountability Office's "Government Auditing Standards, December 2011 Revision, as amended."

10.2.2.2 Organizations below audit threshold. Contractors falling below the federal funding threshold that mandates a single audit may be subject to an audit and/or other fiscal- or program-specific review conducted by CSD or its agents, upon 30 calendar days written notice.

10.2.2.3 The financial and compliance audit report shall contain the following supplementary financial information: a Schedule of Expenditures of Federal Awards (SEFA) in accordance with 2 CFR§ § 200.510(b). All DOE contracts shall be reported separately on the SEFA. In addition, a Supplemental Statement of Revenues and Expenditures (SSRE) for each contract that presents, by budget line item and fiscal year, revenue and expenditures for the audit period and a description of the methodology used to allocate and claim indirect costs and any administrative cost pools must be provided.

10.2.3 Submission of Audit Reports. Contractor shall submit to CSD one electronic copy of the required audit report(s) and any management letter(s) issued by the accountant, within the earlier of 30 calendar days after receipt of the auditor's report(s), or nine months after the end of the Contractor's fiscal year.

10.2.4 Failure to File IRS Form 990 for Tax-Exempt Organizations. If Contractor fails to file Form 990 timely, Contractor must provide:

10.2.4.1 Evidence of an extension request with an estimated timeframe for submission; or

10.2.4.2 An explanation of why Contractor does not plan to file Form 990.

10.2.5 The audit report(s) and all supplemental financial information must be submitted to the following addresses:

Electronic copy:
audits@csd.ca.gov.

Upon receipt of the audit report, CSD's Audit Services Unit (ASU) will send a confirmation email within five to ten business days. Contractor should verify receipt of ASU's confirmation email to ensure its single audit was received.

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10.2.6 Failure to Comply with Audit Reporting Requirements

If Contractor fails to comply with Federal statutes, regulations or the terms and conditions of this Contract, CSD may impose additional conditions, as described in 2 CFR § 200.208. If CSD determines that noncompliance cannot be remedied by imposing additional conditions, CSD may take one or more of the following actions, as appropriate in the circumstances, as provided in 2 CFR § 200.339 – § 343, Remedies for Noncompliance:

10.2.6.1 Temporarily withhold cash payments pending correction of the deficiency by Contractor or more severe enforcement action by the Federal awarding agency;

10.2.6.2 Disallow (that is, deny both use of funds and any applicable matching credit for) all or part of the cost of the activity or action not in compliance;

10.2.6.3 Wholly or partly suspend or terminate the Federal award;

10.2.6.4 Recommend that suspension or debarment proceedings as authorized under 2 CFR Part 180, be initiated by the Federal awarding agency,

10.2.6.5 Withhold further federal awards for the program; or

10.2.6.6 Take other remedies that may be legally available

10.2.7 Collection of Disallowed Costs

10.2.7.1 If Contractor challenges questioned costs and submits complete and accurate information or documentary evidence in support of the allowability of questioned costs CSD shall, after consideration of Contractor's submission, issue a final TR, no later than 30 calendar days after receipt of Contractor's information or documentation. If questioned costs are determined to be owning, ASU shall notify CSD's Fiscal Accounting Services Unit (FASU) to send an invoice. Contractor will tender payment to FASU or respond with a repayment plan acceptable to FASU.

10.2.7.2 All statements, notices, responses and demands issued in accordance with Article 10.2.7 shall be in writing.

10.2.7.3 CSD may, at its discretion, reasonably extend the time periods allowed for responses specified in this Section 10.2.7.

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

10.3 Compliance Monitoring

10.3.1 As the recipient of federal DOE WAP grant funds under this Contract, Contractor must substantiate that all costs claimed pursuant to this Contract are allowable and allocable under all applicable federal and state laws. To be entitled to reimbursement, Contractor must trace all allowable costs to the level of expenditure, to include providing supporting documentation reasonably necessary to substantiate the validity of such claim.

10.3.2 As the administrator of the DOE WAP grant for the State, CSD is required to ensure the funds allocated to Contractor are expended for the purposes identified in federal law, and for allowable and allocable costs under the applicable rules of the Code of Federal Regulations.

10.3.3 CSD is required to conduct on-site or in-house and follow-up monitoring of Contractor to ensure that Contractor meets the expenditure and unit production targets, administrative standards, financial management requirements, and other requirements of the federal program.

10.3.4 CSD shall provide Contractor reasonable advance notice in writing of on-site and/or in-house review monitoring reviews of Contractor's program or fiscal performance.

10.3.5 Over the course of the DOE Contract term, CSD will perform in-house desk reviews to verify compliance with financial and administrative requirements, and follow-up on prior year monitoring reporting findings and observations. Desk reviews will consist of a questionnaire that contractors will be required to complete and return to CSD within 30 calendar days from receiving the questionnaire. CSD anticipates conducting a minimum of one desk review during the term of the Contract period and may elect to increase the number and frequency of desk reviews based on the severity of non-compliance issues identified during the desk review process.

10.3.6 For contractors that did not receive 2020 or 2021 DOE funding, CSD will conduct quarterly client file reviews to meet the minimum annual client file review requirement, which is 10% of total client files or 10 total files, whichever is greater. If Contractor received 2020 or 2021 DOE funding and had no performance issues, CSD will conduct quarterly client file reviews to meet the minimum annual client file review requirement, which is 5% of total client files or 5 total files, whichever is greater. Files will be reviewed to verify compliance with DOE mandates to include, but not limited to, client eligibility, adherence to the priority protocol and energy audit protocols, completion of post-inspections, and assessment for mechanical ventilation. CSD shall notify Contractor of the client files requested, and Contractor shall submit the client files within five business days.

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10.3.7 CSD may increase the percentage of client files reviewed and frequency of client file reviews based on the severity of non-compliance issues identified during the client file review process.

10.3.8 CSD will conduct monthly review of expenditure status to ensure contractors are meeting their expenditure and unit production targets, in accordance with Article 10.5. CSD will follow up with Contractor if contractual targets are not being met.

10.3.9 In accordance with Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR § 200.337), Contractor shall cooperate with CSD program and audit staff and other representatives and provide access to all programs, records, documents, resources, personnel, inventory, and other things reasonably related to the administration and implementation of the services and activities funded directly or indirectly by this Contract. To the extent Contractor maintains records and documents in an electronic format, Contractor must make such records and documents readily available to CSD program and audit staff and other representatives: 1) for review on an appropriate electronic device provided by Contractor; and/or 2) for reproduction in electronic and/or hard copy format, as is necessary to affect the purposes of this paragraph. In order to realize the objectives of this subparagraph and to ensure that the integrity of this program, the proper expenditure of grant funds, and to prevent fraud, waste, abuse, and unjust enrichment, whether by design or inadvertence, Contractor shall cooperate with CSD as follows:

10.3.9.1 Upon request, provide a list of clients, jobs or properties to or for which DOE WAP services have been provided by Contractor, and to or for which Contractor has provided related services under other federal, State or non-governmental programs such as, but not limited to, public and private utility company programs, collectively "Associated Programs."

10.3.9.2 With respect to such list of clients, jobs, or properties, provide CSD and/or the investigative entities or persons referenced in Article 10.1, access to client files or similar records and documents of the Associated Programs for the purpose of determining whether related services have been provided that result in duplicate billings or any violation of federal or State law, this Contract, or applicable federal and/or State DOE WAP guidelines.

10.3.9.3 For purposes of this Section 10.3.9:

10.3.9.3.1 "Duplicate billing" is defined as receiving reimbursement from more than one funding source for the same expenditures or costs, whether in whole or in part, that Contractor incurs in connection with rendering a service to or for a client, job, or property, resulting in a total reimbursement to Contractor, from all sources, in excess of actual

expenditures or costs incurred.

10.3.9.3.2 To the extent necessary to realize the objectives of this article, the term "Contractor" includes any subcontractor or agent of Contractor in possession of the files, records, or documents or other information bearing on related services under any relevant Associated Program.

10.3.9.4 It is understood that Contractor has no obligation to provide access to the client files, records, and documents of an Associated Program when no DOE WAP services have been provided and the client, job, or property is not required to be on the list furnished to CSD by Contractor, as provided herein.

10.3.9.5 In the event Contractor is unable to comply with the provisions of subparagraphs 10.3.9.1 or 10.3.9.2 because of restrictions placed on Contractor by law in connection with an Associated Program, or restrictions imposed on Contractor pursuant to a binding written contract between Contractor and the funding source of such Associated Program, then Contractor shall so inform CSD by written declaration and provide supporting documentation for such declaration. Contractor shall, together with any declaration made, certify to CSD in writing that:

10.3.9.5.1 Contractor has not submitted duplicate billings to both DOE WAP and Associated Program.

10.3.9.5.2 Contractor has not otherwise engaged in similar actions in violation of federal or state law.

10.3.10 CSD will host a File Transfer Protocol (FTP) Server and provide Contractor with specifications, documentation and sample of FTP file configurations screens, as necessary, to enable Contractor to use the FTP Server to upload client files, records and documents. Contractor shall submit client files, records and documents via the FTP to allow CSD to complete an in-house review.

10.3.11 In the event that CSD determines that Contractor is not in compliance with material or other legal requirements of this Contract, CSD shall provide the observations, recommendations, or findings and request for a corrective action plan to Contractor in writing. Contractor shall submit to CSD a specific action plan for correcting the noncompliance.

10.3.12 Collection of Disallowed Costs

10.3.12.1 In the event questioned costs are identified in a final decision on cost disallowance issued by CSD, Contractor shall comply with any demand for repayment, as specified in such final report.

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10.3.12.2 *Time for response.* Contractor shall have no less than 30 calendar days from receipt of the final decision to tender payment to CSD or, alternatively, to provide CSD with complete and accurate information or documentary evidence in support of the allowability of questioned costs.

10.3.12.3 *Notice after review of further supporting evidence.* If Contractor challenges questioned costs and submits complete and accurate information or documentary evidence in support of the allowability of questioned costs as provided above in subparagraph 10.3.12.2, CSD shall, after consideration of Contractor's submission, accordingly issue a revised Notice of Disallowed Costs, if any, no later than 30 calendar days after receipt of Contractor's information or documentation. Contractor shall have 15 calendar days from receipt of such Notice to tender payment or a repayment plan acceptable to CSD. In the alternative, Contractor may request a hearing in accordance with Article 10.4, subparagraph 10.4.5.5 of this Contract, for CSD's final determination of disallowed costs.

10.3.12.4 All statements, notices, responses and demands issued in accordance with this paragraph shall be in writing.

10.3.12.5 CSD may, at its discretion, reasonably extend the time periods allowed for responses specified in this paragraph.

10.4 Enforcement Process - Noncompliance with Requirement of this Contract

10.4.1 Tax-Exempt Status Requirement

Nonprofit charitable organizations must maintain their 501(c)(3) tax-exempt status as a requirement for continued DOE grant reimbursements and participation under the Contract. All 501(c)(3) contractors shall notify CSD within one (1) business day upon revocation of their tax-exempt status and cease all work performed under this Contract. CSD will halt all payments to Contractor while its nonprofit, tax-exempt status is revoked. Work performed prior to the revocation, but billed after such notice is received, shall be timely reimbursed to the Contractor. In addition, CSD may take additional enforcement steps consistent with federal and state law and this Contract.

10.4.2 General

The authority for CSD Enforcement Actions, as defined in paragraph 10.4.3, for cost disallowances/ recovery of misused funds, and for de-designation of eligible entity status (collectively "Enforcement Process") is found in the Code of Federal Regulations, and in state regulations, with particular reference to 22 CCR §100875. In order to facilitate compliance with the cited authorities, the parties to this Contract agree that: the present article 1) shall guide, inform and clarify the

Enforcement Process; 2) shall establish the procedures to be followed; and 3) establish the rights and obligations of the parties with respect to the Enforcement Process, for purposes of implementing the principles set out in the applicable legal authorities.

10.4.3 Enforcement Action, "High Risk" – Determination and Notice

10.4.3.1 If CSD determines that Contractor is not financially stable and that Contractor's financial condition is so tenuous that its ability to implement this Contract is seriously compromised, or if CSD determines that Contractor has not complied with the requirements of this Contract and that Contractor's noncompliance constitutes a material breach of the Contract, CSD may initiate an Enforcement Action. For purposes of this article, "Enforcement Action" means the imposition of any of the following: a) special conditions and/or sanctions; b) a determination of cost disallowance; c) contract suspension; d) contract termination; or e) termination of Contractor's service provider status.

10.4.3.2 To initiate an Enforcement Action, CSD must provide Contractor with written notice of "high risk" designation, setting forth: 1) the factual and legal basis for the determination of noncompliance, upon which the "high risk" designation is based; 2) the corrective action(s) required; and 3) the date by which they the corrective action(s) must be taken and completed.

10.4.3.3 For purposes of this article, "material breach" means any act or omission by Contractor that is in contravention or disregard of Contractor's duties and obligations under the terms of this Contract and under applicable State and federal law, which act or omission:

10.4.3.3.1 Constitutes fraud or gross negligence by Contractor or its agent(s);

10.4.3.3.2 Is likely to result in significant waste and/or abuse of federal funds;

10.4.3.3.3 Has a significant adverse impact on Contractor's ability to meet its administrative, financial, or programmatic duties and obligations over the term of the Contract or a significant portion thereof;

10.4.3.3.4 Violates or otherwise disregards significant program guidance and other requirements of the Federal Government, whether issued directly or through CSD;

10.4.3.3.5 May have serious adverse effects and consequences on the Contractor's customers, employees, subcontractors, creditors, suppliers,

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vendors, or other stakeholders; or

10.4.3.3.6 May otherwise significantly and adversely affect the viability, effectiveness, or integrity of the program.

10.4.4 Special Conditions and Sanctions

10.4.4.1 "High risk" designation may include the imposition of Special Conditions, Sanctions and/or other special requirements with respect to Contractor's performance. CSD may impose Special Conditions and/or Sanctions upon a determination that such steps are reasonably necessary to address acute financial instability or a material breach of contract, as defined in paragraph 10.4.3, above.

10.4.4.2 Notice of Special Condition(s) and/or Sanction(s) shall be in writing and shall become effective on the date specified in the notice. Notice must contain the following information:

10.4.4.2.1 The nature of the Special Condition(s) and/or Sanction(s) being imposed;

10.4.4.2.2 The reason(s) for imposing Special Condition(s) and/or Sanction(s); and

10.4.4.2.3 The corrective actions that must be taken and the time allowed for completing them before CSD removes the Special Condition(s) and/or Sanction(s).

10.4.4.3 Special Conditions may include, but are not limited to:

10.4.4.3.1 Obtaining training and/or technical assistance;

10.4.4.3.2 The imposition of special or additional reporting requirements;

10.4.4.3.3 Special or conditional cost reimbursement requirements and procedures;

10.4.4.3.4 The provision of documentation by Contractor; and/or

10.4.4.3.5 The requirement to amend or modify systems, procedures, and/or policies.

10.4.4.4 Sanctions may include, but are not limited to:

10.4.4.4.1 The suspension of advances and/or reimbursements; and/ or

10.4.4.4.2 The issuance of stop work orders.

10.4.4.5 Sanctions may not be imposed without a hearing being first held in accordance with applicable regulations, *unless* CSD reasonably determines on the basis of credible information that:

10.4.4.5.1 Substantial sums to be paid to Contractor have been or will be used in violation of law or the provisions of this Contract, or

10.4.4.5.2 The associated costs are otherwise very likely to be disallowed; and

10.4.4.5.3 If Sanctions are not immediately imposed, taxpayer dollars are at significant risk and are unlikely to be recovered.

10.4.4.6 Review of Special Conditions and/or Sanctions.

10.4.4.6.1 if Contractor elects to contest the action to impose Special Conditions and/or Sanctions, Contractor shall have five business days following receipt of Notice of Enforcement Action in which to show cause, in writing, why the Special Conditions or Sanctions should not be enforced;

10.4.4.6.2 CSD shall have five business days following receipt of Contractor's response to accept or reject Contractor's objection and to state in writing the consequences of the decision and Contractor's obligations going forward, if any.

10.4.4.6.3 Contractor may, within five business days of receipt of Notice of Enforcement Action, request an informal meeting for the parties to consider the merit of the Notice and to discuss alternative courses of action, which meeting CSD may agree to if, in its sole judgment, it determines the meeting would be helpful to the process, can be held expeditiously, and will not unduly cause delay or otherwise increase the risk of loss of taxpayer dollars.

10.4.4.6.4 Contractor may, at any time, request in writing that CSD initiate the contract suspension or contract termination processes, to include the requisite hearings, as set out in 22 CCR § 100875.

10.4.4.6.5 Should Contractor fail to show cause why the Enforcement Action should not go forward, or should Contractor fail to request that CSD initiate either the contract suspension or termination processes, CSD may initiate such action upon its own motion.

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10.4.4.6.6 Special conditions and sanctions shall remain in effect until the hearing procedure is completed, provided, with respect to sanctions, CSD reasonably determines that subparagraph 10.4.4.5 applies.

10.4.5 Cost Disallowance

10.4.5.1 If Contractor's non-compliance with the terms of this Contract results in an enforcement action, and if CSD determines that Contractor's non-compliance has resulted in questioned costs, CSD shall provide Contractor with a Statement of Questioned Costs along with the Notice of Enforcement Action, or at such later time in the Enforcement Process as questioned costs have been identified.

10.4.5.2 The Statement of Questioned Costs shall include:

10.4.5.2.1 A description of the costs questioned and the specified amount by type or category of costs;

10.4.5.2.2 The reason the costs are questioned, and the information and/ or documentation required to justify payment of the costs; and

10.4.5.2.3 The timeframe and procedures for Contractor's submission of the required information or documentation to CSD.

10.4.5.3 If CSD determines that more information is required before a Statement of Questioned Costs can be issued or before a final determination of cost disallowance can be made, CSD may conduct an investigative audit of Contractor's records, files and books of account, or retain an audit firm for such purpose. Contractor agrees to cooperate fully in any audit conducted and to ensure that Contractor's agents, accountants and subcontractors cooperate in the performance of such audit. A report of any audit conducted shall be shared with Contractor, who shall be given ample opportunity to respond to findings and to submit information and documentation in support of the response. If Contractor fails to cooperate in the conduct of an audit, initiated pursuant to this subparagraph, CSD may either impose sanctions, as provided in subparagraph 10.4.4.4 or, if feasible, issue a Notice of Disallowed Costs.

10.4.5.4 After CSD has considered any information and/ or documentation submitted by Contractor in response to a statement of questioned costs or in response to an investigative audit report, CSD shall issue a Notice of Disallowed Costs, which notice shall include:

10.4.5.4.1 The amount of disallowed costs to be repaid, if any; and

10.4.5.4.2 The date by which repayment must be made or, in the alternative,

10.4.5.4.3 The date by which Contractor must submit a proposed repayment plan for consideration by CSD.

10.4.5.5 Before the expiry of five business days after receipt of a Notice of Disallowed Costs, Contractor may challenge the Notice of Disallowed Costs by requesting a hearing, conducted in accordance with the procedures set out in 22 CCR § 100875, for the purpose of adjudicating the matter of cost disallowance, provided however that either Contractor or CSD may opt to adjudicate other pending Enforcement Action matters, as provided in subparagraph 10.4.4.6.4 of this section, in a combined proceeding.

10.4.5.6 If Contractor fails to request a hearing to adjudicate cost disallowance, as provided in subparagraph 10.4.5.5, the Notice of Disallowed Costs shall be deemed final and Contractor shall comply with the provisions of the present Paragraph 10.4.5.

10.4.5.7 Contractor will not be deemed to have complied with a Notice of Disallowed Costs until repayment is made or CSD has approved a repayment plan. In determining the acceptability Contractor's repayment plan, CSD shall take into consideration such factors as, but not limited to:

10.4.5.7.1 Federal requirements or conditions applicable to the grant(s) under which the disallowed costs were funded;

10.4.5.7.2 The exigencies of the grant program and CSD's ability to reallocate the funds repaid or otherwise dispose of the funds in accordance with applicable law;

10.4.5.7.3 The risk of being unable to recover funding and the options for securing Contractor's repayment obligation; and

10.4.5.7.4 Contractor's financial condition and ability to pay.

10.4.6 Contractor shall remain on "high risk" until CSD reasonably determines that Contractor has complied with the requirements of the Notice of "High Risk" Designation, including verification by CSD that corrective measures have been implemented, that all conditions have been met and that disallowed costs have been repaid or, alternatively, that CSD has deemed Contractor's repayment plan to be acceptable and Contractor has demonstrated it is in compliance with the plan. Upon determination that Contractor has complied with the requirements of the Notice of "High Risk" Designation, CSD shall give Contractor written notice

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of such determination.

10.4.7 In the event Contractor's non-compliance with the terms and conditions of this Contract are not remedied through imposition of special conditions, and/or sanctions, thereby enabling CSD to remove "high risk" designation, CSD may initiate further Enforcement Actions involving Contract Suspension, Contract Termination and Termination of service provider status, which shall be initiated and conducted in accordance with the applicable provisions found in 22 CCR § 100875 and other applicable State and federal statutes and regulations.

10.4.8 Lien rights

The State retains lien rights on all funds advanced.

10.5 Service Delivery and Expenditure Requirements

10.5.1 Service Delivery and Expenditure of Funds

10.5.1.1 Contractor shall be afforded maximum flexibility and control, within the parameters of federal law, in the planning, administration, and delivery of DOE WAP services. Regardless of the modalities and techniques utilized, Contractor shall: a) Ensure that the maximum numbers of persons are served consistent with the effective and efficient service delivery under program requirements and applicable law; and b) Fully expend program funds within the Contract term.

10.5.1.2 A substantial failure to expend funds and provide services to readily available qualified applicants, except for compelling reasons beyond Contractor's control and within CSD's determination, shall be deemed prima facie evidence of breach of contract and may constitute grounds for "high risk" designation and the applicable remedies as provided in Article 10.4, "Enforcement Process – Noncompliance with the Requirements of this Contract." Such failure of performance may, in accordance with the provisions of this Article, result in a reduction in Contractor's grant allocation and the redistribution of unexpended funds.

10.5.1.3 Contractor must conduct an expenditure and unit production assessment and submit the "DOE WAP Expenditure and Production Assessment Template" (EPAT) upon execution of this contract amendment. The EPAT shall include the Contractor's "Total Estimated Allocation to be Expended and Completed Unit Production through June 30, 2025." Should the Contractor identify new expenditure and unit production targets that do not fully expend the "Total Allocation Amount", Contractor shall include a description of the identified barriers to full expenditure and unit production in the EPAT. CSD will review the Contractor's EPAT and if it is

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determined that the Contractor has significant administrative barriers to fully expending their Total Allocation Amount, CSD will accept the Contractor's EPAT and will monitor compliance in accordance with the new, updated expenditure and unit production targets established in the EPAT.

10.5.2 Contractor Performance Benchmark and Reporting Requirements

10.5.2.1 CSD will monitor Contractor's expenditures to evaluate compliance with performance benchmark requirements in accordance with expenditure and unit production targets identified in the EPAT.

10.5.2.2 Contractor shall submit timely expenditure reports, that allow CSD to evaluate Contractor's compliance with expenditure and unit production targets identified in the EPAT. CSD may reduce or deny Contractor's funding request for the following contract year if Contractor is out of compliance and has not met the expenditure and unit production targets identified in the EPAT.

10.5.2.3 Should the Contractor's actual expenditure and unit production trend indicate the Contractor is unlikely to meet the expenditure targets identified in the EPAT, CSD may, at its sole option, notify Contractor in writing that Contractor's total remaining allocation, including capped budget items, shall be reallocated. Notice of such action shall be issued within 30 calendar days after the expenditure and production targets identified in the EPAT.

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

ARTICLE 11 – FEDERAL AND STATE POLICY PROVISIONS

11.1 Certifications

11.1.1 Contractor's signature affixed to the Contract shall constitute a certification that to the best of its ability and knowledge it will, unless exempted, comply with the provisions set forth in the following:

11.1.1.1 Drug-Free Workplace Requirements, Contractor Certification Clauses 04/2017 (CCC -04/2017)

11.1.1.2 National Labor Relations Board Certification (CCC -04/2017)

11.1.1.3 Expatriate Corporations (CCC -04/2017)

11.1.1.4 Domestic Partners (CCC -04/2017)

11.1.1.5 Labor Code/Workers' Compensation (CCC-04/2017)

11.1.1.6 Americans with Disabilities Act (CCC-04/2017)

11.1.1.7 Contractor Name Change (CCC -04/2017)

11.1.1.8 Resolution (CCC -04/2017)

11.1.1.9 Air or Water Pollution Violation (CCC -04/2017)

11.1.1.10 Safeguarding Access to State Data (Department of Finance, Budget Letter 04-35)

11.1.1.11 Safeguarding Against and Responding to a Breach of Security Involving Personal Information (Office of Information Security and Privacy Protection, Management Memo 08-11).

11.1.2 The above documents are hereby incorporated by reference into this Contract. To access these documents, please visit the CSD Local Agencies Portal website at https://agencies.csd.ca.gov/home/Energy/Pages/Resources.aspx or https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/Standard-Contract-Language (CCC-04/2017).

11.1.3 GENERATIVE ARTIFICIAL INTELLIGENCE (GenAI) - During the term of the contract, Contractor must notify the State in writing if their services or any work under this contract includes, or makes available, any previously unreported GenAI technology, including GenAI from third parties or subcontractors. Contractor shall immediately complete the GenAI Reporting and Factsheet (STD 1000) to

notify the State of any new or previously unreported GenAI technology. At the direction of the State, Contractor shall discontinue the use of any new or previously undisclosed GenAI technology that materially impacts functionality, risk or contract performance, until use of such GenAI technology has been approved by the State. Failure to disclose GenAI use to the State and submit the GenAI Reporting and Factsheet (STD 1000) may be considered a breach of the contract by the State at its sole discretion and the State may consider such failure to disclose GenAI and/or failure to submit the GenAI Reporting and Factsheet (STD 1000) as grounds for the immediate termination of the contract. The State is entitled to seek any and all relief to which it may be entitled to as a result of such non-disclosure. The State reserves the right to amend the contract, without additional cost, to incorporate GenAI Special Provisions into the contract at its sole discretion and/or terminate any contract that presents an unacceptable level of risk to the State.

11.2 Provisions for Federally Funded Grants

11.2.1 Contractor certifies that it possesses legal authority to apply to the State for DOE WAP funds and assures compliance with the purposes as set forth in 42 USC §§ 6861 et seq., as amended.

11.2.2 Eligibility to Receive Federally Funded Public Benefits

Pursuant to the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) (Public Law (Pub. L.) 104-193), as amended, and Executive Order W-13596, dated August 27, 1996, while in effect, applicants for federally funded public benefits are required to provide proof of U.S. citizenship, U.S. non-citizen national, or qualified alien status. (8 USC §§ 1611, 1612, & 1642.) Contractor shall verify client eligibility in accordance with CSD Applicant Verification of Eligibility Procedures and Regulations, forms, and other written guidance provided by CSD.

11.2.3 Under the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (IIRIRA) Section 508 (Pub. L. 104-208), and NO VERIFICATION REQUIREMENT FOR NONPROFIT CHARITABLE ORGANIZATIONS, Section 432 (d) of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (8 USC § 1642 et seq.) as amended, Nonprofit charitable organizations are exempt from the requirement under this title to determine, verify, or otherwise require proof of U.S. citizenship, U.S. non-citizen national, or qualified alien status of any applicant for such benefits in providing any Federal public benefit (as defined in 8 USC § 1611(c)) or any State or local public benefit (as defined in 8 USC § 1621(c)) (8 USC § 1642(d)).

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11.2.4 Federal Funding Accounting Accountability and Transparency Act Reporting Requirement (FFATA) (Pub. L. 109-282).

Pursuant to the FFATA, CSD is required to report information regarding Contractors (sub-awardees) receiving DOE WAP funds. Contractor must complete CSD Form 279 and return with the Contract to enable CSD to comply with FFATA reporting requirements.

CSD may issue guidance and/or Amendment(s) to this Contract, establishing additional reporting requirements as necessary to ensure compliance with the FFATA or other Federal and State regulations, as applicable.

11.3 Federal Certifications Regarding Debarment, Suspension, and Related Matters

Contractor hereby certifies to the best of its knowledge that it or any of its officers, or any subcontractors:

11.3.1 Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;

11.3.2 Have not within a three (3) year period preceding this Contract been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

11.3.3 Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in Section 11.3.2 above of this certification; and

11.3.4 Have not within a three (3) year period preceding this Contract had one or more public (federal, state, or local) transactions terminated for cause or default.

11.3.5 If any of the above conditions are true for the Contractor or any of its officers, Contractor shall describe such condition and include it as an attachment to Part I of the Contract. Based on the description, CSD in its discretion may decline to execute this Contract or set further conditions of this Contract. In the event any of the above conditions are true and not disclosed by Contractor, it shall be deemed a material breach of this Contract, and CSD may terminate this Contract for cause immediately pursuant to the termination provisions of State and federal law governing the DOE WAP.

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

11.3.6 As provided in this article, Contractor must certify in writing to the best of its knowledge that any subcontractor(s) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.

11.4 Affirmative Action Compliance

11.4.1 Each Contractor or subcontractor with 50 or more employees and contract of $50,000 or more shall be required to develop a written Affirmative Action Compliance Program.

11.4.2 The written program shall follow the guidelines Equal Employment Opportunity clause obligations set forth in 41 of the Code of Federal Regulations, Subtitle B, Part 60-1.40, Part 60-2.10 through 60-2.32, and Part 60-741.1 through 60-741.47.

11.4.3 Each Contractor or subcontractor with less than 50 employees shall comply with Executive Order 11246, Part II, Section 202, as amended by Executive Order 11375. Contractor shall ensure that subcontractors falling within the scope of this provision shall comply in full, with the requirements thereof.

11.5 Nondiscrimination Compliance

11.5.1 Contractor's signature affixed hereon shall constitute a certification that to the best of its ability and knowledge will, unless exempted, comply with the nondiscrimination program requirements set forth in this section.

11.5.2 Contractor hereby certifies compliance with the following:

11.5.2.1 Executive Order 11246, as amended by Executive Order 11375, relating to equal employment opportunity;

11.5.2.2 Title VI and Title VII of the Civil Rights Act of 1964, as amended (42 USC §§ 2000d et seq. and 2000e et seq.);

11.5.2.3 The Rehabilitation Act of 1973, as amended (29 USC §§ 701 et seq.);

11.5.2.4 Vietnam Era Veterans' Readjustment Assistance Act of 1974, as amended (38 USC § 4212 et seq.; 41 CFR Subtitle B, Part 60-300);

11.5.2.5 Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor (regulations implementing Executive Orders 11246 and 11375) (41 CFR Subtitle B, Chapter 60, as amended); and

ign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

11.5.2.6 Americans with Disabilities Act of 1990 (Pub. L. 101-336, 42 USC § 12101 et seq.).

11.6 Contractor Fair Hearing - Civil Rights Act Violation

11.6.1 In the event of any violation or alleged violation of Title VI of the Civil Rights Act of 1964, as amended, (42 USC § 2000d et seq.), Contractor has the right to request a fair hearing in response to such violation or alleged violation within 30 calendar days from the date of such action.

11.6.2 The State shall conduct such fair hearing in accordance with Title 45, Code of Federal Regulations, Part 81.

11.7 Specific Assurances

11.7.1 Pro-Children Act of 1994

11.7.1.1 This Contract incorporates by reference all the nonsmoking policy provisions set forth in the Pro-Children Act of 1994 (20 USC § 6083).

11.7.1.2 Contractor further agrees that the above language will be included in any subcontracts that contain provisions for children's services and that all subcontractors shall certify compliance accordingly.

11.7.2 American-Made Equipment/Products

Contractor shall assure, pursuant to the Buy American Act of 1933 (41 USC § 8301 et seq.), to the extent practicable, that all equipment and products purchased with funds made available under this Contract shall be American made.

11.7.3 Federal and State Occupational Safety and Health Statutes

Contractor assures that it shall be in compliance with the provisions as set forth in Federal and State Occupational Safety and Health Statutes (federal and Cal/OSHA); the California Safe Drinking Water and Toxic Enforcement Act of 1986 (Health & Safety Code §§ 25249.5 et seq.); Universal Waste Rule (Hazardous Waste Management System: Modification of the Hazardous Waste Recycling Regulatory Program) (60 FR 25492, codified at 40 CFR Part 273); and California Workers' Compensation laws (Labor Code §§ 3200 et seq.).

11.7.4 Political Activities

11.7.4.1 Contractor shall refrain from all political activities if such activities involve the use of any funds that are the subject of this Contract.

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

11.7.4.2 Contractor is prohibited from any activity that is designed to provide voters or prospective voters with transportation to the polls or to provide similar assistance in connection with an election if such activities involve the use of any funds that are subject to this Contract.

11.7.5 Lobbying Activities

11.7.5.1 Contractor shall refrain from all lobbying activities if such activities involve the use of any funds that are the subject of this Contract or any other fund, programs, projects, or activities that flow from this Contract.

11.7.5.2 If Contractor engages in lobbying activities, Contractor shall complete, sign and date the CERTIFICATION REGARDING LOBBYING/DISCLOSURE OF LOBBYING ACTIVITIES, as required by federal law under 2 CFR § 200.450.

11.7.6 Performance of Work in United States

All work performed under this Award must be performed in the United States. If the Contractor fails to comply with the Performance of Work in the United States requirements, the Contractor will not be reimbursed for work performed.

11.7.7 Use of Program Income

If the Recipient earns program income during the project period as a result of this Award, the Recipient may add the program income to the funds committed to the Award and use to further eligible project objectives.

11.8 Publications

11.8.1 Contractor is encouraged to publish or otherwise make publicly available the results of the work conducted under the award, subject to compliance with Section 11.8.2 below.

11.8.2 An acknowledgment of DOE support and a disclaimer must appear in the publication of any material, whether copyrighted or not, based on or developed under this project, as follows:

Acknowledgment:
"This material is based upon work supported by the Department of Energy [National Nuclear Security Administration] [add name(s) of other agencies, if applicable] under Award Number(s) [enter the award number(s)]."

Disclaimer:
"This report was prepared as an account of work sponsored by an agency of the

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United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof."

11.9 Decontamination and/or Decommissioning (D&D) Costs

Notwithstanding any other provisions of this Contract, neither the State nor Federal Government shall not be responsible for or have any obligation to the recipient for: (i) Decontamination and/or Decommissioning (D&D) of any of the recipient's facilities, or (ii) any costs which may be incurred by the recipient in connection with the D&D of any of its facilities due to the performance of the work under this Contract, whether said work was performed prior to or subsequent to the effective date of this Contract.

11.10 Executive Order N-6-22 Russia Sanctions

On March 4, 2022, Governor Newson issued Executive Order N-6-22 (the EO) regarding Economic Sanctions against Russia and Russian entities and individuals. "Economic Sanctions" refers to sanctions imposed by the U.S. government in response to Russia's actions in Ukraine, as well as any sanctions imposed under state law. The EO directs state agencies to terminate contracts with, and to refrain from entering into any new contracts with, individuals or entities that are determined to be a target of Economic Sanctions. Accordingly, should the State determine Contractor is a target of Economic Sanctions or is conducting prohibited transactions with sanctioned individuals or entities, that shall be grounds for termination of this agreement. The State shall provide Contractor at least 30 calendar days to provide a written response. Termination shall be at the sole discretion of the State.

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SUBVENTION CONTRACT

STATE CONTRACTING REQUIREMENTS GTC 04/2017

ARTICLE 12 – GENERAL TERMS AND CONDITIONS GTC 04/2017

Contractor may find the required California General Terms and Conditions (GTC 04/2017) at the following web address:

https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/Standard-Contract-Language.

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ARTICLE 13 - DEFINITIONS

All terms used in this Contract shall be those as defined in applicable federal and state law (see 42 USC §§ 6861 et seq.) and regulation (see 2 CFR Part 200 and 10 CFR Part 440), or as more specifically defined as:

Administrative Costs: Actual costs for auxiliary functions such as salaries, wages, workers compensation, and fringe benefits for administrative staff, facilities, utilities, office and computer equipment, telephone, travel, accounting, auditing, monitoring assistance, office supplies, and like services necessary to sustain the direct effort involved in administering a grant program or an activity providing services to the grant program. Includes incurred costs associated with participation and attendance to policy advisory committee meetings and workgroups.

Amendment: A formal change to the Contract of a material nature including but not limited to the term, scope of work, or name change of one of the Parties, or a change of the maximum amount of this Contract.

Ancillary Supplies: Ancillary supplies are additional low-cost materials or supplies (e.g., nuts, bolts, screws, and washers) necessary to install a weatherization measure, and not easily identifiable to a specific measure or dwelling. Costs of ancillary supplies that benefit multiple programs must be prorated accordingly. Costs must be directly associated to net changes in inventory and not associated with materials chargeable to another measure line item. Reimbursement for ancillary supplies is not allowable for subcontractors.

Authorized Agent: The duly authorized representative of the Board of Directors of Contractor and duly elected or appointed, qualified, and acting officer of CSD. In the case of Contractor, CSD shall be in receipt of board resolution affirming an agent's representative capacity to bind Contractor to the terms of this Contract.

California Certified Inspector/Risk Assessor Contractor: An individual who is certified by the State of California, Department of Public Health, as a lead-related construction Inspector/Risk Assessor.

California Energy Commission (CEC) Climate Zone: The CEC established 16 climate zones that represent a geographic area and that have a particular weather pattern. These climate zones are based on energy use, temperature, weather, and other factors that determine the types of building standards that are subject to the Title 24 Energy Efficiency Standards and that dictate the energy conservation measures that must be installed in a weatherized dwelling, as required by law.

Call-Back: A call-back occurs when a measure fails (either during inspection, or later within the warranty period) and must be corrected by an agency. The required warranty

periods are defined in CSD TRM. Warranty corrections are required under both LIHEAP and DOE WAP, however, under DOE WAP, Contractor is required to notify CSD for billing instructions and DOE is required to be notified of all call-backs.

Certification Date: The date the applicant is deemed eligible and the agency commits to provide services. The certification date should not be before the intake date.

Certified Lead-Free: Residential property that has been determined by a California Certified Inspector/Risk Assessor Contractor to be absent from the presence of lead-based paint.

Certified Lead-Safe: Residential property in which lead-painted surfaces are intact and/or have been treated with measures to stabilize and eliminate lead-paint hazards and that, as such, poses no immediate threat to the occupants as determined by a California Certified Inspector/Risk Assessor Contractor.

Certified Translator: A translator that has been certified to translate a specific language and are often members of a professional translation association such as American Translators Association and American Literary Translators Association, etc.

Children: Members of a household who are 19 years of age or younger.

Client Education/Counseling: Includes, but is not limited to, providing client with written information describing energy-saving behavioral adjustments that will decrease the energy consumption of the household; providing client with resource information, referral, and budget counseling in order to assist clients in achieving self-sufficiency; providing client with mold and lead-safe education and advising client of the benefits of weatherization in their homes.

Client Intake: Includes, but is not limited to, the process of completing an intake form and reviewing applicant documentation in order to verify eligibility.

Client Needs Assessment: The act of acquiring additional and appropriate information from an eligible client to determine the needs that can be served by Contractor and other available programs AFTER eligibility has been established.

Contract: The complete contents of this contract entered into by and between CSD and Contractor, including all rights, duties, and obligations, whether expressed or implied, required toward the legal performance of the terms hereof.

Contractor: The entity (partnership, corporation, agency, or association) designated on the face sheet (STD 213) of this Contract.

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Contractor Average Cost Per Unit (ACPU): Represents the maximum average cost per dwelling unit for weatherization services, defined as the aggregate of Total Program Operations and Major Vehicle and Equipment Purchases divided by number of units completed. Under this contract, the Contractor ACPU for Annual DOE WAP for Program Year 2023 (July 1, 2023 through June 30, 2024) is set at $8,250. The Contractor ACPU for Annual DOE WAP for Program Year 2024 (July 1, 2023 through June 30, 2024) is set at $8,497.

The formula for determining the Contractor ACPU is:

Total Program Operations divided by Total Completed Units

Total Program Operations consists of the following:

- Client Intake
- Outreach and Its Related Costs
- Direct Program Activities
- Major Vehicles and Equipment Purchases (more than $5,000)
- Minor Vehicle & Field Equipment (less than $5,000)
- General Operating Costs
- Other Program Costs (refer to list below)
- Automation Costs

Other Program Costs consist of the following:

- Wages – Field Staff
- Wages - Program Management & Support
- Workers' Compensation
- Travel and Per Diem
- Disposal Fees
- Ancillary Supplies
- Waste Breakage
- Vehicle & Equipment Repair, Maintenance, Fuel
- Historic Preservation Review Costs

CSD: The Department of Community Services and Development, State of California.

CSD Program Advisory (CPA): The purpose of the CPA is to provide information, correct problems, contradictions and uncertainty. A CPA serves as short-term guidance or transitional in nature, to inform or direct immediate action to correct a problem or provide relief from an obligation.

CSD Program Notice (CPN): The purpose of the CPN is to supplement contractual requirements and facilitate program implementation. A CPN serves as long term guidance to summarize or interpret regulations or contract requirements.

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

Database Transfer: A method wherein contractors utilize a local database platform to provide CSD with downloaded client and other program data.

De Minimis Levels: The amount of lead paint disturbed in a dwelling is comprised of two square feet per room of interior surfaces, or 20 square feet of exterior surface, or 10% of a small component, e.g., windowsill, baseboards, and trim. When calculating the de minimis level, the entire surface of the component must be included in the computation. For example, when replacing a 2 x 3 foot window, the de minimis level would be six square feet and would exceed the maximum allowance for interior surfaces and the unit would be subject to HUD Regulation.

Diagnostic Testing: Series of testing protocols performed under the weatherization program involving the use of specialized tools to assess: the operating condition of combustion appliances for general safety and carbon monoxide emission levels, and pressurized diagnostic testing procedures to assess the integrity of building envelopes and duct systems for leakage and outside air infiltration. Diagnostic tests shall only be performed by qualified individuals possessing the required skill and training needed to perform diagnostic testing activities.

Direct Program Activities: Activities associated with the installation of measures in dwellings to include labor, materials, subcontractors, and lead-safe weatherization materials, and other program costs.

Disposal Fees: A fee or expense charged by a third-party waste removal entity and/or the direct cost incurred by a contractor for the action of removing or getting rid of refuse, unwanted, and/or hazardous materials left over from the weatherization process.

DOE: The United States (U.S.) Department of Energy that provides funds for the Weatherization Assistance Program for Low-Income Persons. This program is authorized by Title IV of the Energy Conservation and Production Act (Pub. L. 94-385). The federal regulations for this program are in 10 CFR Part 440.

Dwelling Assessment: The process used to evaluate the service needs of an eligible dwelling for weatherization services offered under the DOE and LIHEAP weatherization programs. An assessment shall be performed by qualified individuals possessing the required skill and training needed to perform assessment activities.

Dwelling Unit: A house, including a stationary mobile or manufactured home, an apartment, a group of rooms, or a single room occupied as separate living quarters.

Electronic File: A contract or other record created, generated, sent, communicated, received, or stored by electronic means.

Elderly: An individual 60 years of age or older.

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Energy Audit: An energy audit is an analysis tool intended to be used by the weatherization agencies for the purpose of determining a list of cost-effective measures for a specific dwelling. The REM/Design energy audit and TREAT are currently being used for the purposes of this Contract.

Energy Burden: The expenditures of the household for home energy divided by the income of the household.

Environmental Inspection: A visual assessment and sampling which includes asbestos, lead and radon when allowable per the contract. Environmental inspections shall be in accordance with all CSD policies and procedures and in compliance with all Federal and State regulations. Allowable costs include actual labor costs while on the jobsite and testing fees associated with the inspection.

Estimated Budget Allocation: The estimated dollar amount of DOE annual funding, based on the Final Allocation from the 2022 DOE WAP Contract, used to facilitate the completion of budgets, fiscal and local planning efforts in the event this Contract is executed prior to federal authorization of the full annual allocation of DOE funding and funded under Continuing Resolution appropriations.

Evaporative Cooler Repairs: Repair or replacement of filter pads, water pumps, belts, motors, or other components that promote efficient operation of the unit.

Final Allocation: The actual amount of funds available to Contractor under this Contract after CSD receives the notice of grant award for the full annual allocation based on the appropriation by Congress for Federal Fiscal Year 2022 and Federal Fiscal Year 2023, and DOE's approval of the Weatherization Grant Application, as publicly announced by CSD's Director or designee, subsequent to the execution of this Contract.

General Heat Waste Measures: A subcategory of weatherization measures designed specifically to improve energy efficiency by reducing general heat and cooling waste within the dwelling. General Heat Waste Measures include: air conditioning/furnace filter replacements, hot water flow restrictors and low-flow showerheads, water heater blankets, and water heater pipe wrap.

General Operating Costs: Costs that are directly allocable to those costs defined as related facilities, office and computer equipment, office supplies, telephone, travel and materials, and activities to prevent exposure to COVID-19 as allowable program costs.

Hazardous Condition: Any condition posing an immediate health and safety threat to the client and/or persons working in the dwelling unit. Hazardous conditions include,but are not limited to: Combustion Appliance Safety (CAS) hazards, appliance-related hazards, and electrical hazards as defined in the CSD TRM.

Health and Safety Activities: A subcategory of weatherization measures installed to mitigate health and safety hazards generated by combustion appliances and to preserve or improve indoor air quality. The measures include CO alarms, smoke alarms, heating/cooling, mechanical ventilation, water heater repairs and replacements, thermostats, lead-safe weatherization and kitchen exhaust repair and replacements. When heating or cooling (and their associated thermostat) and water heaters will be repaired or replaced under DOE WAP, these measures will require an energy audit. Costs associated with Health and Safety measures are limited to the allowable maximum amount specified in the DOE WAP Budget and are excluded from the calculations for the Contractor Average Cost Per Unit.

Health and Safety Allowable Max Percentage:
A category of weatherization measures installed to mitigate health and safety hazards generated by combustion appliances and to preserve or improve indoor air quality. Health and Safety Activities may include installation of measures such as CO alarms, smoke alarms, heating/cooling, mechanical ventilation, water heater repairs and replacements, thermostats, lead-safe weatherization and kitchen exhaust repair and replacements among others. The classification of measures is not included in the Contractor ACPU calculation but is subject to a separate Health and Safety allowable maximum percentage.

Health and Safety Formula: The formula to calculate the allowable maximum for Health and Safety expenditures is:

Program Operations (refer to Program Operations – Article 13 Definitions) multiplied by the current Health and Safety Allowable Maximum Percentage.

Heating/Air Conditioning Appliance Repairs/Replacements: The complete unit replacement adjustments of gas pressure and/or air/fuel mixture, replacement of thermocouples, adjustment of refrigerant charge, filter replacements, or other component repairs or replacements necessary for safe and efficient operation.

High Residential Energy User: A low-income household whose residential energy expenditures exceed the median level of residential expenditures for all low-income households in the State.

Home Energy Rating System (HERS) Provider, also referred to as HERS Rater: An entity or individual recognized by the California Energy Commission as a HERS Provider and certified in performing the necessary field and diagnostic testing verifications for demonstrating compliance with the 2016 Building Energy Efficiency Standards.

HUD Unit: A housing unit participating in a U.S. Department of Housing and Urban Development (HUD) Assisted Housing Program.

Infiltration Reduction Measures: A subcategory of weatherization measures installed in or applied to dwellings to reduce or stop the uncontrolled flow of conditioned air out of the dwelling or the uncontrolled flow of outside air into conditioned areas in the dwelling. Infiltration reduction is best accomplished with shell leakage technology.

Intake Date: The date the agency receives or accepts the application.

Intellectual Property: Patents, trademarks, copyright, mask works, protected data, and other forms of comparable property protected by Federal law and foreign counterparts.

Knob and Tube Wiring: Costs to obtain knob-and-tube wiring "Notice of Survey by Electrical Contractor" and installation of simple overcurrent protection (breakers or S-type fuses) shall be billed to "Mandatory Assessments and Diagnostics - Permits."

Liability Insurance: Insurance coverage to protect against claims alleging one's negligence or inappropriate action resulting in bodily injury or property damage. Related costs shall mean those actual costs allocated for insurance bonds, general liability insurance, and pollution occurrence insurance. Pollution occurrence insurance is optional.

Limited Home Repair: Limited Home Repair (LHR): Those repairs that have a direct association with weatherization measures being installed and are necessary for the effective performance or preservation of weatherization materials or are related to activities that eliminate a health and safety hazard that would otherwise prevent weatherization or protects/preserves the installation of a health and safety measure.

LHR shall NOT include:

a. Any other measure or associated incidental repair that has a chargeable line item, including Minor Envelope Repair items.

b. Repairs to the dwelling that are outside of the program scope, including but not limited to, handicap ramps, major roof repairs, or correction to structural issues that are a mandatory deferral condition.

Major Vehicle and Field Equipment Costs: Actual Costs associated with the purchase of the vehicle, office equipment and / or field equipment costing $5,000 or more and used for the delivery of direct services. Pre-approval from the DOE is required. Field equipment means diagnostic equipment and related equipment. Purchases must follow all federal and state rules and regulations governing DOE pertaining to procurement standards.

Materials: Materials are those allowable items that are installed in or on the dwelling to promote energy conservation. All materials shall be in conformance with the

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CSD TRM and 10 CFR Part 440, Appendix A – Standards for Weatherization Materials.

Maximum Amount: The dollar amount reflected on line 3 of the face sheet (STD 213) of this Contract, as amended to reflect the Final Allocation for the term of this Contract.

Migrant Farm Worker: A seasonal farm worker who performs or has performed farm work during the eligibility determination period (any consecutive 12-month period within the 24-month period preceding application for program benefits and/or services) that requires travel such that the worker is unable to return to his/her domicile (permanent place of residence) within the same day. Migrant farm worker is not a term used in the contract but is captured for reporting purposes in CSD's Weatherization Database and Intake Form (CSD 43).

Minor Envelope Repairs: Those repairs that have a direct association with weatherization measures being installed, and are necessary to stop infiltration and general heat waste. Minor Envelope Repairs shall be limited to the following:

a. Identified infiltration repairs, including the patching of holes in the building envelope (ceiling, floor, or walls) to the exterior that are too big to caulk;

b. Sealing of thermal bypasses when no insulation will be installed;

c. Replacement of missing or broken attic/crawl space access covers; installation of an access where one does not exist, or enlargement of an existing access; and

d. Fireplace chimney damper repair or installation, or installation of glass fireplace doors when a damper is not feasible.

Minor Envelope Repairs shall NOT include:

a. Any other measure or associated incidental repair that has a chargeable line item, including Limited Home Repair (LHR) items;

b. Kitchen cabinet repairs and retrofits; and

c. Repairs to the dwelling that are outside of the program scope, including but not limited to, handicap ramps, major roof repairs, or correction to structural issues that are a mandatory deferral condition.

Minor Vehicle and Field Equipment Costs: Actual costs associated with the purchase of vehicle, office equipment and field equipment with per unit fair market value of $5,000 or less used for the purpose of delivery of direct services. Field equipment means diagnostic equipment and related equipment. Purchases must follow all federal

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and state rules and regulations governing DOE pertaining to procurement standards.

Mobile or Manufactured Home: A manufactured home regulated by the California Department of Housing and Community Development (HCD) that is built on a trailer chassis and designed for highway delivery to a permanent location, and it can be a single-, double-, or triple-wide home. To receive weatherization services under a CSD program, a mobile home must be a permanent, full-time residential dwelling with a floor area of at least 330 square feet.

Modified Dwelling Assessment: The process used to evaluate the limited service needs of an eligible dwelling that has been previously weatherized under the DOE or LIHEAP weatherization programs. The assessment is limited in scope and does not encompass a re-assessment of the entire dwelling unless measures have exceeded their useful life under DOE. Assessments limited to ECIP EHCS work on dwellings not receiving weatherization services are to be included in the cost of the ECIP measure. An assessment shall be performed by qualified individuals possessing the required skill and training needed to perform assessment activities.

Modification: An immaterial change to this Contract that does not require an Amendment.

Multi-Unit Dwellings (MUDs) also known as Multi-Family Buildings (MFBs): Defined as residential dwelling structures containing multiple residential units within a single building, to include: duplexes, triplexes, fourplexes, and multi-unit apartments.

Natural Disaster: A weather event (relating to cold or hot weather), flood, earthquake, tornado, hurricane, or ice storm, or an event meeting such other criteria of the Department of Energy, in the discretion of DOE, may determine to be appropriate. For the purpose of the DOE WAP Disaster Relief Plan, emergency services may be provided to low-income individuals and families affected by a natural disaster when the event is declared by a Presidential or Gubernatorial Order as a Federal or State Emergency.

Nonprofit Charitable Organization: is defined by the Internal Revenue Code, Section 501(c)(3) (26 USC § 501(c)(3)). Section 501(c)(3) is a tax law provision granting exemption f23rom the federal income tax to non-profit organizations. 501(c)(3) exemptions may apply to corporations, and any community chest, fund, or foundation, organized and operated exclusively for religious, charitable, scientific, testing for public safety, literary, or educational purposes, or to foster national or international amateur sports competition, or for the prevention of cruelty to children or animals.

Outreach and Its Related Costs: Outreach activities are designed to ensure that eligible households, especially households with elderly and/or disabled individuals with high home energy burdens, are made aware of the assistance available. Costs relating to these

activities may include: developing outreach materials (flyer/brochure information packets), advertising costs, printing costs, outreach mailers to targeted households, travel to outreach sites and related facilities, site costs, and the referral of eligible households to assistance providers in the community. Intake and assisting with the completion of an intake form are not considered outreach or a related cost.

Parties: CSD on behalf of the State of California and the Contractor.

Primary Heating and Cooling Source: When a home has more than one heating and/or cooling source, one of the following shall be considered the primary unit:

a. The appliance that provides conditioned air for the dwelling's primary common living area (i.e., occupied during waking hours); or

b. The unit providing conditioned air to the largest volume of living space; or

c. The unit with the largest heating/cooling capacity/output (Btu or tons). In a two-story home that has a separate heating and/or cooling source on each floor, the unit on the ground floor is considered the primary heating and/or cooling source, with the following exception;

d. If the larger capacity/output unit is upstairs, it may be considered the primary unit.

Only the primary heating and/or cooling source (one unit per dwelling) shall be repaired or replaced. It may be one that provides:

a. Heating only; or

b. Cooling only; or

c. Heating and cooling.

Priority List: The list of energy conservation measures determined to be cost effective by a measure evaluation process. These measures may be installed in the specified type of dwelling in the specified climate zone without performing an energy audit. Allowable measures are contained in CSD's DOE Priority List Protocol.

Program: Weatherization services provided under 42 USC §§ 6861 et seq., as amended.

Program Operations: Program Operations is a mandated DOE budget category and is defined as the direct costs necessary to affect the weatherization of an eligible dwelling unit. Program Operations is comprised of the following CSD budget line items:

a. Intake

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b. Outreach
c. Direct Program Activities
d. Major Vehicle and Field Equipment ($5,000 or greater)
e. Minor Vehicle and Field Equipment (less than $5,000)
f. General Operating Costs
g. Other Program Costs (refer to Other Program Costs – Article 13 Definitions)
Automation Costs

Program Income: Program income means gross income earned by the grantee or subgrantee that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance except as provided in 2 CFR § 200.307(f). ''During the period of performance'' is the time between time in which the grantee may incur new obligations to carry out the work authorized under the award.

REM/Design Energy Audit: An advanced computer audit software product approved by DOE for estimating the energy savings in single-family dwellings, mobile homes, manufactured homes, and low-rise multi-family buildings with the following characteristics:

a. [illegible]
b. no more than three (3) stories;
c. each unit is individually metered; and
d. each unit is heated and cooled independently.

Reweatherization: Providing weatherization services to a dwelling that was previously weatherized under DOE WAP, DOE ARRA, HUD, USDA, LIHEAP, or other Federal Funds within the past 15 years from the date of post inspection.

Ride-along: A representative of the Contractor who accompanies a designated third-party inspector while performing on-site inspections. CSD requires that, when possible, a ride-along be sufficiently trained to make necessary corrections during inspections, thereby minimizing or eliminating the need for return trips that may inconvenience the client and/or require re-inspection in accordance with the CSD TRM.

Seasonal Farm Worker: A person who during the eligibility determination period (any 12-month period within the 24-month period preceding application for program benefits and/or services) was employed at least 25 calendar days in farm work or earned at least $400 in farm work and who has been primarily employed in farm work on a seasonal basis, without a constant year-round salary. *Seasonal farm worker is not a term used in the Contract but is captured for reporting purposes in CSD's Weatherization Database and Intake Form (CSD 43).*

Separate Living Quarters: Living quarters in which the occupant(s) do not live and eat with any other person(s) in the structure and which have either: (1) direct access from the outside of the building or through a common hall; or (2) complete kitchen facilities for the exclusive use of the occupant(s). The occupant(s) may be a single family, one person living alone, two or more families living together, or any other group of related or unrelated persons who share living arrangements.

Shelter: A dwelling unit or units whose principal purpose is to house on a temporary basis for individuals who may or may not be related to one another and who are not living in nursing homes, prisons, or similar institutional care facilities.

Single-Family Dwelling: A dwelling structure containing no more than one dwelling unit.

State: The State of California, Department of Community Services and Development.

Subcontract: A separate contract or agreement entered into by and between Contractor and Subcontractor to fulfill direct program or administrative tasks in support of this Contract.

Subcontractor: An entity (partnership, corporation, association, agency, or individual) that enters into a separate contract or agreement with Contractor to fulfill direct program or administrative tasks in support of this Contract.

Targeted Retrofit Energy Analysis Tool (TREAT): An advanced computer audit software product approved by DOE for all multi-family buildings, including low-rise and high-rise multi-family buildings with master-metered utilities and/or shared (common) heating and cooling systems. This software is designed to address the specific needs and building configurations of multi-family buildings through "whole building" approach in which every unit and common space in a qualifying complex will be retrofitted.

Training and Technical Assistance: Training and Technical Assistance activities are activities designed to aid in the development and skill of weatherization crewmembers and program staff in supporting the DOE program.

Vehicle Insurance: Insurance purchased for cars, trucks, and other vehicles related for the delivery of direct programs services.

Vendor: An individual, sole proprietorship, firm, partnership, corporation, or any other business venture from which materials and goods are supplied and purchased.

Vulnerable Populations: Young children (ages 19 years or under), disabled, and elderly persons (ages 60 or older).

Weatherization Training and Its Related Costs: Costs associated with the training of personnel or subcontractors as specified in Article 9.1 of this Contract. Training may also include internal contractor training, safety training, and attendance at weatherization-related

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training to include EPD system training or other forms of weatherization training sponsored by DOE, CSD and/or other organizations. Related costs may include salary/wages, materials, fees, and travel. Excludes incurred costs associated with participating and attendance at policy advisory committee meetings and workgroups.

Workers' Compensation: Insurance that covers medical and rehabilitation costs and lost wages for employees injured at work. Workers' Compensation shall mean those actual costs associated with workers' compensation coverage for program staff whose salaries and wages are chargeable under program costs.

Docusign Envelope ID: 3C04BC8E-8FCD-4EEB-9820-AB373790F00D

ARTICLE 14 - TABLE OF FORMS AND DOCUMENTS INCORPORATED BY REFERENCE

The following forms and documents are available on the CSD Local Agencies Portal website at https://agencies.csd.ca.gov/home/Pages/Home.aspx.

14.1. Forms to be returned with signed contract:

14.1.1 2022 DOE Weatherization Budget (CSD 570);

14.1.2 DOE Performance and Expenditure Benchmark (CSD 622D);

14.2. The following documents are hereby incorporated by this reference:

14.2.1 2022 DOE Numbers, Contractors, and Service Territories (see most recent);

14.2.2 Reimbursement Rates for Weatherization Activities (see most recent);

14.2.3 Training Policies and Procedures (TPPM) Training Tables;

14.2.4 Supplemental Audit Guide (under "Contract Resources); and

14.2.5 Contractor's Annual DOE WAP – Participation Requirements and Application.

14.3. The following CPAs and CPNs are incorporated by referenced:

14.3.1 CPA-A-12-01 Procedure Guidance with NCB Procurement Worksheet;

14.3.2 CPN-A-17-01 Equipment Use and Disposition Requirements;

14.3.3 CPN-A-18-01 Program Income

14.3.4 CPA-E-18-005 Expenditure Reconciliation Policy and Procedure;

14.3.5 CPN-E-19-001 Working Capital Advance;

14.3.6 CPN-E-19-002 Energy Reimbursement Policies and Procedures;

14.3.7 CPA-E-20-03 Removal of previously issued CSD Energy Division Program Advisories and Program Notices;

14.3.8 CPN-E-20-05 Transferring funds;

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14.3.9 CPA-E-21-02E Revised Weatherization Forms Implementation; and

14.3.10 CPA-E-21-04 Previously Weatherized DOE WAP Dwelling Requirements.

14.3.11 CPN-E-23-01 Title 24 Updates

14.3.12 CPN-E-23-03 Training.Policies and Procedures Manual Release

14.3.13 CPN-E-23-03M1 Training Policies and Procedures Manual Modification

14.3.14 CPA-E-23-04 Establishment of Confirmation ID Codes to Facilitate the Validation and Reporting of Eligible DOE Dwellings

14.3.15 CPN-E-23-08 Previously Weatherized Dwelling Verification

14.3.16 CPN-E-23-08M1 Previously Weatherized Dwelling Verification

Exhibit D

CSD Technical Reference Manual (TRM)

EXHIBIT "B"

CSD TECHNICAL REFERENCE MANUAL (TRM)

(behind this page)

EXHIBIT 5

CSD Technical Reference Manual

Published Date: November 1, 2024
Effective Date: January 1, 2025

This manual contains the specifications for proper installation of weatherization measures and correct application of policies for CSD's Weatherization Program through:

- Measure-specific policies and feasibility criteria
- Installation standards
- Quality control metrics
- Diagnostic and energy audit protocols
- Description of assessor, installer, and inspector roles

This manual shall be applied to CSD's LIHEAP, DOE, and ECIP EHCS programs *only*. Other CSD programs shall be guided by separate manuals.

California Department of Community Services and Development
Energy Services Division
2389 Gateway Oaks Drive, Suite 100
Sacramento, CA 95833

Technical Reference Manual

Document Owner
CSD Energy and Environmental Services Division

Technical Reference Manual Version Control

Version	Published	Effective	Change Description
1.0	11/2/2020	2/1/2021	Implementation of new CSD Technical Reference Manual which replaces current CSD Field Guide and Weatherization Installation Standards (WIS).
1.1	6/1/2022	7/1/2022	Update of language throughout the manual to clarify policy. Incorporation of DOE policies pursuant to WPN 22-4 and WPN 22-7.
1.2	10/15/2022	11/1/2022	Addition of new LIHEAP standards.
1.3	5/1/2023	7/1/2023	Update of DOE policy content. Addition of content about Audit and Priority List paths. Incorporation of Title 24 updates.
1.4	11/1/2024	1/1/2025	Update of of DOE 2020 SWS content. Update of Blended Rates and fuel switching policy.

Technical Reference Manual

Table of Contents

GENERAL INSTALLATION GUIDELINES

1. General Installation Guidelines

SAFETY DEVICES

2. Carbon Monoxide Alarms
3. Smoke Alarms

HEATING & COOLING

4. Heating and Cooling
5. ECM Blower Motors
6. Efficient Fan Controllers
7. Thermostats – Smart, Programmable, and Manual
8. Ducting Repair, Sealing, and Insulation
9. Whole House Fans
10. Air Filters

VENTILATION

11. Kitchen Exhaust
12. Mechanical Ventilation

DOMESTIC WATER

13. Water Heaters – Gas, Electric, and Heat Pump
14. Water Heater Insulation
15. Pipe Insulation – Water Heater and Exterior
16. Electric Water Heater Timers
17. Faucet Aerators
18. Low-Flow Showerheads
19. Thermostatic Shower Valves and Showerheads
20. High-Efficiency Toilets

APPLIANCES

21. Cooktops, Ovens, and Ranges
22. Microwave Ovens
23. Refrigerators
24. Ceiling Fans
25. Tier 2 Advanced Power Strips

LIGHTING

26. LED Replacement Bulbs
27. LED Night-Lights
28. LED Hard-Wired Fixtures and Downlight Kits
29. LED Torchieres
30. Future Measure Placeholder
31. Vacancy Sensor Switches

INFILTRATION REDUCTION

32. Infiltration Reduction

WINDOWS

33. Windows and Sliding Glass Doors
34. Storm Windows
35. Shade Screens
36. Window Film

INSULATION

37. Attic and Ceiling Insulation
38. Wall Insulation
39. Floor Insulation
40. Attic Ventilation
41. Crawlspace Ventilation

OTHER APPLIANCES

42. Dishwashers
43. High Efficiency Clothes Washers
44. Clothes Dryers

APPENDIX A—COMBUSTION APPLIANCE SAFETY PROTOCOL

APPENDIX B—DUCT LEAKAGE TESTING PROTOCOL

APPENDIX C—SHELL LEAKAGE TESTING PROTOCOL

APPENDIX D—ENERGY AUDIT/PRIORITY LIST PROTOCOL

APPENDIX E—HEALTH AND SAFETY REQUIREMENTS

APPENDIX F—FUTURE MEASURE PLACEHOLDER

APPENDIX G—ASSESSOR, CREW LEADER, INSTALLER, AND INSPECTOR GUIDE

APPENDIX H—REFERENCE DOCUMENTS

1. General Installation Guidelines

Table of Contents

1. OVERVIEW OF THE TECHNICAL REFERENCE MANUAL 1-1
2. TRM APPENDICES 1-2
3. GENERAL GUIDELINES 1-2
4. LICENSING AND CERTIFICATIONS 1-4
5. FEASIBILITY CRITERIA FOR ALL WORK 1-5
6. PRE-INSTALLATION GUIDELINES 1-6
7. GENERAL INSTALLATION POLICIES 1-8
8. MEASURE-SPECIFIC POLICIES 1-9
   - 8.1. Appliance Repair/Replacement 1-9
   - 8.2. Attic and Crawlspace Accessibility 1-10
   - 8.3. Decommissioning 1-11
   - 8.4. Fuel Switching Policy 1-11
   - 8.5. HERS Requirements 1-12
   - 8.6. Electrical Guidelines 1-13
   - 8.7. Grounding Guidelines 1-15
   - 8.8. K&T Wiring Guidelines 1-16
   - 8.9. General Insulation Practices 1-18
   - 8.10. Limited Home Repair (LHR) Policy 1-19
   - 8.11. (DOE Only) Precautionary Measures 1-21
   - 8.13. Window Egress (Mobile Homes) 1-26
   - 8.14. Window Orientation 1-27
   - 8.15. Safety Glass in Windows and Doors 1-28
9. ECIP EHCS POLICIES 1-29
10. LOAN OF PORTABLE APPLIANCES 1-30
11. MATERIAL SPECIFICATIONS 1-30
    - 11.11. Installation of a Soil Gas Retarder on Exposed Earthen Floors in Basements and Crawlspaces within the Thermal/Pressure Boundary 1-34
    - 11.12. ..... Installation of an Airtight Sump Pump/Well Pit Cover within the Thermal/Pressure Boundary 1-34
12. WARRANTY 1-35

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General Installation Guidelines

1. OVERVIEW OF THE TECHNICAL REFERENCE MANUAL

1.1 The CSD Technical Reference Manual (TRM) is a compilation of CSD policies, applicable California codes, and accepted industry practices for weatherization. The manual is comprised of 41 measures and eight appendices.

1.2 The TRM is applicable to the Low-Income Home Energy Assistance Program (LIHEAP) and Department of Energy (DOE) Weatherization Assistance Program (WAP).

1.2.1 At CSD's discretion, the TRM may also be applied to other energy programs under its administration.

1.3 The TRM measure sections are organized based on the following structure:

1. Measure Objectives

   A description of the program goal for the installation of the measure.

2. Install This Measure When:

   Minimum feasibility requirements necessary to install and/or repair the measure.

3. Do Not Install This Measure When:

   Conditions that, when identified, make the measure unfeasible for installation and/or repair.

4. Installation Guidelines

   4.1 General Requirements

   CSD policies that apply to conventional home installation. When different/ additional policies apply for mobile home, multi-family, or DOE jobs, they will be described in sections 5, 6, or 7.

   4.2 Repair or Installation Procedure

   Required procedures for installing or repairing the measure. When different/ additional procedures apply for mobile home, multi-family, or DOE jobs, they will be described in sections 5, 6, or 7.

5. Mobile Home–Specific

   When mobile home installation guidelines differ from those for conventional homes, the policies/installation requirements are provided in this section.

6. Multi-Family–Specific

   When multi-family installation guidelines differ from those for conventional homes, the policies/installation requirements are provided in this section.

7. DOE-Specific

   When DOE policies differ from CSD installation guidelines, the policies/requirements are provided in this section, including references to DOE Standard Work Specifications.

8. Post-Installation Guidelines

   Required guidelines to ensure that the measure was installed correctly, information and education to give to the client about the measure and proper maintenance, and any unique clean-up and disposal requirements.

9. Material Specifications

   Specific effective useful life values and material specifications for the installed measure.

10. Warranty

    Minimum warranty for the installed measure and materials.

2. TRM APPENDICES

2.1 The program policies and technical protocols provided in the TRM appendices are incorporated by reference into the measure-specific TRM sections. Unless otherwise stated within the individual appendix, these appendices apply to LIHEAP and the DOE WAP.

2.2 The TRM appendices are:

2.2.1 Appendix A Combustion Appliance Safety Protocol

2.2.1(a) This section contains the policies and procedures for conducting combustion appliance safety (CAS) testing of natural gas, propane, fuel oil, and kerosene appliances and the visual inspection requirements for solid fuel-burning appliances.

2.2.2 Appendix B Duct Leakage Testing Protocol

2.2.2(a) This section contains the testing policies and procedures for pressurized duct leakage testing, identification of system leaks, and specification of sealing activities.

2.2.3 Appendix C Shell Leakage Testing Protocol

2.2.3(a) This section contains the testing policy and procedures for depressurization shell leakage testing, identification of shell leaks, and identification sealing activities.

2.2.4 Appendix D Energy Audit/Priority List Protocol

2.2.4(a) This section contains policies for energy conservation measures (ECMs), procedures for conducting energy audits, and procedures for applying priority list measures.

2.2.5 Appendix E Health and Safety Requirements

2.2.5(a) This section contains CSD's health and safety requirements for all agencies, subcontractors, and field personnel. Topics include, but are not limited to, personal protective equipment (PPE), identification of environmental hazards, the deferral policy, the asbestos policy, lead-safe weatherization guidelines, and agency compliance with regulatory agencies.

2.2.6 Appendix G Assessor, Crew Leader, Installer, and Inspector Guide

2.2.6(a) This section contains the job role—specific policies that are not addressed in individual measure TRMs and are to be applied by assessors, installers, and inspectors in their weatherization duties.

2.2.7 Appendix H Reference Documents

2.2.7(a) Abbreviations and Acronyms

2.2.7(b) Terms and Definitions

2.2.7(c) California Energy Commission Climate Zones

3. GENERAL GUIDELINES

3.1 The information contained in this General Installation Guidelines section shall apply to measure installations. These requirements are included here to prevent repetition of the information in each TRM that applies to all dwellings.

3.2 Application and enforcement of these requirements shall have the same force and effect as all other installation requirements included in this TRM.

3.3 CSD Quality Assurance

3.3.1 CSD will use its own inspectors or third-party inspectors to review and verify that all weatherization activities (including all assessments, diagnostics, measure installations, and inspections) are completed in compliance with program policy defined in the TRM.

3.3.2 An agency ride-along (designated representative) shall accompany the inspector on any client inspection visits and shall provide transportation and equipment to CSD's inspector.

3.3.3 Corrections shall be made during the inspection visit whenever possible. Any corrections that are not completed by the end of the inspection visit shall require proof of correction identified by the inspector and on the Inspection Correction Transmittal provided at the completion of the inspection visit.

3.3.3(a) All non-hazard fails shall be corrected within 20 working days of written notification.

3.3.3(b) Hazard fails must be mitigated within 18 hours of the finding. Any hazard fails that cannot be corrected within 18 hours will require a Hazard Correction Work Plan.

3.4 Minimum Warranties

3.4.1 Material manufacturer warranty (primary material/appliance) and contractor warranty are specified in each individual measure section.

3.4.2 When a measure fails within the warranty period, or corrections are required as part of a third-party quality assurance inspection visit, corrective work (known as a "call-back") is required. Call-back conditions are defined in Appendix G Assessor, Crew Leader, Installer, and Inspector Guide.

3.5 Documentation Requirements

3.5.1 All project documentation shall be maintained in the individual client files. Files may be maintained electronically or in hard copy.

3.5.2 Required client file documentation, when applicable, shall include but is not limited to:

3.5.2(a) Eligibility documentation

3.5.2(b) Permit application and finalized permit

3.5.2(c) Applicable field forms

3.5.2(d) Photo documentation (as defined in Appendix G Assessor, Crew Leader, Installer, and Inspector Guide)

3.5.2(e) Energy audit reports

3.5.2(f) Home energy rating system (HERS) verification

3.5.2(g) Insulation certificate

3.5.2(h) Job invoicing

3.5.2(i) Diagnostics (i.e., CAS, duct leakage, and shell leakage)

3.5.2(j) Leveraging documentation—Measures or upgrades completed with other funding

3.5.3 Job Completion

3.5.3(a) Jobs cannot be billed to CSD until all assessed work is installed, a post-inspection is completed, and all inspection fails have been corrected.

3.5.3(a1) Exception: A dwelling may be considered complete if:

- The entire dwelling was required to be deferred or
- The dwelling received an assessment and/or diagnostics and no other weatherization measures.

3.5.3(b) When a dwelling is served under the Energy Crisis Intervention Program (ECIP) emergency heating and cooling services (EHCS) and will be served under weatherization, the ECIP EHCS work may be closed out separately before weatherization is completed.

3.5.3(c) A job is not considered completed until all permits have been finalized.

3.5.3(d) For dwellings served using DOE funding, inspection of the unit is required to be completed by a certified quality control inspector (QCI).

3.6 Required Weatherization Forms

3.6.1 All forms are standardized for use in CSD's weatherization programs and cannot to be altered. Contractor equivalents may be used in lieu of CSD forms as identified in Table 1-1.

3.6.2 It is required to use the latest published versions of these forms from the CSD Providers' website.

TABLE 1-1: REQUIRED WEATHERIZATION FORMS

Form #	Form Name	Equivalent Allowed?
51	*SWEATS and PSPS Preparedness Intake*	*No*
52	*Temporary Emergency Portable Appliance Loan Agreement & Waiver*	*No*
57	*ECIP EHCS Assessment*	*No*
320	*Notice of Weatherization/Renovation*	*Yes*
321	*Client Education Confirmation of Receipt*	*Yes*
322	*Record of Tenant Notification Procedures*	*Yes*
515A	*Energy Service Agreement for Occupant*	*Yes*
515B	*Energy Service Agreement for Property Owner*	*Yes*
540	*CSD Dwelling Assessment Form*	*Yes*
540A	*Wx Mold/Moisture Assessment and Release Form*	*Yes*
540C	*Whole-Dwelling Ventilation Calculation Worksheet*	*No*
540D	*Mechanical Ventilation Assessment Form*	*No*
540E	*Single-Family Refrigerator SIR Calculation Worksheet*	*No*
542	*Weatherization Deferral Form*	*No*
543	*Notice of Survey by Electrical Contractor*	*No*
544	*Energy Audit Input Form*	*No*
610	*Insulation Certificate*	*No*
611	*Contractor Post-Weatherization Inspection Report*	*No*
696	*TREAT Multi-Family Energy Audit Bid Request Form*	*No*
700	*Combustion Appliance Safety Inspection Form*	*No*
700B	*CAS Interim Form*	*No*
700C	*CAS Appliance R&R Form*	*No*
704	*Shell Leakage Data Sheet*	*No*
704A	*ACH Calculation Worksheet*	*No*
704B	*RESNET 800 Worksheet*	*No*
706	*Duct Leakage Data Sheet*	*No*
706A	*System Airflow Worksheet (Optional)*	*No*
708	*Lead-Based Paint Regulatory Compliance Report*	*No*
708A	*LSW—RRP Participants Progress Log*	*Yes*
708IS	*LSW—RRP Instructions*	*N/A*
710	*DOE Energy Audit/Priority List Checklist by CZ*	*No*
808	*REM/Design Multi-Family Input Sheet*	*No*
871	*Pre-Weatherization Scope of Work/Sources & Uses Worksheet*	*No*
872	*Post-Weatherization Scope of Work/Sources & Uses Worksheet*	*No*

4. LICENSING AND CERTIFICATIONS

4.1 Agencies and subcontractors are required to maintain in good standing a Class B General Building Contractor license and/or all required specialty licenses. Contractors shall confirm the applicability and requirements for licensing at https://www.cslb.ca.gov/.

4.2 Specialty licensing is required for specific measures and includes:

4.2.1 C-10 Electrical Contractor

4.2.2 C-20 Warm-Air Heating, Ventilating and Air-Conditioning Contractor

4.2.3 C-36 Plumbing Contractor

4.2.4 C-46 Solar Contractor

4.2.5 C-47 Mobile Home Contractor

4.2.6 D-65 Weatherization and Energy Conservation

4.3 All agencies and subcontractors are required to maintain in good standing Environmental Protection Agency Repair, Renovation, and Painting (EPA RRP) Certified Firm status. A certified firm shall have an appropriate number of EPA-certified renovators to efficiently conduct work to meet EPA requirements for presumed lead-based paint in pre-1978 dwellings.

4.4 All other certifications (e.g., Building Performance Institute [BPI], HERS, etc.) used for qualifying a contractor for the CSD program are to be maintained and in good standing.

4.4.1 CSD requires certain training and certifications for field personnel. Refer to Appendix G Assessor, Crew Leader, Installer, and Inspector Guide.

4.5 Qualified Technicians

4.5.1 Some measures require the installer to have a valid specialty contractor license. Although other licensing may be needed, the following are some of the common licenses that may be required:

4.5.1(a) C-20 for heating, ventilation, and air conditioning (HVAC) system installations

4.5.1(b) C-36 for plumbing, including water heater repair/replacements

4.5.1(c) C-10 for electrical work, including knob-and-tube (K&T) certification and electric panel work

4.5.2 Field personnel who perform CAS diagnostics and repairs are required to successfully complete the CAS course at a CSD-approved training center. Refer to Appendix A Combustion Appliance Safety Protocol.

4.5.3 Field personnel who perform duct or shell leakage diagnostics and sealing are required to successfully complete the Duct and Shell Leakage Diagnostics course at a CSD-approved training center. Refer to Appendix B Duct Leakage Testing Protocol and Appendix C Shell Leakage Testing Protocol.

4.5.4 A specialty credential may be required by the Contractors' State License Board (for other types of work conducted in conventional homes) or from the Department of Housing and Community Development (HCD) (for mobile homes).

5. FEASIBILITY CRITERIA FOR ALL WORK

5.1 A dwelling must have a minimum 330 sq. ft. of living space to qualify for weatherization.

5.1.1 This minimum size does not apply to multi-family dwelling units.

5.1.2 Travel trailers, boats, and other transportable dwelling types are specifically excluded from the weatherization program.

5.2 All feasible/allowable measures shall be installed.

5.3 No measure shall be installed that:

5.3.1 Violates health and safety requirements as defined in Appendix E Health and Safety Requirements

5.3.2 Is refused by the client (after measure benefits have been explained by the assessor)

5.3.3 Requires installation where unsafe conditions are present, including but not limited to:

5.3.3(a) The presence or possible creation of friable asbestos-containing materials

5.3.3(b) Hazardous insect or animal infestation

5.3.3(c) Hazardous electrical condition

5.3.3(d) Unsafe structural members or condition of the attic/floor (as applicable)

5.3.3(e) Excessive ground moisture in the crawlspace (i.e., standing water, sewage, or mud)

5.3.3(f) Permit-required confined space locations (as defined by California Occupational Safety and Health Administration [Cal/OSHA])

5.3.3(g) Fire hazards and venting obstructions

5.3.3(g1) The client shall be informed of any potential fire hazard.

5.3.3(g2) Minor fire hazards (and venting obstructions) shall be removed/corrected by the contractor per the Limited Home Repair (LHR) Policy.

5.3.4 Using CSD WAP funds for work on condemned properties is prohibited.

5.3.5 In addition, using CSD WAP funds for work on properties where Health and Safety conditions exist that cannot be corrected is prohibited.

5.4 Each measure in the TRM has feasibility and non-feasibility requirements. Refer to "Install This Measure When:" and "Do Not Install This Measure When:" within each measure.

5.5 Mobile Home Combustion Appliances (DOE Only)

5.5.1 Combustion appliances in mobile homes must comply with the Manufactured Home Construction and Safety Standards, which mandates that:

5.5.1(a) All combustion appliances installed by or left in place after weatherization in mobile homes must meet these standards.

5.5.1(b) All fuel-burning appliances in mobile homes except ranges, ovens, illuminating appliances, clothes dryers, solid fuel-burning fireplaces and solid fuel-burning stoves, must be installed to provide for the complete separation of the combustion system from the interior atmosphere of the mobile home (i.e., to draw their combustion air from outside), and be vented to outside the dwelling.

5.5.1(c) Correction of combustion gas venting shall be performed when allowed by program to ensure proper combustion gas venting to outside the dwelling for all combustion appliances, including but not limited to gas dryers and refrigerators, furnaces, vented space heaters, and water heaters.

5.5.1(d) Nonconformance will require correction or removal of the appliance. Note: Correction is only allowed when repair/replacement of the appliance is allowed under the program.

5.5.1(e) If a client will not allow removal of an unsafe combustion appliance (primary or secondary) from the home, deferral is required.

6. PRE-INSTALLATION GUIDELINES

6.1 Worksite Conduct

6.1.1 All staff members are to conduct themselves in a professional manner during all stages of the weatherization process.

6.1.2 Field personnel shall enter the client's residence only when an adult 18 years of age or older is present.

6.1.3 No smoking is allowed at the jobsite, regardless of position, including all contractor field personnel and supervisors.

6.2 Worksite Safety

6.2.1 Design will be incorporated to eliminate or minimize hazards (e.g., material selection; access to equipment for installation and maintenance; placement of equipment, ductwork, and condensate lines)

6.2.2 Weatherization activities shall not adversely affect the health or safety of any occupant per Appendix E Health and Safety Requirements.

6.2.3 Meeting the Cal/OSHA worker safety regulations is the responsibility all parties, including the agency administrator, the contractor, and all field personnel.

6.2.4 All supervising employees and field workers must be aware of conditions in all work areas that can produce injuries. No worker is required to work at a job he/she knows is not safe or healthful.

6.2.5 All field workers' cooperation in detecting hazards and controlling them is required in conformance with Cal/OSHA contractors' internal policies, the Injury and Illness Prevention Plan (IIPP), and other regulating agencies' requirements.

6.3 Deferral Requirements

6.3.1 Conditions may exist that cannot be mitigated because correction exceeds the scope of the weatherization program or cannot be achieved in a cost-effective manner. This may result in full or partial deferral of the dwelling as defined in Appendix E Health and Safety Requirements, Deferral and Referral Policy.

6.3.1 (a) Specific conditions requiring deferral are identified in the individual TRM sections and are also included in Appendix A Combustion Appliance Safety Protocol, Appendix B Duct Leakage Testing Protocol, Appendix C Shell Leakage Testing Protocol, and Appendix D Energy Audit/Priority List Protocol.

6.3.2 Where only limited deferral is required, agencies may install feasible measures and shall, as applicable, refer the client to other agencies/programs for additional assistance.

6.3.3 If a condition can be corrected within the program scope, it should be done before additional measures may be installed.

6.3.4 Every effort shall be made to identify deferral conditions before installation work begins.

6.3.4 (a) Deferral and safety conditions shall be documented on the CSD 540 Dwelling Assessment form and the CSD 542 Weatherization Deferral form as applicable.

6.4 Client Notification

6.4.1 Notification shall indicate the type of assistance the agency will provide and what the property owner can do to facilitate installation of deferred measures.

6.4.2 Notification shall be provided to the homeowner, or to the occupant and owner/agent when the dwelling is a rental.

6.5 Permits

6.5.1 CSD requires that agencies or their subcontractors obtain a building permit when required by the local jurisdiction, or by HCD for mobile homes.

6.5.1 (a) Agencies shall confirm registration with HCD is up-to-date when a permit will be required for a mobile home.

6.5.2 When a permit will be required by the local jurisdiction, CSD requires that the client receive an explanation of the permitting process.

6.5.3 When the dwelling contains obviously unpermitted work (e.g., questionable construction or installation of additions or appliances, etc.), it shall be explained that the building inspector may elect to inspect these additional components and that findings or fines related to this additional examination shall be the responsibility of the property owner.

6.5.4 If the installation of a measure triggers the correction of a preexisting code compliance issue, and is paid for with CSD WAP funds, the specific code requirements with reference to the measure(s) requiring code compliance must be documented in the client file.

6.5.5 Before performing certain weatherization measures (e.g., construction, alteration, specified repairs, replacements, and equipment changes for residential dwellings), the actual weatherization measures requiring a permit shall be determined by the local jurisdiction.

6.5.6 Agencies shall contact CSD prior to weatherization if the local building department has additional (add-on) permit requirements that would fall outside the scope of the weatherization program.

6.5.7 When work is required to be inspected by a building official, the work must remain accessible and exposed for inspection until approved (per the California Building Code).

6.5.8 The actual permit (sometimes called a "job card") shall remain on site at all times throughout the construction/modification phase.

6.5.9 A copy of the permit application, the receipt for permit costs, and verification of the final permit "sign-off" are required to be kept in the client's file.

6.5.10 Expired permits must be reported, and a waiver must be sought from CSD before billing this cost. Federal rules do not allow reimbursement for penalties.

7. GENERAL INSTALLATION POLICIES

7.1 Applicable Codes, Standards, and Regulations

7.1.1 Measure installations shall comply with applicable regulations and standards, including:

7.1.1 (a) Manufacturer's instructions and specifications

7.1.1 (b) Requirements of the local jurisdiction

7.1.1 (c) Title 24 California Energy Code

7.1.1 (c1) California Residential Code (CRC)

7.1.1 (c2) California Mechanical Code (CMC)

7.1.1 (c3) California Electrical Code (CEC)

7.1.1 (c4) California Building Code (CBC)

7.1.1 (c5) California Plumbing Code (CPC)

7.1.1 (d) California State Licensing Board (CSLB)

7.1.1 (e) California Code of Regulations (CCR) Title 8 (Cal/OSHA)

7.1.1 (f) California Office of Environmental Health Hazard Assessment (OEHHA) Proposition 65

7.1.1 (g) Department of Housing and Community Development (HCD)

7.1.1 (h) Environmental Protection Agency (EPA)

7.1.1 (i) California Department of Public Health (CDPH)

7.1.1 (j) U.S. Department of Housing and Urban Development (HUD)

7.1.1 (k) Other codes or standards, where specifically listed for a measure.

7.1.1 (l) In the event a conflict exists between the above and the CSD standards, the program with the most stringent regulations and standards shall apply.

7.2 Measure installations shall demonstrate quality workmanship.

7.2.1 All measures must be installed in accordance with the current TRM individual measure sections and industry standards.

7.2.2 No measure materials may be left to be installed by the client.

7.2.3 Any damage done to a home during the installation of a measure shall be repaired.

7.3 Material Limitations

7.3.1 All measure materials, repair and replacement appliances, incidental repair parts, and ancillary materials shall comply with the material specifications for the respective measure standards, which are identified in each TRM.

7.3.1 (a) If DOE WAP materials are required to be different, the materials will be identified in the "DOE-Specific" section of the TRM.

7.3.2 Only standard material type(s) shall be allowed for each measure.

7.3.2(a) No upgrades shall be allowed to enhance appliances or add decorative items, finishes, colors, etc. unless specified within individual measure TRMs.

7.3.2(b) The client/occupant cannot contribute to the cost in order to upgrade to premium or higher-end materials or to pay for work outside the scope of the program.

7.3.3 On multi-family projects, property owners may be allowed to "buy down" the cost of measure(s) and increase the measure savings-to-investment ratio (SIR). See Appendix D Energy Audit/Priority List Protocol.

7.3.4 Window or door replacements shall not increase the sizing of the replaced item unless required by the local jurisdiction to meet egress requirements.

7.3.5 Installed appliances shall comply with the California Energy Commission (CEC) standards for efficiency, as verified by their inclusion on the CEC's database of certified appliances, an equivalent federal directory, or an approved trade association directory.

8. MEASURE-SPECIFIC POLICIES

8.1. Appliance Repair/Replacement

8.1.1 Gas Appliances

8.1.1(a) Turn off the gas supply at the main valve when:

8.1.1(a1) A gas shut-off valve is installed or replaced

8.1.1(a2) The gas line to the appliance is altered (e.g., moved, extended, etc.)

8.1.1(b) New gas appliance connection

8.1.1(b1) Use a new gas shut-off valve, flexible connector, and adapters. Do not reuse existing gas connection components (Fig. 2-1).

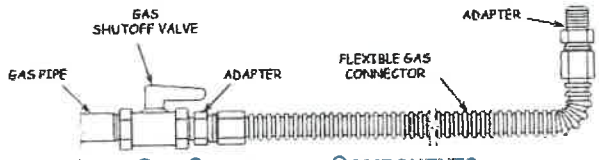

FIG. 2-1: GAS CONNECTION COMPONENTS

8.1.1(c) The gas shut-off valve will be:

8.1.1(c1) Located in the room where the appliance is installed and

8.1.1(c2) Easily accessible to the flexible gas connector

8.1.1(d) Install specified adapters as needed.

8.1.1(e) Do not install flexible gas connectors exceeding 6' in length.

8.1.1(f) Apply gas-compatible sealant (i.e., pipe joint compound or thread seal tape) to all male (external) threads.

8.1.1(g) Tighten connections as instructed.

8.1.1(h) When a new propane line is installed below grade, a secondary liquid propane (LP) safety detector system (valve, exhaust fan, alarm light) will be installed by a certified professional and a CSD waiver is required.

8.1.2 Gas Line Leak Check

8.1.2(a) Turn all controls and the gas shut-off valve to the off position for the appliance before the main gas supply valve is turned on.

8.1.2(b) With the gas shut-off valve turned on, check all connections and valves for gas leaks by:

8.1.2(b1) Electronic leak detector or

8.1.2(b2) Application of liquid leak detector (wiped off afterward)

8.1.2(c) Correct any leaks before the appliance is placed in its final location.

8.1.2(d) When it is necessary to pressure-test the gas supply system of the residence, isolate the appliance from the gas supply system per the manufacturer's instructions.

8.1.2(e) When the main gas supply valve is turned back on, re-light the pilot lights on all affected gas appliances (Fig. 2-2).

PILOTS ON ALL OTHER APPLIANCES RE-LIT AFTER MAIN GAS VALVE IS TURNED BACK ON

FIG. 2-2: GAS PILOT

8.2. Attic and Crawlspace Accessibility

8.2.1 Working in a Confined Space

8.2.1(a) The Cal/OSHA "confined space" standard may apply to attics, chases, and crawlspaces; therefore, confined space safety practices must be observed. See Appendix E Health and Safety Requirements.

8.2.2 General Accessibility Requirements

8.2.2(a) Attics and crawlspaces must be accessible for assessment, installations, and inspection.

8.2.2(a1) The minimum existing access dimensions for an attic or a crawlspace are 14" x 20".

8.2.2(b) To check for measure installation feasibility:

8.2.2(b1) A sealed access, or an access that is painted shut, must be carefully opened.

8.2.2(b2) An access may be installed, if feasible, when an existing access is not present.

8.2.2(c) Adding or expanding an attic/crawlspace access shall be accomplished under LHR.

8.2.2(c1) Client permission must be obtained when an attic or crawlspace access is installed/enlarged.

8.2.2(d) Repair or replacement of a missing or defective access cover must be completed per Section 32 Infiltration Reduction.

8.2.2(e) If the local jurisdiction is more restrictive for access or clearances, the local policy must be documented and included in the client file or in a centralized file with the agency.

8.2.2(f) When only a limited area in an attic or crawlspace does not meet the clearance requirements, the limitation shall not make all measures in the attic or crawlspace unfeasible.

8.2.3 Attic Accessibility

8.2.3(a) If the only attic access is through a gable vent, the vent must be easily removable or a standard access must be installed.

8.2.3(b) For any installed attic access, the minimum dimensions of the rough-framed opening shall be 22" x 30" or as required by local code. Wood trim shall have mitered corners.

8.2.3(c) Recommended minimum attic clearances:

8.2.3(c1) 24" from the top of the ceiling joists to the bottom of the roof rafters at the highest point

8.2.3(c2) 18" between any obstruction in the attic, such as cross members of truss systems and ductwork

8.2.4 Crawlspace Accessibility

8.2.4(a) When an existing access is sealed, it must be opened to check for measure installation feasibility.

8.2.4(b) For any installed crawlspace access, the minimum dimensions of the rough-framed opening shall be 18" x 24", or as required by local code. Openings through a perimeter wall, of when any portion of through-wall access is below grade, shall be 16" x 24", or as constrained by existing framing. Wood trim shall have mitered corners.

8.2.4(c) Recommended minimum crawlspace clearances:

8.2.4(c1) 18" from the ground to the bottom of the floor joist system (girders under a mobile home)

8.2.4(c2) 12" to crawl over or under any obstruction in the crawl area, such as a heating or cooling duct

8.3. Decommissioning

8.3.1 Decommissioning is the removal of materials and/or replaced appliances when installing a weatherization or H&S measure, and concluding in the proper dismantling and disposal/ recycling of component parts.

8.3.1 (a) To decommission replaced materials:

8.3.1 (a1) All replaced measures (e.g., doors, windows, lighting, appliances, etc.) must be permanently removed from the client's property following installation of the new measure.

8.3.1 (a2) When specific decommissioning policies apply, they shall be listed in item 8 of the measure section.

8.3.1 (a3) Removed equipment/materials shall be recycled or disposed of, including refrigerant, in accordance with local and federal law (e.g., EPA Section 608 of Clean Air Act of 1990).

8.3.1 (a4) Exception: If weatherization is replacing a mechanical system, decommissioning, and leaving in place the existing bulk fuel tank is allowed.

- If the bulk fuel tank will be left behind, the agency must complete specific client education for this potential environmental hazard.
- Client education topics are to (not all-inclusive) advise clients that there are rules about future potential disposal and provide contact information for the appropriate authority having jurisdiction (AHJ) for further questions or concerns.

8.3.1 (b) To permanently decommission replaced appliances/ventilation:

8.3.1 (b1) Turn off and lock out electricity and fuel prior to beginning removal of old appliance.

- For ventilation systems, terminate the disconnected power supply in a visible junction box per applicable code.

8.3.1 (b2) Recover and recycle all refrigerants in accordance with local and federal law (e.g., 40 CFR 608).

8.3.1 (b3) Disconnect all attachments to the equipment and terminate in accordance with applicable code and industry practice (e.g., refrigerant lines, plumbing, ducts, wiring, ventilation system components, fuel supply).

- For removed appliances, cap obsolete but inaccessible piping as close as possible to the point of no access.
- For gas appliances, the gas shut-off valve that will no longer be used shall be capped with a brass cap for flare fittings (not standard iron caps), or the valve shall be removed and the pipe shall be capped with a compatible cap.

8.3.1 (b4) Remove existing equipment (e.g., furnace, air handler, boiler, evaporator, condensing unit) from premises without damaging or disturbing property or existing insulation.

8.4. Fuel Switching Policy

8.4.1 Fuel switching refers to the replacement of a non-electric heating, cooling, or water heating appliance with an electric appliance, e.g., changeout of a propane water heater with an electric unit.

8.4.1 (a) When not fuel switching but installing an alternate appliance type that uses the same fuel as the existing appliance:

8.4.1 (a1) For heating and/or cooling, refer to Section 4 Heating and Cooling, Change of Heating/Cooling Type

8.4.1 (a2) For water heating, refer to Section 13 Water Heaters—Gas, Electric, and Heat Pump

8.4.2 If fuel switching is conducted under LIHEAP and an energy audit will not be conducted, fuel switching requires an approved CSD waiver.

8.4.3 When fuel switching is considered, replacement for energy efficiency or Health & Safety must be in accordance with Appendix D Energy Audit/Priority List Protocol. An energy audit must be performed.

8.4.4 Examples of measures that may be installed in conjunction with fuel switching are shown in Table 1-2.

TABLE 1-2: MEASURES THAT MAY BE CONSIDERED FOR FUEL SWITCHING

Existing Heating or Cooling Appliance	Proposed Conversion
Natural gas forced air furnace (heating only) or Natural gas split system (heating and cooling)	Central heat pump (heating and cooling)
Natural gas wall furnace or Natural gas wall furnace + window/wall AC	Ductless heat pump mini-split
Propane forced air furnace (heating only) or Propane split system (heating and cooling)	Central heat pump (heating and cooling)
Propane wall furnace or Propane wall furnace + window/wall AC	Ductless heat pump mini-split
Woodstove (heat only) or Wood stove + window/wall AC	Ductless heat pump mini-split
Water heater, natural gas or propane	Heat pump water heater

8.4.4(a) The fuel switching audit must include energy/fuel costs associated with both the existing and proposed appliances for each fuel type used.

8.4.4(b) Fuel switching for energy efficiency can only be installed when the Measure SIR is ≥1.0 and the Dwelling SIR (for the total package of measures to be installed) also is ≥1.0.

8.4.4(c) Fuel switching for H&S is considered when the Measure SIR < 1.0, there is a qualifying H&S condition, and the audit proves that the net utility costs for the client will not increase after the fuel switching.

8.4.4(d) Fuel cost inputs must be the actual cost as incurred by the client. Each household must produce a copy of a current fuel bill including a list of charges.

8.4.4(e) When an energy audit includes fuel switching, Non-Energy Impacts (NEI) fuel cost modifiers shall not be used when inputting fuel rates.

8.5. HERS Requirements

8.5.1 The HERS Program was developed by the California Energy Commission (CEC) to address the home rating, inspection, and compliance components of the CCR, Title 24.

8.5.1(a) HERS verification is necessary when weatherization work falls under the HERS verification and compliance requirements for conventional homes. Because mobile homes are under the jurisdiction of HCD, HERS verifications do not apply.

8.5.1(a1) HVAC system "alterations" that require verification include but are not limited to:

- Installation of a completely new HVAC system
- Replacement of a package unit
- Replacement of an air handler
- Replacement of a condenser unit
- Replacement of an evaporator coil
- Replacement of a heating coil
- Replacement of a furnace heat exchanger
- Adding or replacing more than 25' of ducts in unconditioned space

8.5.1(a2) Duct repair, sealing, and replacements that require HERS verification include when:

- 25' or more of new or complete replacement duct is installed
- New or replacement HVAC ducts, air-handling units, cooling or heating coils, or plenums are located in a garage space
- New kitchen exhausts are installed in conjunction with new duct or fully replaced duct.

8.5.1(b) Check with the local building department to determine if HERS verification will be required.

8.5.1(b1) The local jurisdiction may require HERS verifications beyond the minimum set by the CEC.

8.5.2 CSD requires the following HERS documents when HERS field verification and/or testing is required. Copies of the following documents shall be kept in the client file:

8.5.2(a) The mandatory HERS rating forms completed by the installer and signed and submitted by the agency or subcontractor along with the building permit application

8.5.2(a1) To determine which forms are required, see Appendix A 2019 Residential Compliance Forms on the CEC's website (https://www.energy.ca.gov/sites/default/files/2020-06/Appendix-A_ComplianceFormsList_ada.pdf).

8.5.2(b) The official invoice and HERS inspection form of the HERS rater for rating services showing the type of rating(s) completed and a breakdown of inspection costs

8.5.2(c) A copy of the building department final inspection showing that the required forms are registered by an approved HERS provider and including copies of those forms where applicable

8.5.3 After the final inspection, the installing contractor shall also provide a copy of the registered energy compliance forms to the homeowner.

8.6. Electrical Guidelines

8.6.1 If a substandard electrical system is suspected during assessment, a qualified technician shall identify potential safety issues to determine if correction is feasible.

8.6.1(a) Clients shall be informed in writing about identified problems and safety concerns and the reasons why services must be deferred, when applicable.

8.6.1(a1) The CSD 542 Weatherization Deferral Form shall be used for notification.

8.6.1(a2) If applicable for an electrical hazard, the client shall be provided information on over-current protection, overloading circuits, and basic electrical safety/risks if conditions warrant.

8.6.1(b) If it is not feasible to fix the identified issue(s), then installation of measures affecting the electrical system requires a limited deferral using the CSD 542 Weatherization Deferral form.

8.6.1(b1) The client shall be advised of any appropriate local, state, or federal agency that may assist in correction of the issue (e.g., local housing and community development department, local health department, local utility company, etc.).

8.6.2 For each measure that will be installed that may impact the dwelling's electrical system, verify that the affected electrical circuit complies—or can be made to comply—with the manufacturer's instructions and California Electrical Code and NFPA 70 (Article 440), including:

8.6.2(a) Adequate circuit capacity (voltage, phase, and amperage)

8.6.2(b) Circuit conductors properly sized for the amp draw of the appliance

8.6.2(c) Overcurrent circuit protection (properly sized circuit breaker)

8.6.2(d) Grounding, if required

8.6.2(e) Correct polarity

8.6.2(f) Undamaged wiring (e.g., no slices, cuts, nicks, or other damage)

8.6.2(g) Coverings for all junction boxes with a location-appropriate (e.g., wet-location, outdoor, indoor, etc.) UL-listed cover.

8.6.2(h) Locate all connections and splices inside an appropriate location (e.g., wet, outdoor, indoor, etc.) inside a UL-listed electrical enclosure.

8.6.2(i) All exposed wiring (not inside a building cavity) is housed in a listed raceway or conduit

8.6.3 Electrical Circuit Alterations

8.6.3(a) When electrical circuit alterations are required for a measure installation and the alteration cannot be performed within the measure cost maximum, a CSD waiver shall be obtained.

8.6.3(b) All electrical alterations shall be performed by a qualified technician.

8.6.3(b1) Overcurrent protection and conductor size shall meet the manufacturer's specifications and local code.

8.6.3(b2) Adequate current capacity shall be available to avoid nuisance tripping of the breaker/fuse.

8.6.3(c) Splices

8.6.3(c1) Connections and splices shall be contained within a fixture, ballast cover, junction box, etc. and secured with wire nuts or in another approved manner.

8.6.3(c2) Splicing connectors shall be secured with properly sized pressure splicing connectors (e.g., wire nuts).

- Electrical tape may be used only to supplement a properly installed pressure splicing connector, not to secure the connection.
- If the connectors provided with the fixture are unsuitable, the correct size shall be provided.
- Twist-type pressure splicing connectors shall be Underwriters Laboratories (UL)-listed, new, properly sized, the correct type, and for the correct number of conductors.
- Connections of dissimilar metals are allowed only with approved methods.

8.6.3(c3) For splices exposed to moisture:

- Apply antioxidant to the joined wires (or use gel-filled connectors)
- Wrap splicing connectors with electrician's tape
- Install covers on junction boxes
- Protect exterior wiring with liquid-tight conduit or cable, connectors, and junction boxes with covers

8.6.4 Electrical Receptacles

8.6.4(a) A broken or missing outlet cover plate shall be replaced before a measure is installed.

8.6.4(b) Installed appliances shall have their own receptacle when feasible.

8.6.4(c) 120-volt receptacle

8.6.4(c1) When a new grounded receptacle is required by the manufacturer for the installation of an appliance, a permit shall be obtained and finalized when required.

8.6.4(c2) Receptacles shall be installed in a secure, mechanically fastened electrical box.

8.6.4(c3) The receptacle shall be grounded in accordance with the Grounding Guidelines provided in this section (Fig. 2-3).

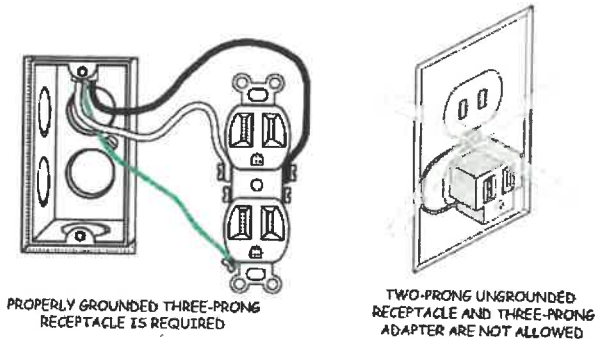

FIG. 2-3: PROPERLY GROUNDED THREE-PRONG RECEPTACLE

8.6.4(c4) The receptacle may be oriented upside-down (with the ground slot positioned upward) if the power cord has a right-angle plug with the ground prong positioned at the top (Fig. 2-4).

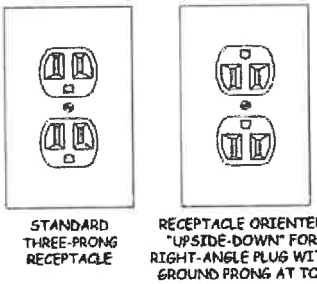

FIG. 2-4: ELECTRIC RECEPTACLE UPSIDE DOWN

8.6.4(d) Ground fault circuit interrupter (GFCI) installation

8.6.4(d1) When a GFCI-protected receptacle will be installed:

- It must be acceptable to the occupants
- It must be easily accessible for resetting
- Occupants shall be advised of the possibility of nuisance tripping
- Occupants shall be instructed in the use and resetting of a GFCI circuit

8.6.4(d2) GFCI protection may not be used for a circuit powering a refrigerator.

8.6.4(d3) Installation of a GFCI unit may be an acceptable alternative for protecting an ungrounded receptacle or switch when installation of a retrofit ground wire is not a good option.

8.6.4(d4) When a GFCI receptacle or GFCI-protected switch is installed where a ground wire is not present, the cover plate shall be labeled "GFCI Protected" and "No Equipment Ground."

8.6.4(d5) Receptacle—For a plug-in appliance (except refrigerator):

- Wires bringing power to the receptacle must be connected to the "line" terminals.
- When present, wires leaving the GFCI receptacle to provide power down-line must be connected to the "load" terminals.
- No wire shall be connected to the ground lug on the GFCI receptacle.

8.6.4(d6) Switch—For a switched fixture:

- A GFCI-protected switch may be connected to an ungrounded two-wire circuit.
- Wires bringing power to the unit must be connected to the "line" terminals.
- When present, wires leaving the unit to provide power down-line must be connected to the "load" terminals.
- No wire shall be connected to the ground lug on the GFCI-protected switch.

8.6.4(e) Three-prong adapters

8.6.4(e1) Three-prong adapters (Fig. 2-5) may be used with appliances only when:

- Manufacturer's instructions do not prohibit an adapter
- The adapter provides proper polarity and grounding to the appliance with the adapter ground lug/wire securely attached to a grounding source, such as:
  - A grounded receptacle
  - A grounded electrical box
  - An alternate grounding conductor per Grounding Guidelines

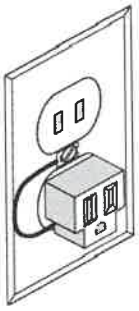

FIG. 2-5: GROUNDED THREE-PRONG ADAPTER

8.6.4(e2) Three-prong adapters may not be used with ranges or refrigerators.

8.7. Grounding Guidelines

8.7.1 General Guidelines

8.7.1(a) Detailed grounding criteria may be found in the CEC, Article 250.

8.7.2 Grounding Electrode Conductor (GEC)

8.7.2(a) A GEC is a wire (typically 6 American Wire Gauge [AWG]) that extends from the service entrance ground rod (or main waterline pipe) to the main service panel grounding terminal bar.

8.7.2(b) Where a GEC is not in place and is required by code for installation of an appliance, one must be installed unless a code-compliant GFCI receptacle can be installed, when allowed by local jurisdiction, per Ground fault circuit interrupter (GFCI) installation.

8.7.2(c) A GEC must meet the following requirements:

8.7.2(c1) Minimum 6 AWG or as required by local code

8.7.2(c2) Properly clamped/bonded to:

- The ground rod and
- The main service panel grounding terminal bar

8.7.2(c3) Any splices in the GEC must be secured with an irreversible compression-type connector or exothermic weld.

8.7.2(c4) The GEC must be protected.

- Where physical damage is not likely, the GEC may be securely fastened to the building.
- Where physical damage is likely, the GEC must be enclosed in a rigid metal or non-metallic conduit or encased in cable armor.

8.7.3 Grounding a Receptacle, Switch, or Metal Box

8.7.3(a) An ungrounded receptacle, switch, or box can be grounded by wiring it to a grounding source (Fig. 2-6):

8.7.3(a1) Option A: When a three-wire grounded receptacle is available elsewhere in the home and can be used, connect it to the ungrounded receptacle/switch.

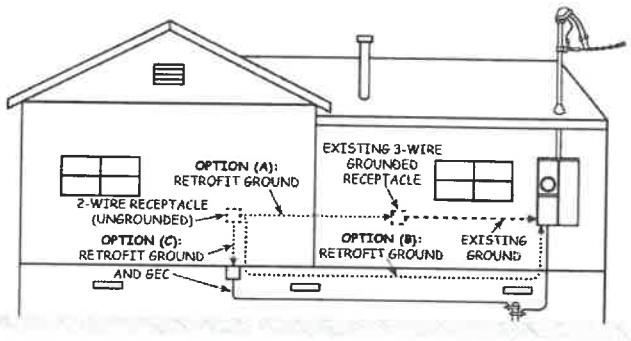

FIG. 2-6: OPTIONS FOR GROUNDING A RECEPTACLE

8.7.3(a2) Option B: When a ground wire can be routed (e.g., in the crawlspace, wall, or attic) without direct exposure to occupants or the outdoors, connect it to the grounding system at the main service panel.

8.7.3(a3) Option C: Run a retrofit GEC from the main service ground rod to the ungrounded receptacle/switch directly or via a junction box.

8.7.3(b) A ground wire exposed in the living space must be in a raceway.

8.7.3(c) A ground wire in the crawlspace or attic does not need a conduit unless required by local code.

8.7.3(c1) Wires that run across the joists must be run either through bored holes in the joists or on running boards.

8.7.3(d) Outdoors, wires must be enclosed in a conduit or cable armor.

8.7.3(e) When a retrofit ground wire is installed, it must meet the following requirements:

8.7.3(e1) Minimum 12 AWG copper conductor for 20-amp circuits

8.7.3(e2) When insulated, colored green or green with one or more yellow stripes

8.7.3(e3) Where exposed, the ground wire must be secured and protected as needed to avoid damage and to safeguard the occupants

8.8. K&T Wiring Guidelines

8.8.1 Feasibility of Measures in an Attic/Crawlspace When K&T Wiring Is Present

8.8.1(a) A safety evaluation shall be required in locations where K&T wiring may be present.

8.8.1(b) Field personnel shall not install insulation in attics or crawlspaces around/near K&T wiring that is energized unless the wiring has been certified safe by an electrical (C-10) contractor through a CSD 543 Notice of Survey by Electrical Contractor certification.

8.8.1(c) Wall insulation shall never be installed when K&T wiring is present in dwelling walls, even when a Notice of Survey is available.

8.8.1(d) Each installer is responsible for adhering to all requirements of the local jurisdiction regarding insulating over live or abandoned K&T wiring. The local policy must be documented and included in the client file.

8.8.2 Required K&T Notifications

8.8.2(a) A completed Notice of Survey must be explained to and signed by the client. A copy must be given to the client after it is signed, and one must be retained in the client file.

8.8.2(b) Warning placards stating that caution is required when entering insulated areas because covered electrical wiring is present must be posted in the attic/crawlspace entries where they will be observed by persons entering the area. The warning placards must be printed in both English and Spanish (Fig. 2-7).

WARNING!	¡PRECAUCIÓN!
There are concealed electrical wires that could cause electrocution!	¡Hay cables eléctricos ocultos que podrían causar electrocución!

FIG. 2-7: K&T WARNING PLACARD

8.8.2(c) The signed Notice of Survey must be posted next to the warning placard at the primary entrance to the work site.

8.8.2(c1) Additional warning placards and photocopies of the Notice of Survey shall be posted near each openable entrance (accessed from inside or outside the living space) including any openable entrance that is temporarily unused or obstructed by furniture, stored items, etc. but can be opened and used at any time.

8.8.3 Pre-Installation Requirements

8.8.3(a) Prior to installation of any insulation in the ceiling or crawlspace of a dwelling where K&T wiring is present:

8.8.3(a1) A non-contact testing method will be used to identify live wiring

8.8.3(a2) If work cannot be performed due to K&T accessibility restrictions or unsafe K&T conditions, field personnel must note the existing conditions in the affected areas (i.e., attic, walls, or crawlspace) and provide photo documentation (when possible), to justify the reason the measures cannot be installed in those locations.

8.8.3(b) When an unsafe K&T condition exists, workers are expected to evaluate the feasibility of installing any other measures in the same area without endangering staff or occupants. Installation of measures that may impact the electrical load of the dwelling must be evaluated.

8.8.3(c) C-10 Notice of Survey for installation of insulation

8.8.3(c1) Attics or crawlspaces with K&T wiring shall not be insulated unless the wiring has been surveyed by a licensed electrical contractor (C-10) and certified to be:

- Live and acceptable for encapsulation or
- Abandoned and disconnected

8.8.3(c2) Following the C-10 survey, a Notice of Survey shall be completed.

- When obtained as part of the CSD weatherization programs, the CSD 543 Notice of Survey by Electrical Contractor from the CSD Providers' website shall be used.
- When obtained by a client, the Notice of Survey may have a different appearance, but all components must be present and addressed.

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- The survey shall include the C-10 contractor's personal inspection and observation to determine whether all existing K&T wiring in the area is intended to be insulated. The Notice of Survey shall state whether the wiring:
  - Is in good condition with proper overcurrent protection or
  - Is in poor condition (unsafe) but will be brought up to acceptable standards and proper overcurrent protection is present or
  - Is in poor condition (unsafe) and is not suitable to be brought up to acceptable standards

8.8.3(c3) When required by local jurisdiction, a permit shall be obtained from the local jurisdiction before insulation may be installed.

- When required, a dam that does not cover the top of the K&T will be created to separate insulation from the wire path to protect the occupant and house and ensure future work can be done safely.

8.8.3(c4) Insulation may cover the K&T wiring as long as a Notice of Survey has been performed, it is allowed by the local jurisdiction, and it is installed in accordance with Section 37 Attic and Ceiling Insulation.

8.8.3(c5) The following requirements apply to all attics insulated when live K&T wiring is present:

- Insulation shall be non-combustible.
- Barriers, blocking, and supports shall be non-combustible and shall not contain any electrically conductive material.
- When blocking is installed to protect K&T wiring, the wiring must be certified to be safe with proper tamper-proof overcurrent protection, such as a circuit breaker or S-type fuse.

8.8.3(d) Abandoned K&T wiring

8.8.3(d1) Insulation installation over K&T wiring is feasible when all of the following apply:

- The C-10 contractor certifies that:
  - The K&T wiring is abandoned and not energized, and it is safe to cover it with insulation and
  - The wiring cannot be energized by reconnecting abandoned feeder conductors to the service panel or other power source and
- The Notice of Survey form defines the condition

8.8.3(d2) A copy of the Notice of Survey shall be placed in the client file with the assessment form, and one shall be filed with the local jurisdiction.

8.9. General Insulation Practices

8.9.1 Insulation Certificates

8.9.1(a) In accordance with Title 24, when ceiling, wall, or floor insulation is installed, completion of the form CSD 610 Insulation Certificate is required and a copy shall be provided to the client.

8.9.1(b) The certificate shall be completed and signed by the contractor responsible for installing the insulation. The manufacturer, brand, R-value, etc. of the insulation installed in the roof/ceiling, walls, floor, and slab edge must be documented. The installer shall also verify compliance with the applicable mandatory measures (i.e. infiltration and exfiltration) for the building envelope.

8.9.1(b1) When the measure is paid for by DOE WAP, duct insulation shall also require a CSD 610 Insulation Certificate as described above. See the DOE-Specific policies in Section 8 Duct Repair, Sealing, and Insulation.

8.10. Limited Home Repair (LHR) Policy

8.10.1 In CSD's weatherization programs, for a measure to be installed, feasibility for each measure must be evaluated to ensure that:

8.10.1(a) Occupants' health will not be negatively affected by the installation of the measure and

8.10.1(b) Conditions in the home are acceptable.

8.10.2 There are instances in which minor/incidental repairs are necessary to facilitate the installation of a measure. The LHR Policy covers these repairs and is subdivided into two categories as defined below.

8.10.3 LHR–Health and Safety (H&S) Support

8.10.3(a) LHR for H&S-related activities eliminates an H&S hazard that would otherwise prevent weatherization or protects/preserves the installation of an H&S measure. H&S Support does not require cost justification by energy audit and is not included in the SIR calculation for ECMs.

8.10.3(b) H&S Support may include, but is not limited to, repairs such as:

8.10.3(b1) Removing minor fire hazards and venting obstructions

8.10.3(b2) Floor/platform repair for heating/cooling sources or water heaters repaired or replaced under H&S

8.10.3(b3) Exhaust fan vent extensions (except kitchen exhaust, which is addressed by kitchen exhaust repair)

8.10.3(b4) Minor electrical system diagnostic or repair to allow the installation of an H&S appliance

8.10.3(b5) Installation of a broken or missing cover plate

8.10.3(b6) Domestic clothes dryer moisture exhaust extension to the outdoors to prevent moisture build-up within the living space

- An uninsulated clothes dryer duct must not pass through unconditioned spaces such as attics and crawlspaces, except where allowed by the authority having jurisdiction.
  - Where an installed/extended clothes dryer duct is in unconditioned space, and it is a DOE WAP measure, the duct shall be insulated to R-8.
- Condensing dryers must be plumbed to a drain.

8.10.3(b7) Make-up air for a domestic clothes dryer

8.10.3(b8) Minor pest removal to allow weatherization

8.10.3(b9) Repair or installation of an appliance enclosure door that is missing, does not close properly, allows entry of combustion byproducts into the living space, or allows entry of inclement weather into the enclosure

8.10.3(b10) When repairing or replacing a fireplace damper to support a H&S measure, installation of a spark arrestor per Appendix A Combustion Appliance Safety Protocol

8.10.3(b11) CAS-related repairs to non-conforming appliance venting or gas flex lines in support of proper operation of an H&S appliance per Appendix A Combustion Appliance Safety Protocol

8.10.3(b12) Installation of blocking around heat-producing devices (HPDs) when an attic/ ceiling or floor is already insulated to the required level, but no blocking is present

8.10.3(b13) Exposed earthen floors in enclosed basements and crawlspaces within the thermal/pressure boundary shall be covered and sealed with a soil gas retarder per Precautionary Measures standard.

8.10.3(b14) Air sealing of sump and well pits in enclosed basements and crawlspaces within the thermal/pressure boundary through installation of an airtight sump cover per Precautionary Measures standard

8.10.3(b15) In an attic, installation of an IC-rated fixture or installation of an approved cover for a non-IC-rated fixture to eliminate fire danger, when required as a condition of permit by the local jurisdiction per Section 37 Attic and Ceiling Insulation.

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8.10.3(b16) Other repairs necessary to eliminate an H&S hazard for the protection of occupants and for weatherization work to continue. (Note: This does not include structural repairs or dwelling rehabilitation.)

8.10.4 LHR–ECM Support

8.10.4(a) The majority of measures in CSD's weatherization programs are intended to reduce energy usage. These measures are in a category known as ECMs. ECMs are not H&S measures. When a minor repair is needed to protect or preserve the installation of an ECM, these activities include but are not limited to:

8.10.4(a1) Floor/platform repair for heating/cooling sources or water heaters that are energy efficiency upgrades

8.10.4(a2) Installation of a new attic/crawlspace access, or enlargement of an existing access

8.10.4(a3) When repairing or replacing a fireplace damper for infiltration reduction, installation of a spark arrestor (per Appendix A Combustion Appliance Safety Protocol)

8.10.4(a4) Installation of insulation on an access cover only, when the access cover is uninsulated and the attic/ceiling or crawlspace is otherwise insulated to the required level

8.10.4(a5) Installation of limited screening at a door, window, or other access point to protect against degradation of an installed measure

8.10.4(a6) Minor electrical system diagnostic or repair to support installation of an audit-driven ECM

8.10.4(a7) Minor roof repair to protect attic insulation that will be installed

8.10.4(a8) Mobile home skirting repair to prevent damage to sealed ducts or undercarriage insulation

- Flashing or proper caulking will be installed between the skirting and the manufactured home if required by the authority having jurisdiction.
- Skirting support (e.g., vinyl blowout rods, horizontal bracing for other types) will be placed in high-wind locations.

8.10.4(a9) Repair or installation of an appliance enclosure door (in support of an ECM appliance installation) that is missing, does not close properly, allows entry of combustion byproducts into the living space, or allows entry of inclement weather into the enclosure

8.10.4(a10) Minor adjustments or replacements to windows and doors (examples include: installing weatherstripping, shoes, thresholds, or a window for window/wall air conditioner)

- Replacement of damaged or missing window screens used to provide ventilation during whole house fan operation

8.10.4(a11) Rough framing repair (to support door/window energy efficiency upgrades)

8.10.4(a12) Attic/crawlspace access enlargement to allow installation of insulation

8.10.4(a13) Labor and materials, such as paint, associated with touch-up painting following wall insulation installation

8.10.4(a14) Other repairs necessary to protect or preserve an audit-driven ECM

8.10.4(b) Structural repairs and dwelling rehabilitation are not feasible within ECM Support.

8.10.5 Billing of LHR Line Items

8.10.5(a) Some examples of H&S Support and ECM Support line items are very similar, such as a water heater platform repair. To know where the platform must be billed, it must first be determined if the water heater itself must be billed to H&S or if its replacement can be justified as an energy efficiency upgrade.

8.10.5(a1) For LIHEAP: The LHR line item shall be used for any ECM Support measure or H&S Support measure/activity. This line item may not exceed the measure maximum as defined by contract unless an approved CSD waiver is granted.

8.10.5(a2) For DOE: The LHR–H&S Support line item may not exceed the measure maximum as defined by contract unless an approved CSD waiver is granted.

8.10.5(a3) For DOE: Where an energy audit or the DOE Priority List would be applied, the measure maximum for the "LHR–ECM Support" line item will be determined by the energy audit or the maximum amount will be limited by the Priority List. The cost for the incidental repair(s) must never make the SIR calculation for the total package of weatherization measures (Dwelling SIR) <1.0 or the LHR and its associated measure(s) are not feasible.

- The "LHR–ECM Support" line item must be included in the Dwelling SIR calculation when an energy audit is conducted. For details of how to calculate a Dwelling SIR, refer to the Appendix D Energy Audit/Priority List Protocol.
- If a dwelling is leveraged between DOE WAP and LIHEAP, LHR activities may be leveraged but shall be in compliance with LHR Policy guidance.

8.10.6 LHR Documentation

8.10.6(a) All LHR repairs (for H&S Support and ECM Support) require the following to be added or attached to the CSD 540 Dwelling Assessment form and maintained in the client file:

8.10.6(a1) Identification of the measure to be protected (required when installation is in support of a measure)

8.10.6(a2) A description of the LHR repair needed

8.10.6(a3) Justification for the installation of the LHR and

8.10.6(a4) Photo documentation of existing conditions

8.11. (DOE Only) Precautionary Measures

8.11.1 The measures in this section will be installed as Limited Home Repair - Health and Safety Support based on qualifying conditions.

8.11.2 Cover all junction boxes with a location-appropriate (e.g., wet-location, outdoor, indoor, etc.) UL-listed cover.

8.11.3 Installation of a Soil Gas Retarder on Exposed Earthen Floors in Basements and Crawlspaces within the Thermal/Pressure Boundary

8.11.3(a) Install This Measure When:

8.11.3(a1) A basement, or an enclosed and unventilated crawlspace in a single-family or multi-family dwelling (not mobile homes), has an exposed dirt floor and is located within the thermal/pressure boundary

8.11.3(a2) A soil gas retarder is not present, or the existing retarder is damaged and does not provide adequate coverage

8.11.3(b) Do Not Install This Measure When:

8.11.3(b1) The crawlspace or basement is not within the thermal/pressure boundary (i.e., floor insulation and crawlspace venting are installed, or will be installed within the weatherization program, in accordance with Section 39 Floor Insulation and Section 41 Crawlspace Ventilation)

8.11.3(b2) A soil gas retarder is already present on the crawlspace/basement floor (and is in good condition, without holes or tears)

8.11.3(b3) Installation of a dehumidifier is required in conjunction with the soil gas retarder, but cannot be installed or proper condensate drainage cannot be achieved

8.11.3(b4) Drainage issues are present that would allow water to drain toward the foundation wall and footing, including:

- Downspouts do not drain away from the home
- Grading slopes toward the foundation wall

8.11.3(b5) A suitable electrical outlet is not present in the crawlspace and one cannot be provided

8.11.3(b6) One or more mandatory environmental hazards or deferral conditions are present and cannot be corrected within the program scope (see Appendix E Health and Safety Requirements)

8.11.3(b7) The client refuses after measure benefits have been explained by the assessor

8.11.3(c) Installation Guidelines

8.11.3(c1) General Requirements

- The crawlspace/basement must be accessible in accordance with the clearance requirements in Section 1 General Installation Guidelines, Attic and Crawlspace Accessibility.
- All health and safety repairs or measure installations requiring access to the basement or enclosed/unventilated crawlspace shall be completed before the retarder is installed.
- If feasibility conditions for this measure are met, but the measure will not be installed for any reason, the entire dwelling shall be deferred.
- For mobile home installations: prior approval must be granted from the California Department of Housing and Community Development (HCD), or another authority having jurisdiction.
- For multi-family installations:
  - When only an individual multi-family unit in a multi-family building will be served, this measure is not feasible.

8.11.3(d) Installation Procedure

8.11.3(d1) Pre-Installation Assessment

- The outside perimeter of the home shall be inspected for sources of moisture and drainage issues.
- The inside of the crawlspace/basement shall be assessed for:
  - Environmental or structural hazards as defined in Appendix E Health and Safety Requirements
  - Proper attachment of gas, water, and electrical lines to floor joists or framing members every 4 feet
  - Exhaust terminations and uncorrectable combustion appliance safety hazards
  - Electrical hazards

8.11.3(d2) Preparation of the Crawlspace

- Any issues identified during the inspection process shall be corrected before a soil gas retarder is installed.
- All vegetation and organic material, rocks, sharp objects, and debris that can puncture the soil gas retarder shall be removed from the installation surface and disposed of properly.

8.11.3(d3) Installation of Soil Gas Retarder

- The soil gas retarder shall be installed per the Section 39 Floor Insulation, Installation of Vapor Retarder guidelines.

8.11.3(d4) Dehumidifier

- Installation of a dehumidifier in conjunction with the soil gas retarder will always be required for any unvented crawlspace or basement.
- The dehumidifier shall be installed in accordance with manufacturer's instructions and the local jurisdiction, and adhere to each of the installation components listed below.
- Location Requirements
  - The unit shall be installed in a location that:
    - Protects the unit from rain, flooding, or other sources of water
    - Supports proper airflow (i.e., a minimum of 12" from a wall or obstruction)

        - Provides sufficient clearance on all sides of the unit to allow filter removal and unit maintenance
    - The dehumidifier shall be installed in a level, plumb, and stable position.
    - The unit shall not be in direct contact with structural building members.
    - When installed in locations where flooding may occur, the unit shall be suspended per manufacturer's instructions.
- Electrical Requirements
    - Electrical supply provided shall be 120-volt, with a minimum 15-amp.
    - Proper circuit conductors and overcurrent protection (fuse or breaker) shall be present.
    - The outlet shall be:
        - A properly grounded three-prong receptacle with a functional grounding conductor.
        - Within 6' of the installation location, or as otherwise specified.
    - A GFCI-protected outlet is required unless otherwise specified.
    - The unit shall not share the receptacle with another appliance, or use an extension cord or adapter, unless explicitly allowed by the manufacturer.
- Condensate Control
    - A drain line, minimum 3/4" nominal pipe size, shall be installed for condensate drainage.
    - The condensate drain shall slope downward to a suitable drain site.
    - When required, a drain trap shall be installed in the condensate line.
    - A manufacturer-recommended condensate pump may be installed if a lift is required to properly drain condensate from the space.
- Flexible Ducts
    - Intake and exhaust ducts shall terminate on opposite sides of the crawlspace/basement, to ensure proper air circulation unless otherwise stated.
    - Ducts shall be secured to the manufacturer-provided duct collars.
    - Duct sizing shall be a minimum of:
        - 8" diameter, when used for duct runs of 10' or less.
        - 10" diameter, when duct run is more than 10'.

8.11.3(e) Post-Installation Guidelines

8.11.3(e1) Quality Check

- Combustion appliance safety testing must be performed following installation of the measure, in accordance with Appendix A Combustion Appliance Safety Protocol.
- The soil gas retarder shall:
    - Cover the entire crawlspace floor
    - Be properly secured and the edges/overlaps sealed by at least 12"
- The dehumidifier shall be confirmed to be operating properly and all controls and safety devices shall be in place.

8.11.3(e2) Client Education

- Unless virgin resin or reinforced retarder material ≥10 mil was installed, the client shall be advised that the soil gas retarder is biodegradable, it will have a life span much shorter than the home (approximately 5 years), and will need to be replaced to remain effective.
- The client shall be educated on the importance of the proper operation of the dehumidifier to maintain structural integrity of the home and to reduce the likelihood of mold and mildew in the space.

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8.11.3(e3) Clean-Up and Disposal Requirements

- Upon completion, the residence shall be returned to its original condition and left free of job-related dust and debris indoors and outdoors.

8.11.4 Installation of an Airtight Sump Pump/Well Pit Cover within the Thermal/Pressure Boundary

8.11.4(a) Install This Measure When:

8.11.4(a1) A solid, airtight cover is not in place

8.11.4(a2) An existing solid cover is damaged and does not seal properly

8.11.4(a3) The existing sump pump obtains water directly from the basement/crawlspace floor and no cover is in place or the existing solid cover does not have a self-sealing drain.

8.11.4(b) Do Not Install This Measure When:

8.11.4(b1) The sump pump/well pit is under a mobile home.

8.11.4(b2) The sump pump/well pit is not within the thermal/pressure boundary

8.11.4(b3) A solid, sealed cover is already in place

8.11.4(b4) The existing sump pit is not vented properly and correction is not feasible

8.11.4(b5) Surrounding floor or basin lip is damaged preventing proper sealing of the cover and correction is not feasible

8.11.4(b6) The client refuses after measure benefits have been explained by the assessor

8.11.4(c) Installation Guidelines

8.11.4(c1) General Requirements

- Crawlspace must be accessible in accordance with the clearance requirements for attics and crawlspaces identified in the Section 1 General Installation Guidelines, Attic and Crawlspace Accessibility.
- All covers shall be installed in accordance with manufacturer's instructions, Title 24, and the local jurisdiction.
- If feasibility conditions for this measure are met, but the measure will not be installed for any reason, the entire dwelling shall be deferred.

8.11.4(d) Installation Procedure

8.11.4(d1) Pre-Installation

- The surrounding area shall be free of debris to prevent foreign objects from entering the pit during cover installation.
- The sump basin and surrounding floor shall be inspected for damages and cracks that may prevent proper sealing.

8.11.4(d2) Cover Installation

- The discharge opening shall be aligned with the pump's discharge pipe.
- The cover shall be:
  - Installed in such a way that water can drain from above and below the sump cover
  - Sealed to the mounting surface with silicone or the manufacturer's provided gasket
  - Secured to the basin or floor per manufacturer's instructions
- When replacing a perforated cover with a solid cover, a self-sealing drain shall be present in the cover.
- The connections of the discharge pipe and vent pipe to the cover shall be tight and free of leaks.

8.11.4(d3) Vent Pipe Installation

- A vent pipe shall be installed and vented to the outdoors in accordance with the local jurisdiction, or at a minimum shall terminate a minimum of:
  - 12" above the surface of the roof, and
  - 10' from an openable window, mechanical intake, or opening into conditioned space that is less than 2' below the exhaust point, and
  - A minimum of 10' from any window or other opening in adjoining or adjacent buildings
- The vent pipe shall be labeled in accordance with Title 24 and the local jurisdiction.
- Vent fan
  - When a vent fan is required by the local jurisdiction:
    - The vent pipe shall be accessible
    - A vent fan shall be installed in-line with the vent system

8.11.4(e) Post-Installation Guidelines

8.11.4(e1) Quality Check

- The sump pump shall be checked to ensure proper operation.
- The sump pump cover shall be checked to ensure airtight sealing of the cover.
- All connections shall be verified to be tight and sealed, including the discharge pipe, vent pipe, and cable grommet.

8.11.4(e2) Client Education

- Client shall be educated on purpose of the sump cover and the importance of leaving the cover sealed.

8.11.4(e3) Clean-Up and Disposal Requirements

- Upon completion, the residence shall be returned to its original condition and left free of job-related dust and debris indoors and outdoors.

8.12 Window Egress (Conventional Homes)

8.12.1 When a measure will be installed that would affect the egress compliance of a dwelling, the following requirements shall apply.

8.12.1(a) Examples of these measures that may require egress considerations include, but are not limited to:

8.12.1(a1) Window-mount air conditioning units

8.12.1(a2) Window-mount evaporative cooling units

8.12.1(a3) Infiltration reduction activities

8.12.1(b) Egress requirements apply to all rooms used for sleeping.

8.12.1(c) When a sleeping room has no operable exterior door, at least one window must meet the egress requirements of local code and CRC, which places the following requirements on egress windows:

8.12.1(c1) Minimum net clear openable area of 5.7 sq. ft.

8.12.1(c2) Minimum width of 20"

8.12.1(c3) Minimum height of 24"

8.12.1(c4) Maximum finished sill height of 44" above the floor

- For example, if the width of the opening is 26", the height must be 32" to achieve 5.7 sq. ft. of clear, openable area.

8.12.1(d) Exception: A minimum net clear openable area of 5 sq. ft. is allowed on a "grade floor" opening/window where the sill height is not more than 44" above the finished ground level adjacent to the opening.

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8.12.2 See Table 1-3 for conventional home egress window area calculations.

TABLE 1-3: EGRESS WINDOW AREA† (CONVENTIONAL HOME)*

H/W†	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42
20																			5.83
21																	5.83	5.98	6.13
22															5.81	5.96	6.11	6.26	6.42
23													5.75	5.91	6.07	6.23	6.39	6.55	6.71
24												5.83	6.00	6.17	6.33	6.50	6.67	6.83	7.00
25										5.73	5.90	6.08	6.25	6.42	6.60	6.77	6.94	7.12	7.29
26									5.78	5.96	6.14	6.32	6.50	6.68	6.86	7.04	7.22	7.40	7.58
27								5.81	6.00	6.19	6.38	6.56	6.75	6.94	7.13	7.31	7.50	7.69	7.88
28							5.83	6.03	6.22	6.42	6.61	6.81	7.00	7.19	7.39	7.58	7.78	7.97	8.17
29						5.84	6.04	6.24	6.44	6.65	6.85	7.05	7.25	7.45	7.65	7.85	8.06	8.26	8.46
30					5.83	6.04	6.25	6.46	6.67	6.88	7.08	7.29	7.50	7.71	7.92	8.13	8.33	8.54	8.75
31				5.81	6.03	6.24	6.46	6.67	6.89	7.10	7.32	7.53	7.75	7.97	8.18	8.40	8.61	8.83	9.04
32			5.78	6.00	6.22	6.44	6.67	6.89	7.11	7.33	7.56	7.78	8.00	8.22	8.44	8.67	8.89	9.11	9.33
33		5.73	5.96	6.19	6.42	6.65	6.88	7.10	7.33	7.56	7.79	8.02	8.25	8.48	8.71	8.94	9.17	9.40	9.63
34		5.90	6.14	6.38	6.61	6.85	7.08	7.32	7.56	7.79	8.03	8.26	8.50	8.74	8.97	9.21	9.44	9.68	9.92
35	5.83	6.08	6.32	6.56	6.81	7.05	7.29	7.53	7.78	8.02	8.26	8.51	8.75	8.99	9.24	9.48	9.72	9.97	10.21
36	6.00	6.25	6.50	6.75	7.00	7.25	7.50	7.75	8.00	8.25	8.50	8.75	9.00	9.25	9.50	9.75	10.00	10.25	10.50
37	6.17	6.42	6.68	6.94	7.19	7.45	7.71	7.97	8.22	8.48	8.74	8.99	9.25	9.51	9.76	10.02	10.28	10.53	10.79
38	6.33	6.60	6.86	7.13	7.39	7.65	7.92	8.18	8.44	8.71	8.97	9.24	9.50	9.76	10.03	10.29	10.56	10.82	11.08

†Area is measured in sq. ft., height (H) and width (W) are measured in inches
*Required opening: 5.7 sq. ft.

8.13. Window Egress (Mobile Homes)

8.13.1 Egress requirements apply to all rooms used for sleeping.

8.13.1(a) When a sleeping room has no operable exterior door, at least one window must meet the following opening requirements:

8.13.1(a1) Minimum 5 sq. ft. of clear, openable area

8.13.1(a2) Minimum 22" of clear, openable horizontal and vertical dimension (Fig. 2-8).

- For example, if the width of the opening is 22", the height must be 33" to achieve 5 sq. ft. of clear, openable area.

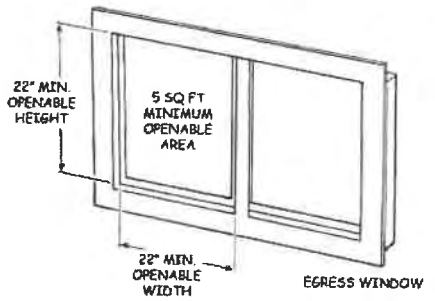

FIG. 2-8: REPLACEMENT EGRESS WINDOW REQUIREMENTS FOR MOBILE HOMES

8.13.2 See Table 1-4 for mobile home egress window area calculations.

TABLE 1-4: EGRESS WINDOW AREA† (MOBILE HOME)*

H/W†	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42
20														5.14	5.28	5.42	5.56	5.69	5.83
21												5.10	5.25	5.40	5.54	5.69	5.83	5.98	6.13
22										5.04	5.19	5.35	5.50	5.65	5.81	5.96	6.11	6.26	6.42
23									5.11	5.27	5.43	5.59	5.75	5.91	6.07	6.23	6.39	6.55	6.71
24								5.17	5.33	5.50	5.67	5.83	6.00	6.17	6.33	6.50	6.67	6.83	7.00
25						5.03	5.21	5.38	5.56	5.73	5.90	6.08	6.25	6.42	6.60	6.77	6.94	7.12	7.29
26					5.06	5.24	5.42	5.60	5.78	5.96	6.14	6.32	6.50	6.68	6.86	7.04	7.22	7.40	7.58
27				5.06	5.25	5.44	5.63	5.81	6.00	6.19	6.38	6.56	6.75	6.94	7.13	7.31	7.50	7.69	7.88
28			5.06	5.25	5.44	5.64	5.83	6.03	6.22	6.42	6.61	6.81	7.00	7.19	7.39	7.58	7.78	7.97	8.17
29		5.03	5.24	5.44	5.64	5.84	6.04	6.24	6.44	6.65	6.85	7.05	7.25	7.45	7.65	7.85	8.06	8.26	8.46
30		5.21	5.42	5.63	5.83	6.04	6.25	6.46	6.67	6.88	7.08	7.29	7.50	7.71	7.92	8.13	8.33	8.54	8.75
31	5.17	5.38	5.60	5.81	6.03	6.24	6.46	6.67	6.89	7.10	7.32	7.53	7.75	7.97	8.18	8.40	8.61	8.83	9.04
32	5.33	5.56	5.78	6.00	6.22	6.44	6.67	6.89	7.11	7.33	7.56	7.78	8.00	8.22	8.44	8.67	8.89	9.11	9.33
33	5.50	5.73	5.96	6.19	6.42	6.65	6.88	7.10	7.33	7.56	7.79	8.02	8.25	8.48	8.71	8.94	9.17	9.40	9.63
34	5.67	5.90	6.14	6.38	6.61	6.85	7.08	7.32	7.56	7.79	8.03	8.26	8.50	8.74	8.97	9.21	9.44	9.68	9.92
35	5.83	6.08	6.32	6.56	6.81	7.05	7.29	7.53	7.78	8.02	8.26	8.51	8.75	8.99	9.24	9.48	9.72	9.97	10.21
36	6.00	6.25	6.50	6.75	7.00	7.25	7.50	7.75	8.00	8.25	8.50	8.75	9.00	9.25	9.50	9.75	10.00	10.25	10.50
37	6.17	6.42	6.68	6.94	7.19	7.45	7.71	7.97	8.22	8.48	8.74	8.99	9.25	9.51	9.76	10.02	10.28	10.53	10.79
38	6.33	6.60	6.86	7.13	7.39	7.65	7.92	8.18	8.44	8.71	8.97	9.24	9.50	9.76	10.03	10.29	10.56	10.82	11.08

†Area is measured in sq. ft., height (H) and width (W) are measured in inches
*Required opening: 5 sq. ft.

8.14. Window Orientation

8.14.1 The following are two procedures to determine compass orientation of a particular window

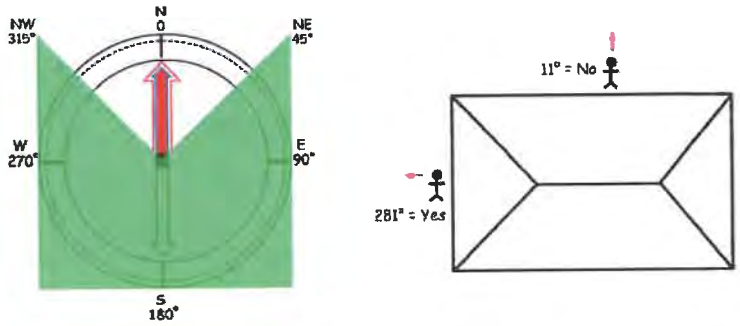

FIG. 2-9: ALLOWED ORIENTATIONS ONLY ON WINDOWS FACING COMPASS READINGS WITHIN THE DARKENED AREA

for installation of measures, such as shade screens, storm windows, etc. (Fig. 2-9).

8.14.1(a) Window and wall orientation for an energy audit are compass points as described in Appendix D Energy Audit/Priority List Protocol.

8.14.2 Cell Phone Compass Application Procedure

8.14.2(a) Set the cell phone application to read true north before taking a reading.

8.14.2(b) Stand with your back to the window being assessed.

8.14.2(c) Keep the compass perpendicular to the window.

8.14.2(d) Hold the cell phone level.

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8.14.2(e) Record the degree number indicated at the top of the compass face (final reading).

8.14.3 Magnetic Compass Procedure

8.14.3(a) Follow the compass manufacturer's instructions.

8.14.3(b) Stand with your back to the window being assessed.

8.14.3(c) Point the compass in the direction that is perpendicular to the window.

8.14.3(d) Hold the compass level by its base.

8.14.3(e) Rotate the compass housing until the red magnetic needle lines up inside the orienting arrow outline within the compass housing. (Fig. 2-10)

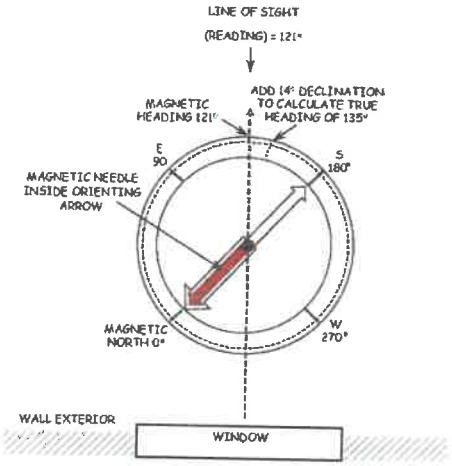

FIG. 2-10: DECLINATION ADJUSTMENT FOR A MAGNETIC COMPASS

8.14.3(f) Record the degree number sighted directly across the compass face, then add the appropriate declination factor from Table 1-5 to get the final reading.

8.14.3(g) When using a declination-adjustable compass, it is acceptable to turn the compass housing with the orienting arrow to automatically account for the declination factor in accordance with Table 1-5 and the manufacturer's instructions.

TABLE 1-5: DECLINATION* ADJUSTMENT BY REGION

Geographic Region for the Home Being Evaluated	Compass Declination
Redding	+15
Sacramento	+14
Bakersfield	+13
San Diego	+12

*Declination is a "correction factor" that is added to a magnetic compass reading to indicate true north.

8.15. Safety Glass in Windows and Doors

8.15.1 When glazing in a door or window will be replaced, or when a door or window will be replaced, the installed measure shall meet the safety glazing requirements below.

8.15.2 Safety glazing must be permanently labeled and installed per the current CRC requirements for windows (Fig. 2-11), as summarized below:

FIG. 2-11: REQUIRED LOCATIONS FOR SAFETY GLASS

8.15.2(a) Safety glass is required in any window adjacent to a door where both of the following apply:

8.15.2(a1) The nearest vertical edge is within 24" of the door and

8.15.2(a2) The bottom edge is <60" above the floor

- Exception: Safety glass is not required when there is an intervening wall or other permanent barrier between the door and the glazing.

8.15.2(b) Safety glass is required in panes >9 sq. ft. where all of the following apply:

8.15.2(b1) The bottom edge is <18" above the floor and

8.15.2(b2) The top edge is >36" above the floor and

8.15.2(b3) A walking surface is within 36" horizontally of the window

8.15.2(b4) Exceptions: As defined in the CRC.

8.15.2(c) Safety glass is required when the bottom edge of the glazing is <36" above the walking surface of a stairway or landing.

8.15.2(d) Safety glass is required in shower and bathtub enclosures for exterior windows <60" above the floor of the enclosure.

8.15.2(e) Safety glass is required in all doors with glazing.

8.15.2(f) Exceptions: Jalousie windows and windows with panes <3" in width or height.

9. ECIP EHCS POLICIES

9.1 When ECIP EHCS funds are used for repair, replacement, or new installation for certain heating, cooling, and/or water heating appliances, it shall comply with EHCS policy, which can be found on the CSD Providers' website.

9.2 For heating and cooling EHCS requirements, refer to Section 4 Heating and Cooling.

9.3 For water heating EHCS requirements, refer to Section 13 Water Heaters—Gas, Electric and Heat Pump.

9.4 The CSD 51 SWEATS and PSPS Preparedness Intake form and CSD 57 ECIP EHCS Assessment form must include proof of all of the following:

9.4.1 The client meets the income and dwelling eligibility

9.4.2 The client has insufficient funds to repair/replace the appliance

9.4.3 The appliance meets one or more of the repair/replacement criteria below.

9.5 ECIP EHCS Emergency Assistance Timeframes

9.5.1 When contacted by a client for ECIP EHCS assistance, the agency must conduct CAS testing (see Appendix A Combustion Appliance Safety Protocol) to identify all hazardous and non-hazardous conditions pertaining to the appliance before any repair or replacement work is completed.

9.5.2 ECIP EHCS services must mitigate and completely resolve the emergency within the emergency assistance timeframes.

9.5.3 When a hazard is identified, the agency must, at a minimum, officially cap or disable the qualifying dangerous appliance within 18 hours. In addition, the agency must:

9.5.3(a) Provide client education

9.5.3(b) Offer to make available temporary portable heating or cooling devices:

9.5.3(b1) Within 18 hours to any applicant with a qualifying "medical condition"

9.5.3(b2) Within 18 hours to any elderly or disabled applicant whose wood stove is inoperable or for whom handling the fuel is a hardship

9.5.3(b3) Within 48 hours to all other applicants

9.5.4 The agency's decision to repair or replace the appliance shall be delivered in writing to each applicant for whom service will not be provided (dwelling deferral), no later than 30 calendar days after the initial appliance assessment.

9.5.5 ECIP EHCS jobs shall be scheduled and completed to the extent practicable ahead of all nonemergency weatherization and no later than the end of the appropriate heating or cooling season:

9.5.5(a) Space heater or cooling appliance repairs or replacements must be completed no later than the end of the current or immediately upcoming heating season.

9.5.5(b) If a heater or cooler is repaired or replaced after the end of the current or immediately upcoming season, CSD's pre-approval is required.

10. LOAN OF PORTABLE APPLIANCES

10.1 Under one component of the Severe Weather Energy Assistance and Transportation Services (SWEATS) Policy, certain portable heating, cooling, or electricity producing appliances may be loaned to low-income persons on an interim basis, as needed and with CSD approval, when a state-declared crisis or emergency occurs that temporarily deprives occupants of heating, cooling, or electricity required to maintain their health, safety, and essential comfort level.

10.2 Portable appliances may be loaned until repair or replacement of an existing heating and/or cooling appliance is completed or a permanent heating and/or cooling solution is reached.

10.3 Loans of portable appliances must be made to conform with the latest published SWEATS policy available on the CSD Providers' website.

10.4 The CSD 52 Temporary Energy Portable Appliance Loan Agreement & Waiver shall be completed and kept in the client file.

10.5 Portable equipment types available under the SWEATS Policy are:

10.5.1 Air conditioner

10.5.2 Evaporative cooler

10.5.3 Space heater

10.5.4 Fan

10.5.5 Generator (and fuel to operate it)

11. MATERIAL SPECIFICATIONS

11.1. Access Hatches

11.1.1 Refer to Section 32 Infiltration Reduction, Material Specifications.

11.2. Cover Plates

11.2.1 Size and Shape

11.2.1(a) Cover plates shall:

11.2.1(a1) Be plain (non-decorative) plastic only

11.2.1(a2) Wood or metal not allowed

11.2.1(a3) Properly fit the application

11.2.1(a4) Oversize and blank plates allowed where required

11.2.1(a5) Be of standard rectangular shape to fit standard electrical boxes

11.2.1(a6) Be standard color (ivory, white, almond, or black)

11.2.1(a7) Have color-matched screws

11.2.1(b) No cover plates shall be allowed with custom colors or decorative design.

11.3. Domestic Clothes Dryer Moisture Exhaust

11.3.1 All Ducts

11.3.1(a) A gas or electric clothes dryer moisture exhaust shall:

11.3.1(a1) Be of rigid metal and have a smooth interior surface

11.3.1(a2) Be minimum 4" in diameter

11.3.1(a3) Comply with clothes dryer manufacturer's specifications and applicable local code

11.3.1(a4) Be no more than 14' total in length and include no more than two 90° elbows

11.3.2 Rigid Duct with Smooth Interior Surface

11.3.2(a) Galvanized steel: Minimum 26 gauge

11.3.2(b) Aluminum: Minimum 24 gauge

11.3.2(c) Exception: UL-listed, flexible clothes dryer transition duct not more than 6' in length may be used to connect the dryer to a metal exhaust duct. Plastic venting material will not be used.

11.3.2(d) Flexible transition duct shall not be concealed within the construction.

11.3.3 Moisture Exhaust Duct Terminations

11.3.3(a) The termination shall be manufactured for use with dryers and made of aluminum, sheet metal, or ultraviolet (UV)-protected plastic with no mesh/screen

11.3.4 Dampers

11.3.4(a) A metal or plastic gravity-type backdraft damper shall be present in the termination.

11.3.5 Duct Connections Clamps, and Hangers

11.3.5(a) Duct connectors shall be listed stainless steel or impact-resistant plastic hose clamp style bands to be installed around a duct exterior.

11.3.5(b) Screws shall not be used to connect duct sections.

11.3.5(c) In addition to mechanical fasteners, duct connections will be sealed with UL 181B or 181B-M listed material.

11.3.5(d) Duct hangers shall be rust- and corrosion-resistant.

11.4. Exhaust Fan Vent Extension

11.4.1 All exhaust ducts shall comply with manufacturer's instructions and applicable local code (e.g., for flame spread index).

11.4.2 Rigid Duct

11.4.2(a) Galvanized steel: Minimum 26 gauge

11.4.2(b) Aluminum: Minimum 24 gauge

11.4.2(c) Polyvinyl chloride (PVC) smooth plastic pipe: Minimum schedule 80

11.4.2(d) DOE: Minimum 28 gauge

11.4.3 Flexible Duct

11.4.3(a) Semi-rigid metallic aluminum: Minimum 0.0065" thick, listed to UL-2158A

11.4.4 Exhaust Duct Terminations and Dampers

11.4.4(a) Exhaust duct terminations and dampers shall be aluminum, sheet metal, or UV-protected plastic.

11.4.4(b) A compatible metal or plastic gravity-type backdraft damper shall be present in the system.

11.5. Floor/Platform Repair for Appliances

11.5.1 Plywood Sheet

11.5.1(a) Horizontal surface:

11.5.1(a1) Minimum ¾" thickness

11.5.1 (a2) C-grade face or better and bonded with exterior glue resin

11.5.1 (b) Shear surround:

11.5.1 (b1) Minimum ½" thickness

11.5.1 (b2) C-grade face or better and bonded with exterior glue resin

11.5.1 (c) Primer shall be applied on all new wood used for outdoor applications.

11.5.2 Structural Wood Members

11.5.2 (a) Pressure-treated or redwood

11.5.2 (b) 2" x 4" or larger

11.5.3 Fasteners

11.5.3 (a) Minimum #8 size steel screws

11.5.3 (b) Rust- and corrosion-resistant

11.5.3 (c) Nails are not allowed

11.5.4 Drywall for Indoor Appliance Platforms

11.5.4 (a) Minimum ½" thickness

11.5.4 (b) Moisture- and mold-resistant (e.g., green board)

11.5.5 Drywall Screws

11.5.5 (a) Drywall screws shall be sized to penetrate solid wood a minimum ⅝".

11.5.6 Metal Water Heater Stand

11.5.6 (a) A metal water heater stand shall be:

11.5.6 (a1) UL-listed (or equivalent) and compliant with local code

11.5.6 (a2) Constructed of galvanized steel or aluminum

11.5.6 (a3) Appropriately sized to support the entire footprint of the water heater

11.6. Minor Roof Repair

11.6.1 General Requirements

11.6.1 (a) Roof repair shall be completed only to protect installed measures from the weather.

11.6.1 (b) Whenever possible, replacement materials shall match existing roofing materials in size, color, and quality.

11.6.1 (c) All materials shall be UL-listed (or equivalent) and compliant with local codes.

11.6.2 Required Safety Equipment

11.6.2 (a) All roof-related work shall be conducted in accordance with all applicable Cal/OSHA regulations (e.g., wearing a safety harness, removal of materials, etc.).

11.7. Mobile Home Skirting Repair

11.7.1 All Jobs

11.7.1 (a) The actual skirting materials needed for each job shall be identified by the assessor, but standard materials specifications are provided below.

11.7.1 (b) Issues related to moisture and drainage, the presence of pests, etc. will be corrected before skirting work begins.

11.7.1 (c) Existing skirting support material will be structurally sound and completely intact; any damaged framing will be replaced.

11.7.1 (d) Skirting will be installed to allow for movement due to expansion and contraction (i.e., no screws or nails directly through panels).

11.7.2 All Skirting Materials

11.7.2 (a) All materials shall be compliant with applicable HCD requirements.

11.7.2 (b) When feasible, materials shall match existing skirting materials including size, color, and quality.

11.7.3 Wood Skirting

11.7.3(a) All wood within 6" of earth or concrete shall be treated wood or wood with natural resistance to decay (i.e., redwood, cedar, or pressure-treated fir).

11.7.3(b) Frame structure shall be minimum 2" x 2" in size.

11.7.3(c) Plywood or composite sheeting shall be exterior-grade, have a minimum thickness of ⅜", and have plies or fibers bonded with exterior glue resin.

11.7.3(d) Board siding shall have a minimum thickness of ½".

11.7.4 Primer

11.7.4(a) Primer shall be UV- and stain-resistant exterior-grade material.

11.7.4(b) At least one application of primer is required on all new wood skirting.

11.7.5 Fasteners

11.7.5(a) Fasteners shall be rust- and corrosion-resistant steel.

11.7.6 Ventilation Screen

11.7.6(a) Screens shall:

11.7.6(a1) Be ¼" corrosion-resistant metal

11.7.6(a2) Match the existing screens when feasible

11.8. Rough Framing to Support Window or Door Installation

11.8.1 All Jobs

11.8.1(a) The actual materials needed shall be identified by the installer after the window or door jamb is removed, but standard materials specifications are provided below.

11.8.2 Dimensional Framing Lumber

11.8.2(a) Douglas fir of standard-grade or better

11.8.3 Furring Strip

11.8.3(a) Douglas fir or redwood of standard-grade or better

11.8.4 Plywood

11.8.4(a) APA – The Engineered Wood Association (APA)-rated, exterior-grade

11.8.5 Oriented Strand Board (OSB)

11.8.5(a) APA-rated, exterior-grade

11.8.6 Fasteners

11.8.6(a) Fasteners shall comply with local code requirements.

11.9. Gas Pipes and Valves

11.9.1 Gas valves must be UL-listed and American Gas Association (AGA)- or Canadian Standards Association (CSA)-certified.

11.9.2 Gas flexible connectors must be International Association of Plumbing and Mechanical Officials (IAPMO)–listed epoxy-coated or stainless steel units.

11.9.3 Pilot tubing shall be aluminum.

11.9.3(a) Copper is not allowed.

11.9.4 Fuel-gas piping shall be selected, sized, and installed per CMC, Chapter 13.

11.9.4(a) Copper gas lines are not allowed.

11.10. Electrical Materials

11.10.1 Splicing connectors— shall be UL-listed for the location (dry or damp/wet)

11.10.2 Electrical receptacles— shall be UL-listed for the location (dry or damp/wet)

11.10.3 GFCI receptacles or switches— shall be UL-listed for the location (dry or damp/wet)

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11.10.4 Three-prong adapters— shall be UL-listed

11.10.5 Ground rods— shall be copper-bonded and UL-listed

11.11. Installation of a Soil Gas Retarder on Exposed Earthen Floors in Basements and Crawlspaces within the Thermal/Pressure Boundary

11.11.1 Measure Effective Useful Life

11.11.1(a) LIHEAP: Not applicable

11.11.1(b) DOE:

11.11.1(b1) Vapor Retarder: 5 years

11.11.1(b2) Dehumidifier: 5 years

11.11.2 Soil gas retarder shall be:

11.11.2(a) Class I vapor retarder with a perm rating of ≤0.1

11.11.2(a1) ≥6 mil sheet polyethylene or unperforated aluminum foil (e.g., foil/scrim/kraft). A 3-mil (0.08-mm) thickness is permitted if a cross-laminated product is selected.

11.11.2(a2) When the space is used for storage or entry is required for maintenance of utilities, a heavier gauge sheeting or a protective covering (such as rubber roofing membrane) shall be installed in those areas.

11.11.2(b) In accordance with tear- and puncture-resistance standard ASTM E1745

11.11.3 Crawlspace Seaming Tape

11.11.3(a) Moisture-resistant polyethylene or butyl tape

11.11.3(b) Minimum 3" width

11.11.4 Mechanical Fasteners

11.11.4(a) Shall be concrete nails or Christmas tree fasteners, at least 1" in length and non-corrosive

11.11.5 Dehumidifier

11.11.5(a) Energy Star-certified

11.11.5(b) Listed in the CEC Modernized Appliance Efficiency Database System (MAEDbS)

11.11.5(c) Provide a minimum of 70 pints of moisture removal per day for every 1000 sq. ft. of crawlspace floor area

11.11.5(d) Minimum 5-year manufacturer warranty

11.11.6 Flexible Duct

11.11.6(a) Ducts shall conform to National Fire Protection Association (NFPA) 90B and UL 181 (Class I).

11.11.6(b) Non-metallic insulated ducts with air-permeable core are not allowed.

11.12. Installation of an Airtight Sump Pump/Well Pit Cover within the Thermal/Pressure Boundary

11.12.1 Measure Effective Useful Life

11.12.1(a) LIHEAP: Not applicable

11.12.1(b) DOE: 5 years

11.12.2 Sump pump covers shall be:

11.12.2(a) Polyethylene structural foam construction

11.12.2(b) Solid, not perforated

11.12.2(c) Basin cap or pedestal cover type

11.12.2(c1) Access panel must be sealable for pedestal-type covers.

11.12.2(d) Equipped with pass-throughs for:

11.12.2(d1) Discharge pipe

11.12.2(d2) Vent pipe

11.12.2(d3) Electrical cords

11.12.2(e) Securable to the floor or existing basin

11.12.2(f) Shall be equipped with:

11.12.2(f1) A cover gasket

11.12.2(f2) A self-sealing drain, when the sump pit is designed for water to drain directly into the pit from the basement/crawlspace floor

11.12.3 Sealant

11.12.3(a) Latex sealants

11.12.3(a1) Latex, acrylic latex, and siliconized acrylic

11.12.3(a2) Conformance to ASTM C834

11.12.3(b) Elastomeric joint sealants

11.12.3(b1) Polysulfide, polyurethane, and silicone

11.12.3(b2) Conformance to ASTM C920

11.12.4 Vent Pipe

11.12.4(a) Minimum 3" ABS, PVC, or equivalent gas-tight pipe.

12. WARRANTY

12.1. All General Installation Guideline Warranties

12.1.1 Unless otherwise stated in item 11, warranties shall be:

12.1.1(a) Materials—1 year

12.1.1(b) Contractor—1 year

2. Carbon Monoxide Alarms

Table of Contents

1. **MEASURE OBJECTIVES** **2-1**

2. **INSTALL THIS MEASURE WHEN:** **2-1**
   - 2.1. Repair 2-1
   - 2.2. Install 2-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **2-1**

4. **INSTALLATION GUIDELINES** **2-1**
   - 4.1. General Requirements 2-1
     - *4.1.1 Location Requirements* *2-1*
     - *4.1.2 Clearances* *2-2*
     - *4.1.3 Hardwired CO Alarms* *2-3*
   - 4.2. Installation Procedure 2-3
     - *4.2.1 Existing Alarms* *2-3*
     - *4.2.2 Alarm Mounting* *2-3*

5. **MOBILE HOME–SPECIFIC** **2-3**
   - 5.1. Installation Requirements 2-3

6. **MULTI-FAMILY–SPECIFIC** **2-3**
   - 6.1. Installation Requirements 2-3

7. **DOE-SPECIFIC** **2-4**
   - 7.1. Assessment Requirements 2-4
   - 7.2. Installation Requirements 2-4

8. **POST-INSTALLATION GUIDELINES** **2-4**
   - 8.1. Quality Check 2-4
   - 8.2. Client Education 2-4
   - 8.3. Clean-Up and Disposal Requirements 2-4

9. **MATERIAL SPECIFICATIONS** **2-5**

10. **WARRANTY** **2-5**

Carbon Monoxide Alarms

1. MEASURE OBJECTIVES

1.1 Functioning carbon monoxide (CO) alarms are required to warn occupants of harmful CO levels in a building.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 A combustion appliance or fireplace is present or will be installed or

2.2.2 The dwelling has an attached garage or

2.2.3 An alarm is needed to meet Location Requirements or

2.2.4 An alarm is required by local jurisdiction or

2.2.5 An existing CO alarm:

2.2.5(a) Required: Is ≥5 years old or

2.2.5(b) Optional: Is ≥2 years old or

2.2.5(c) Date of manufacture cannot be determined or

2.2.5(d) Does not function properly when the "Test" button is pressed. (Do not replace batteries.)

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 An existing CO alarm:

3.1.1 Is operable and

3.1.2 Is <2 years old and

3.1.3 Meets Location Requirements

3.2 Installation would violate the Appendix E Health and Safety Requirements

3.3 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Location Requirements

4.1.1(a) CO alarms shall be installed on an interior wall whenever possible.

4.1.1(a1) Installation on a ceiling with insulation ≥R-11 is an alternative when there is no acceptable interior wall location and the ceiling does not have a presumed asbestos-containing textured ceiling.

4.1.1(a2) Installation on an exterior wall is not allowed.

4.1.1(b) The following locations require functioning CO alarms:

4.1.1(b1) Outside of and within 15' of all bedrooms and other areas used for sleeping (Fig. 2-1)

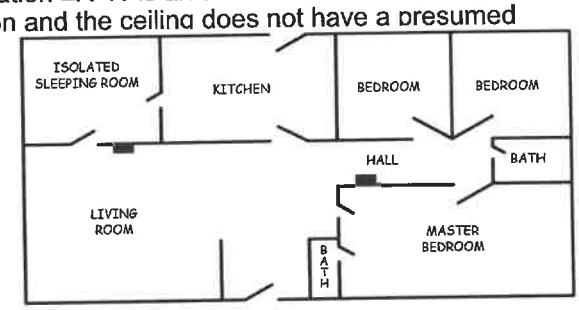

FIG. 2-1: CO ALARMS IN A ONE-STORY HOUSE (WITHIN 15' OF EACH BEDROOM)

4.1.1 (b2) Inside an area used for sleeping (including a garage, den, living room, etc.) if:

- There is no acceptable location to install the alarm outside the room or
- The sleeping area contains a combustion appliance, including a fireplace or insert

4.1.1 (b3) On each level (story) in dwellings with basements or multiple stories (Fig. 2-2):

- Basement location: On the wall near the entry to the stairs
- Other stories and habitable attic: On a wall in a central location

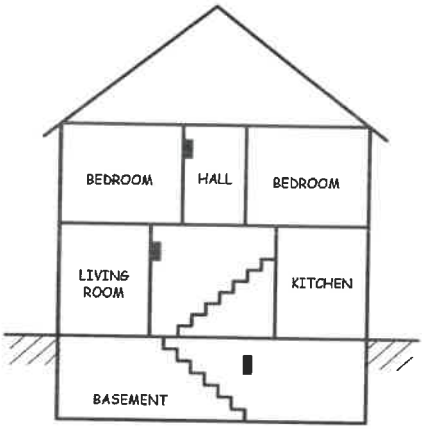

FIG. 2-2: CO ALARMS IN MULTI-STORY HOUSE

4.1.1 (c) Locations not allowed:

4.1.1 (c1) In a garage or unconditioned space, unless it is used for sleeping

- Exception: A CO alarm is required in a basement

4.1.1 (c2) In an appliance enclosure

4.1.1 (c3) Areas of extreme humidity, such as near a bath, shower, or laundry room

4.1.1 (c4) Areas of temperature extremes, such as:

- On the interior of an outside wall or
- On a ceiling with <R-11 insulation

4.1.1 (c5) In locations with limited air circulation, such as:

- Behind furniture or draperies, or behind a door in opened position
- Near an inside corner, in a vaulted ceiling, in an alcove or closet, etc.

4.1.1 (c6) In a storage area for household chemicals

4.1.1 (c7) In areas that are excessively greasy or dusty

4.1.1 (c8) On surfaces where asbestos-containing materials (ACM) or potential ACM will be disturbed

4.1.1 (c9) In locations specified by the manufacturer to be avoided

4.1.2 Clearances

4.1.2 (a) Install CO alarms:

4.1.2 (a1) 5'–6' above the floor

- Exception: The alarm may be mounted as low as 4' above the floor for adult occupants when:
  - An occupant is handicapped and using a wheelchair or
  - An occupant's height justifies a lower location

4.1.2 (a2) At least 1' away from the ceiling/wall junction

4.1.2 (a3) At least 3' away from:

- The air path of supply registers, return grilles, fresh air vents, and exhaust fans
- A door or opening to a moisture source, such as:
  - A bathroom that contains a bathtub or shower
  - A laundry room with a washer or sink

4.1.2 (a4) At least 5' horizontally from the following:

- Cooking appliances (gas or electric) (Fig. 2-3)

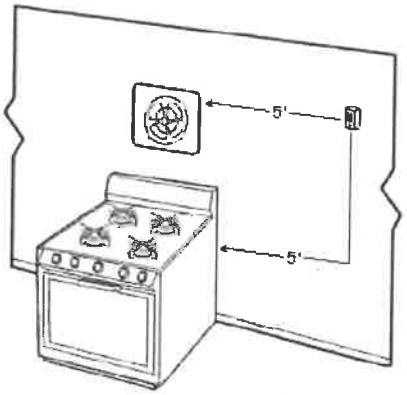

FIG. 2-3: MINIMUM 5' HORIZONTAL DISTANCE BETWEEN CO ALARM AND APPLIANCE

- Openable windows or outside doors
- Ceiling fans
- Drafty locations (such as shell leaks)
- A floor furnace, other heater, or water heater
- A source of chemical odor, such as a diaper pail or cat litter box

4.1.2(a5) Distances required by the manufacturer, which may be greater

4.1.3 Hardwired CO Alarms

4.1.3(a) New hardwired CO alarm systems shall only be installed when required for a hearing-impaired person or by the local jurisdiction (requires a program waiver).

4.1.3(b) Replacing an alarm in an existing hardwired CO alarm system is allowed when replacement with a battery-powered alarm is not feasible or not allowed by the local jurisdiction.

4.1.3(c) Installation shall be performed by an qualified technician.

4.1.3(d) The circuit powering the alarm(s) shall be 120-volt alternating current (AC), 60 Hz, and shall not be controlled by a switch, dimmer, ground fault circuit interrupter (GCFI), or arc fault circuit interrupter.

4.1.3(e) The alarm shall be mounted over a standard wiring junction box.

4.2. Installation Procedure

4.2.1 Existing Alarms

4.2.1(a) An existing alarm in an incorrect location shall be left in place.

4.2.1(a1) Batteries may be removed from an existing alarm to eliminate nuisance alarms if a new alarm is installed to provide adequate protection for that location.

4.2.2 Alarm Mounting

4.2.2(a) Mount the alarm securely so it cannot be detached without removing at least one screw.

4.2.2(b) If requested by a landlord or property owner, tamper-resistant mounting screws may be used for mounting.

4.2.3 The installation date shall be written in permanent ink on the alarm.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 Common area installation (e.g., in a boiler room, laundry room, hallway, etc. within the same thermal boundary as the dwelling units) for this measure is not allowed when only an individual unit will be served.

6.1.2(a) Exception: Installation is allowed when required by the local jurisdiction in conjunction with repair/replacement of a specific common area appliance.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is a DOE Health & Safety (H&S) measure.

7.1.1(a) DOE H&S measures must be installed when feasible, regardless of the funding source. If the client refuses the measure, or it cannot be physically installed due to a dwelling condition, the dwelling must be deferred.

7.1.2 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.4 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.5 When installing this measure as part of the Audit path work scope, a Measure SIR and Dwelling SIR are not required.

7.1.6 When installing this measure as part of the Priority List (PL) path work scope, this measure must be addressed before other PL measures are possible.

7.1.6(a) Mandatory PL H&S measures include: carbon monoxide (CO) alarms, CVA venting, kitchen exhaust, lead-safe weatherization, LHR-H&S support, mechanical ventilation, and smoke alarms.

7.1.7 Install CO alarms in every home where alarms are not present or are inoperable.

7.1.8 Replace functional CO alarms only when the existing alarm(s) are beyond the manufacturer's stated lifetime.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Each installed alarm shall be tested.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure-specific verbal and written instructions include:

8.2.2(a) CO and its effects on the human body

8.2.2(b) The symptoms associated with CO poisoning

8.2.3 Tamper-resistant CO alarm installations

8.2.3(a) The landlord or property owner will be provided a wrench for removal of tamper-resistant screws.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 4 years

9.1.2 DOE: Not applicable to this measure

9.2 Battery-powered CO alarms shall:

9.2.1 Be Underwriters Laboratories (UL)-tested and UL-listed to the latest American National Standards Institute/UL 2034 standard and on the state fire marshal's list of approved products

9.2.2 Be single-purpose alarms (CO only)

9.2.3 Be equipped with a non-rechargeable, non-removable, lithium-type (minimum 10-year life) battery

9.2.4 Have an electrochemical sensor and a digital readout that displays the current CO level as low as 10 parts per million

9.2.5 Provide audible and visual warning signals when an internal malfunction occurs (e.g., electrical short or failure), the sensor's life has expired, or the battery is at the end of its useful life

9.3 Hardwired CO alarms shall also:

9.3.1 Have factory-installed lithium battery back-up

9.3.2 Be interconnected when required by the local jurisdiction

10. WARRANTY

10.1 Manufacturer—10 years

10.2 Contractor—1 year

3. Smoke Alarms

Table of Contents

1. **MEASURE OBJECTIVES** 3-1

2. **INSTALL THIS MEASURE WHEN:** 3-1
   - 2.1. Repair 3-1
   - 2.2. Install 3-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** 3-1

4. **INSTALLATION GUIDELINES** 3-1
   - 4.1. General Requirements 3-1
     - *4.1.1 Location Requirements* *3-1*
     - *4.1.2 Clearances (Ionization or Photoelectric Smoke Alarms)* *3-3*
     - *4.1.3 Hardwired Smoke Alarms* *3-4*
     - *4.1.4 Interconnected Alarms* *3-4*
   - 4.2. Installation Procedure 3-4
     - *4.2.1 Existing Alarms* *3-4*
     - *4.2.2 Alarm Mounting* *3-4*
     - *4.2.3 Installation Date* *3-4*
     - *4.2.4 Replacement Date* *3-4*
     - *4.2.5 Battery Compartment* *3-5*

5. **MOBILE HOME–SPECIFIC** 3-5
   - 5.1. Installation Requirements 3-5

6. **MULTI-FAMILY–SPECIFIC** 3-5
   - 6.1. Installation Requirements 3-5

7. **DOE-SPECIFIC** 3-5
   - 7.1. Assessment Requirements 3-5
   - 7.2. Installation Requirements 3-5

8. **POST-INSTALLATION GUIDELINES** 3-6
   - 8.1. Quality Check 3-6
   - 8.2. Client Education 3-6
     - *8.2.1 All Alarm Installations* *3-6*
     - *8.2.2 Tamper-Resistant Alarm Installations* *3-6*
   - 8.3. Clean-Up and Disposal Requirements 3-6

9. MATERIAL SPECIFICATIONS 3-6

10. WARRANTY 3-6

Smoke Alarms

1. MEASURE OBJECTIVES

1.1 Functioning smoke alarms are required to warn occupants of fire or smoke in a building.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 A smoke alarm is needed to meet Location Requirements or

2.2.2 A smoke alarm is required by the local jurisdiction or

2.2.3 An existing smoke alarm:

2.2.3(a) Required: Is ≥10 years old or

2.2.3(b) Optional: Is ≥8 years old or

2.2.3(c) Date of manufacture cannot be determined or

2.2.3(d) Does not function properly when the "Test" button is pressed. (Do not replace batteries.)

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 An existing smoke alarm:

3.1.1 Is operable and

3.1.2 Is <8 years old and

3.1.3 Meets Location Requirements

3.2 Installation would violate the Appendix E Health and Safety Requirements

3.3 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Location Requirements

4.1.1(a) Smoke alarms shall be installed:

4.1.1(a1) On a ceiling with insulation ≥R-11 whenever possible (Fig. 3-1)

4.1.1(a2) On an interior wall, when allowed by manufacturer, if insulated ceiling installation is not possible or

4.1.1(a3) On an exterior wall, when allowed by manufacturer, when no other suitable location is available

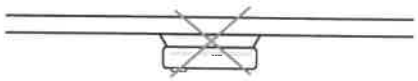

FIG. 3-1: AVOID INSTALLING SMOKE ALARMS ON CEILINGS WITH LESS THAN R-11 INSULATION

4.1.1 (b) The following locations require functioning smoke alarms:

4.1.1 (b1) Sleeping rooms/areas

- A properly functioning smoke alarm shall be present in each of the following locations (Fig. 3-2):
  - Inside each bedroom or separate area used for sleeping (den, family room, etc.) and
  - Outside each sleeping area in the immediate vicinity of the bedrooms (within 15')

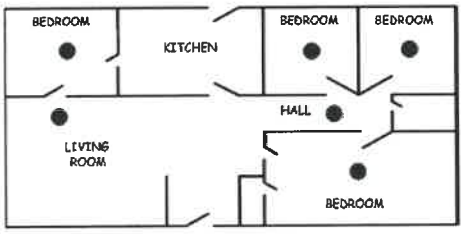

FIG. 3-2: REQUIRED SMOKE ALARM LOCATIONS

4.1 1 (b2) Basements and multiple stories

- In addition to sleeping area protection, a smoke alarm shall be installed on each of the other levels (stories) of the dwelling, including basement and habitable attic (Fig. 3-3).
- In a split-level dwelling (less than one full story between levels) without a door between levels, a smoke alarm on the upper level satisfies the protection requirement for the adjacent lower level.
- Basement smoke alarm shall be installed on the ceiling near the entry to the stairs.

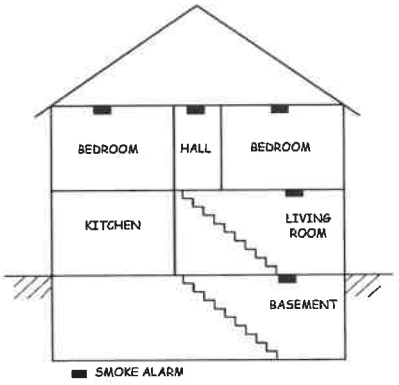

FIG. 3-3: SMOKE ALARMS IN TWO-STORY HOUSE

4.1.1 (b3) Stairway locations

- When there is a stairway leading from one floor to another, an alarm is required at the top of the stairway.
- The alarm must be in a location where an intervening door or obstruction will not prevent rising smoke from reaching the alarm.
- When the alarm in the upstairs hallway (located within 15' of the upstairs bedrooms) can be placed at the top of the stairway, a second alarm is not required in that hallway.

4.1.1 (c) Mounting location by ceiling type

4.1.1 (c1) Flat ceiling

- The alarm shall be located as close as possible to the center of the room or hallway.
- An alarm on the ceiling shall be at least 4" from an adjacent wall.
- Wall installation shall have the top edge of the alarm 4"–12" below the ceiling.

4.1.1 (c2) Peaked (A-frame) ceiling

- The alarm shall be installed on the ceiling, near the peak, and located:
  - At least 4" vertically below the peak
  - Above a plane created by a 6' horizontal line extending ceiling-to-ceiling (Fig. 3-4)

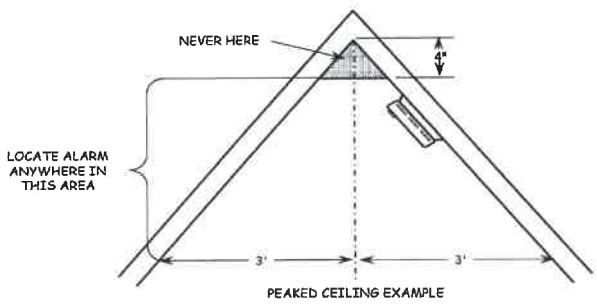

FIG. 3-4: ALARM PLACEMENT ON PEAKED CEILING

4.1.1 (c3) Sloped (cathedral) ceiling

- The alarm shall be installed on the ceiling or wall and located:
  - At least 4" vertically below the peak
  - Above the plane created by a 3' horizontal line extending wall-to-ceiling (Fig. 3-5)

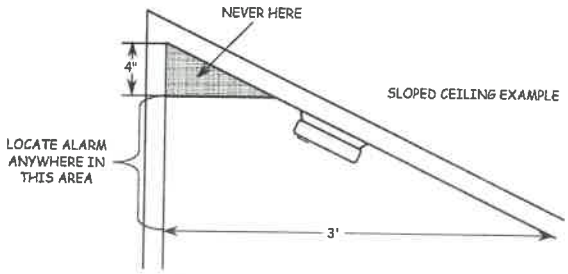

FIG. 3-5: ALARM PLACEMENT ON SLOPED CEILING

4.1.1 (c4) Coffered ceiling (tray-shaped with sunken panels)

- The alarm shall be installed on:
  - The highest portion of the ceiling or
  - The sloped portion of the ceiling within 12" vertically down from the highest point

4.1.1 (c5) Ceiling with joists or beams

- For a ceiling with beam depth less than 10% of the ceiling height, alarms shall be located on the bottom of a beam or as specified by the local jurisdiction.
- For a ceiling with greater beam depths, alarms shall be located in accordance with the National Fire Protection Association (NFPA) 72 §17.7.3.2.4 and the requirements of the local jurisdiction.

4.1.1 (d) Locations not allowed (Fig. 3-6)

4.1.1 (d1) In a garage or unconditioned space, unless it is used for sleeping

4.1.1 (d2) In a kitchen or insect-infested area

4.1.1 (d3) Over an electrical junction box (if the alarm is battery-powered)

4.1.1 (d4) Areas that:

- Are excessively greasy, dusty, or humid
- Are behind furniture or draperies, near an inside corner, in an alcove or closet, etc.
- May get hotter than 100°F or colder than 40°F

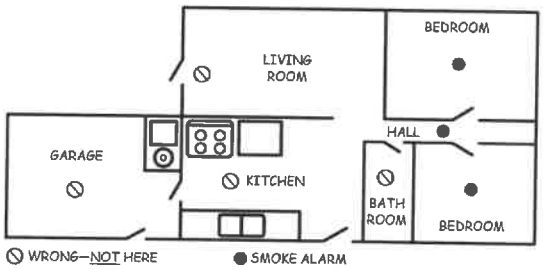

FIG. 3-6: CORRECT AND INCORRECT SMOKE ALARM LOCATIONS IN A SINGLE-STORY HOME

4.1.2 Clearances (Ionization or Photoelectric Smoke Alarms)

4.1.2 (a) The alarm shall be

4.1.2 (a1) ≥1' horizontal distance from fluorescent lights because electric "noise" from the ballast may cause nuisance alarms.

4.1.2 (a2) ≥3' horizontal distance from all of the following:

- The door or opening to a moisture source (e.g., bathroom with bathtub or shower)
- A forced air return grille or supply register (and outside the direct flow from the register)
- The intake of a whole-house exhaust fan, including a mechanical ventilation unit
- The blades of a ceiling fan
- An openable window or entrance door
- A source of draft or air movement

4.1.2(a3) A horizontal distance of 20' from open combustion appliances (e.g., space and water heaters, cooking appliances)

- Exception: In areas where a 20' distance is not possible (e.g., modular/ mobile or small home), the smoke alarm shall be placed as far away as possible, but no closer than 10'.
  - When the distance from cooking appliances is less than 20', a photoelectric alarm must be installed.

4.1.3 Hardwired Smoke Alarms

4.1.3(a) New hardwired smoke alarm systems shall only be installed when required by the local jurisdiction (requires a program waiver).

4.1.3(b) Replacing an alarm in an existing hardwired smoke alarm system is allowed when replacement with a battery-powered alarm is not feasible or not allowed by the local jurisdiction.

4.1.3(c) Installation shall be performed by an qualified technician.

4.1.3(d) The circuit powering the alarm(s) shall be 24-hour, 120-volt alternating current (AC), 60 Hz, and shall not be controlled by a switch, dimmer, ground fault circuit interrupter (GCFI), or arc fault circuit interrupter.

4.1.3(e) The alarm shall be mounted over a standard wiring junction box.

4.1.4 Interconnected Alarms

4.1.4(a) If more than one hardwired alarm is installed, they shall be interconnected, if required by code.

4.1.4(b) If multiple interconnected hardwired smoke alarms are present and at least one within the group will be replaced:

4.1.4(b1) The replacement alarm shall be compatible with the existing interconnection system or

4.1.4(b2) All of the interconnected smoke alarms shall be replaced when required by the local jurisdiction. (This condition shall be documented in the client file.)

4.2. Installation Procedure

4.2.1 Existing Alarms

4.2.1(a) An existing alarm in an incorrect location shall be left in place.

4.2.1(a1) Batteries may be removed from an existing alarm to eliminate nuisance alarms if a new alarm is installed to provide adequate protection for that location.

4.2.2 Alarm Mounting

4.2.2(a) The mounting plate shall be secured to the ceiling or wall with at least two screws.

4.2.2(a1) Self-drilling or expansion anchors shall be used when screws do not penetrate solid wood.

4.2.2(b) If requested by a landlord or property owner, tamper-resistant mounting screws may be used for mounting.

4.2.2(c) Attach the alarm to the mounting plate.

4.2.3 Installation Date

4.2.3(a) The date of installation shall be written in permanent ink in the space provided on the alarm.

4.2.4 Replacement Date

4.2.4(a) The date by which the alarm should be replaced shall be written with permanent ink on the bottom or side of the alarm (as described by manufacturer).

4.2.4(b) The replacement date is the date of installation plus the expected life of the alarm.

4.2.4(c) The expected life is 10 years or as stated by the manufacturer, if greater.

4.2.5 Battery Compartment

4.2.5(a) The alarm manufacturer's original battery shall be used, and the battery compartment shall not be modified.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.1(a) In mobile homes that have ceilings with <R-11 insulation, smoke alarms shall only be installed on interior walls.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 Common area installation (e.g., in a boiler room, laundry room, hallway, etc. within the same thermal boundary as the dwelling units) is not allowed when only an individual unit will be served.

6.1.2(a) Exception: Installation is alllowed when required by the local jurisdiction in conjunction with repair/replacement of a specific common area appliance.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is a DOE Health & Safety (H&S) measure.

7.1.1(a) DOE H&S measures must be installed when feasible, regardless of the funding source. If the client refuses the measure, or it cannot be physically installed due to a dwelling condition, the dwelling must be deferred.

7.1.2 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.4 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.5 When installing this measure as part of the Audit path work scope, a Measure SIR and Dwelling SIR are not required.

7.1.6 When installing this measure as part of the Priority List (PL) path work scope, this measure must be addressed before other PL measures are possible.

7.1.6(a) Mandatory PL H&S measures include: carbon monoxide (CO) alarms, CVA venting, kitchen exhaust, lead-safe weatherization, LHR-H&S support, mechanical ventilation, and smoke alarms.

7.1.7 Install smoke alarms in every home where alarms are not present or are inoperable.

7.1.8 Replace functional smoke alarms only when the existing alarm(s) are beyond the manufacturer's stated lifetime.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Each installed alarm shall be tested.

8.2. Client Education

8.2.1 All Alarm Installations

8.2.1(a) Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Tamper-Resistant Alarm Installations

8.2.2(a) The landlord or property owner will be provided a wrench for removal of tamper-resistant screws.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 4 years

9.1.2 DOE: Not applicable to this measure

9.2 All alarms shall be:

9.2.1 Listed to Underwriters Laboratories (UL) 217

9.2.2 Single-purpose alarm (smoke only)

9.2.3 NFPA-approved photoelectric or ionization-type

9.2.4 On the state fire marshal's list of approved smoke alarms and have these features:

9.2.4(a) Date of manufacture on the alarm label

9.2.4(b) Test and hush buttons to check alarm electronics and temporarily silence unwanted nuisance alarms

9.2.4(c) End-of-life feature that indicates the alarm must be replaced

9.3 Battery-powered alarms shall have non-replaceable, non-removable batteries capable of powering the alarm for a minimum of 10 years.

9.4 Hardwired alarms:

9.4.1 Shall be 120-volt AC and listed and labeled according to UL 217.

9.4.2 Must have factory-installed lithium battery backup

9.4.3 Will be interconnectable when required, as described in Interconnected Alarms

9.4.3(a) When a hardwired, interconnected alarm is replaced, the replacement alarm shall be compatible with the existing system.

10. WARRANTY

10.1 Manufacturer—10 years

10.2 Contractor—1 year

4. Heating and Cooling

Table of Contents

1. **MEASURE OBJECTIVES** 4-1

2. **INSTALL THIS MEASURE WHEN:** 4-1

2.1. Repair/Install 4-1

2.2. Repair 4-1

2.3. Install 4-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** 4-1

3.1. Do Not Repair/Install 4-1

4. **INSTALLATION GUIDELINES** 4-2

4.1. General Requirements 4-2

4.1.4 Primary Heating and/or Cooling Source *4-2*

4.1.8 New HVAC Appliances *4-3*

4.1.9 LIHEAP Weatherization Repair and Replacement Policy *4-3*

4.1.10 Energy Crisis Intervention Program (ECIP) Repair and Replacement Policy *4-3*

4.1.11 Change of Heating/Cooling Type *4-4*

4.1.12 Fuel Switching *4-4*

4.1.13 Accessibility and Clearances *4-4*

4.1.13(e) Egress requirements 4-4

4.1.14 Electrical Supply and Grounding *4-4*

4.1.15 Unit Protection *4-5*

4.1.16 Refrigerant-Based Systems *4-5*

4.1.16(d) Refrigerant recovery 4-6

4.1.17 Duct-Based Systems *4-6*

4.1.17(a) Title 24 verification by a HERS Rater 4-6

4.1.18 Recall Considerations *4-6*

4.1.21 Heating and Cooling Measures Directory *4-7*

4.2. Central AC/Central Heat Pump 4-9

4.2.1 General Requirements *4-9*

4.2.2 Procedure *4-9*

4.2.2(a) Repair 4-9

4.2.2(b) Install 4-11

4.3. Ductless Mini-Split Heat Pump 4-13

4.3.1 General Requirements *4-13*

4.3.2 Procedure *4-13*
4.3.2(a) Repair 4-13
4.3.2(b) Install 4-13
4.4. Wall/Window Air Conditioner 4-14
4.4.1 General Requirements *4-14*
4.4.1(a) Clearances 4-14
4.4.1(b) Condensate drain 4-14
4.4.2 Procedure *4-15*
4.4.2(a) Repair 4-15
4.4.2(b) Install 4-15
4.5. Evaporative Cooling 4-16
4.5.1 General Requirements *4-16*
4.5.1(c) Setbacks and clearances 4-16
4.5.1(d) Exhaust ventilation 4-17
4.5.2 Procedure *4-18*
4.5.2(a) Repair 4-18
4.5.2(b) Install 4-20
4.6. Central Furnace 4-23
4.6.1 General Requirements *4-23*
4.6.2 Procedure *4-23*
4.6.2(b) Install 4-24
4.7. Floor, Wall, and Freestanding Furnace 4-25
4.7.1 General Requirements *4-25*
4.7.1(a) Furnace design and performance 4-25
4.7.1(b) Bedroom locations 4-25
4.7.1(c) Fire hazards 4-25
4.7.1(d) Clearances 4-25
4.7.1(e) CVA 4-26
4.7.2 Procedure *4-26*
4.7.2(a) Repair 4-26
4.7.2(b) Install 4-26
4.8. Wood Stove/Fireplace Insert 4-27
4.8.1 General Requirements *4-27*
4.8.2 Procedure *4-28*
4.8.2(a) Repair 4-28
4.8.2(b) Install 4-28
4.9. Appliance Enclosure, Platform, and Plenum 4-30
4.9.1 Enclosures *4-30*
4.9.2 Attic Service Platforms *4-30*

4.9.3 Exterior Equipment Platforms *4-30*
4.9.4 Platform Returns and Plenums *4-30*

5. MOBILE HOME–SPECIFIC **4-31**
5.1. Installation Requirements 4-31
5.1.4 Mobile Home Air Distribution System for Ducted Heating/Cooling Types *4-31*
5.1.4(a) Existing duct system and new ductwork 4-31
5.2. Mobile Home Central AC/Heat Pump 4-31
5.2.1 Mobile Home Self-Contained AC *4-31*
5.2.2 Electrical Wiring, Grounding, and Accessibility *4-31*
5.3. Mobile Home Evaporative Cooling 4-31
5.3.1 Window-/Wall-Mount Units *4-31*
5.3.1(a) Window/wall exterior clearances 4-31
5.3.1(b) Window/wall location 4-32
5.3.2 Roof-Mount Units *4-32*
5.4. Mobile Home Central Furnace 4-32
5.4.2 Location Restrictions *4-32*
5.4.3 Preparation of Appliance Enclosure, Platform, and Plenum *4-33*
5.4.4 CVA *4-33*
5.4.5 Appliance Vent System *4-33*
5.5. Mobile Home Floor/Wall and Freestanding Furnace 4-33
5.6. Mobile Home Wood Stove/Fireplace Insert 4-34
5.6.2 CVA *4-34*
5.6.3 Crawlspace Ventilation *4-34*

6. MULTI-FAMILY–SPECIFIC **4-34**
6.1. Installation Requirements 4-34

7. DOE-SPECIFIC **4-34**
7.1. Assessment Requirements 4-34
7.1.9 Cooling Systems *4-35*
7.1.10 Heating Systems *4-35*
7.1.10(a) Primary Systems 4-35
7.1.10(b) Gas Log or Wood-burning Stove or Fireplace Insert 4-36
7.1.10(c) Secondary Systems 4-36
7.1.10(d) Mobile Home Combustion Appliances 4-36
7.2. Installation Requirements 4-37

8. POST-INSTALLATION GUIDELINES **4-41**
8.1. Quality Check 4-41
8.1.5 CAS Check (Combustion units) *4-41*

8.2. Client Education 4-41
8.3. Clean-Up and Disposal Requirements 4-42

9. MATERIAL SPECIFICATIONS 4-42

10. WARRANTY 4-49

Heating and Cooling

1. MEASURE OBJECTIVES

1.1 Properly functioning heating and cooling appliances provide economical temperature control, reduce fuel consumption, and reduce pollution.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair/Install

2.1.1 The heating and/or cooling appliance provides primary heating and/or primary cooling for the dwelling unit and

2.1.2 Agency assessment identifies an operational or combustion appliance safety (CAS) issue (or inoperability) and a qualified/licensed technician determines that the heating and/or cooling appliance requires repair or replacement or

2.1.3 Absence of an operable heating and/or cooling appliance poses imminent harm to the safety and well-being of the occupants

2.2. Repair

2.2.1 Repair costs are <50% of replacement costs

2.2.2 Unsafe secondary units, including space heaters, must be repaired, removed or rendered inoperable, or deferral is required

2.3. Install

2.3.1 Repair costs are ≥50% of replacement costs or

2.3.2 Parts are obsolete and no longer available or

2.3.3 An energy audit shows replacement or energy efficiency upgrade is justified with a savings-to-investment ratio (SIR) ≥1.0

2.3.4 Replacement for fuel switching is justified in accordance with the Appendix D Energy Audit/ Priority List Protocol

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1. Do Not Repair/Install

3.1.1 An operable primary heating/cooling source exists elsewhere in the dwelling

3.1.2 A repair can be completed by installing an electrically commutated motor (ECM) per Section 5 ECM Blower Motors

3.1.3 Accessibility or clearance requirements cannot be met, per Section 1 General Installation Guidelines, Attic & Crawlspace Accessibility Requirements or heating and cooling measure clearance requirements

3.1.4 Removal of the existing unit will create structural damage, dwelling siding is decayed or damaged, or the opening cannot properly support a new unit without substantial reconstruction

3.1.5 The installation location is unsafe and cannot be corrected per Section 1 General Installation Guidelines, Limited Home Repair

3.1.5(a) Unsafe locations may include, but are not limited to, those with pest or animal infestation, deteriorated framing members, environmental hazards, water damage, etc.

3.1.6 Ducted heating and/or cooling appliance has ducts that are disconnected, damaged, deteriorated, or abandoned, or do not provide adequate airflow and it is not feasible to bring the duct system into compliance with Section 8 Ducting Repair, Sealing, and Insulation

3.1.7 Repair/installation would violate the Appendix E Health & Safety Requirements

3.1.8 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 The policies in Appendix E Health and Safety Requirements, Identification of Appliance Issues shall apply to all heating and cooling repairs/replacements.

4.1.1(a) Before any heating or cooling system may be repaired/replaced, a qualified technician/ licensed contractor must perform a diagnostic inspection to determine if the appliance is defective or requires repair.

4.1.1(b) It shall be determined if a cleaning and adjustment (appliance maintenance) would resolve an appliance performance or health and safety issue before the appliance is repaired or replaced.

4.1.1(c) Documentation justifying any appliance replacement with a cost comparison between replacement and repair must be maintained in the client file.

4.1.1(d) If permits are required for heating/cooling system work, and are coordinated and secured by Agency staff, they shall be billed to Other Program Cost Wages – Field Staff. The permit fees and any subcontractor cost associated with pulling of the permit shall be billed to the Permits line item under Assessments/Diagnostics.

4.1.2 Heat Sources

4.1.2(a) No home may be left without a safe primary heating system. If unable to meet this requirement, deferral is required.

4.1.2(b) When dwelling deferral is necessary, provide information to the client on the CSD 542 Deferral Form, describing conditions that must be met in order for weatherization to resume.

4.1.2(b1) A copy of this notification must also be placed in the client file.

4.1.3 Complete Design Before Installation

4.1.3(a) Before installation of any heating and/or cooling appliance, confirm that appliance location and support, appliance venting, combustion ventilation air (CVA), clearances, gas piping, electrical requirements, and all other feasibility criteria will be met for the replacement unit.

4.1.4 Primary Heating and/or Cooling Source

4.1.4(a) The primary heating and/or cooling source (one unit per dwelling) shall be repaired or replaced.

4.1.4(a1) Exception: Unsafe secondary units, including space heaters, must be repaired, removed, or rendered inoperable, or deferral is required.

4.1.4(a2) If there is an operable secondary system, a defective primary heating and/or cooling system may still be repaired/replaced.

4.1.4(a3) Primary heating and/or cooling appliances are defined as follows:

- The appliance that provides conditioned air for the dwelling's primary common living area (i.e., occupied during waking hours) or
- The unit relied upon most for heating and/or cooling by the client or
- The unit that provides conditioned air to the largest volume of living space or
- The unit with the largest heating/cooling capacity/output (British thermal units [Btuh] or tons)
  - Exception: Portable heaters shall not be considered a primary heat source.

4.1.4(b) A multi-story home may be constructed with a synchronized system (i.e., one forced air unit [FAU] and duct system per story, designed to run concurrently). Repair or replacement of components to the synchronized system may be allowed with approval of a CSD programmatic waiver only.

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4.1.5 Audited Measures

4.1.5(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.5(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.6 HERS Rater Verification

4.1.6(a) In all climate zones, duct leakage must be verified by a HERS Rater when replacing a package unit, air handler, AC condenser, AC evaporator coil, heating coil, furnace heat exchanger, or more than 25' of ducts in unconditioned space in a conventional home.

4.1.7 Replace HVAC Appliances Before Duct Sealing

4.1.7(a) When an HVAC appliance will be replaced, the replacement must be completed before duct sealing work is done.

4.1.8 New HVAC Appliances

4.1.8(a) For new installations, all parts shall be new. Do not reuse existing parts.

4.1.8(a1) Exception: Vent components may be reused if in they are good condition and will meet current code requirements.

4.1.8(b) A damaged or defective appliance shall not be installed.

4.1.9 LIHEAP Weatherization Repair and Replacement Policy

4.1.9(a) An existing primary heating and/or cooling appliance that is "red tagged," has a qualifying CAS issue, or is inoperable may quality for repair or replacement.

4.1.9(b) Inoperable primary or non-existing heating and/or cooling may be installed or replaced if absence of the heating and/or cooling appliance poses imminent harm to the safety and well being of the occupants.

4.1.10 Energy Crisis Intervention Program (ECIP) Repair and Replacement Policy

4.1.10(a) Appliance Repair/Replacement Criteria

4.1.10(a1) The repair or replacement of a heating and/or cooling appliance qualifies under ECIP if it has a hazardous condition that poses a direct risk of fire or dangerous indoor air quality, including:

- High carbon monoxide (CO) levels, gas leak, or cracked or defective heat exchanger per Appendix A Combustion Appliance Safety Protocol
- A condition that violates a significant state or local building code including improper clearances, inadequate combustion ventilation air, or non-conforming location and/or venting
- A refrigerant leak
- A condition that violates a significant state or local building code, e.g., a wood-burning stove in a mobile home that draws combustion air from the living space
- Another hazardous condition, upon the preapproval of CSD

4.1.10(b) Heating and/or Cooling Hardship Cases:

4.1.10(b1) The replacement of a heating and/or cooling appliance qualifies under ECIP if using the existing appliance creates a hardship, including:

- A wood-burning stove in the home of an elderly or disabled occupant who cannot physically handle the fuel
- There is no heating or cooling appliance present

4.1.10(c) Non-existent or Inoperable Appliances

4.1.10(c1) A non-existent or wholly inoperable heating and/or cooling appliance may be repaired, replaced, or installed when the applicant meets at least one of the following requirements:

- An occupant has a qualifying "medical condition" that requires temperature control. The condition must be verified by a doctor's recommendation or other objective evidence gathered at the time of application.
- An occupant is a member of a vulnerable population as identified in the LIHEAP Local Plan and the absence of heating and/or cooling creates an emergency health and safety need.

4.1.11 Change of Heating/Cooling Type

4.1.11(a) Replacement of a heating or cooling system with a different type of unit (e.g., a ductless mini-split heat pump or a unitary system) shall be allowed under the following conditions:

4.1.11(a1) When an energy audit is conducted (with the SIR ≥1.0) per Appendix D Energy Audit/Priority List Protocol or

4.1.11(a2) By approved CSD waiver

4.1.12 Fuel Switching

4.1.12(a) Fuel conversion from a non-electric to electric appliance is allowed for energy efficiency or for H&S when an energy audit is conducted per Appendix D Energy Audit/Priority List Protocol and Section 1 General Installation Guidelines, Fuel Switching Policy.

4.1.12(b) An unused appliance gas line valve shall be capped.

4.1.13 Accessibility and Clearances

4.1.13(a) The appliance shall meet the clearance requirements described in the Appendix A Combustion Appliance Safety Protocol.

4.1.13(b) Equipment shall be accessible for inspection, service, repair, and replacement without removing permanent construction.

4.1.13(c) Heating, ventilation, and air conditioning (HVAC) units shall not be obstructed by landscaping, structures, etc.

4.1.13(d) If located in an attic or crawlspace, the heating/cooling unit shall meet the following clearance requirements:

4.1.13(d1) A minimum access opening of 22" x 30" with an unobtructed passeway large enough to remove the largest appliance and no more than 20' from the appliance

4.1.13(d2) A minimum working area of 30" x 30" at the front or service side of the appliance

4.1.13(e) Egress requirements

4.1.13(e1) See Section 1 General Installation Guidelines, Window Egress (Conventional Homes).

4.1.14 Electrical Supply and Grounding

4.1.14(a) If an electrical upgrade is required beyond the standard scope of HVAC installation, electrical work shall be performed by a licensed electrician.

4.1.14(b) The electrical outlet and circuit must:

4.1.14(b1) Comply with Section 1 General Installation Guidelines, Electrical Guidelines and Section 1 General Installation Guidelines, Grounding Guidelines, manufacturer's requirements, and local code

4.1.14(b2) Have adequate current capacity, be grounded, and have the correct polarity

4.1.14(b3) Have no evidence of hazardous conditions (e.g., charring, frayed insulation, loose wires or box, etc.)

4.1.14(b4) Have overcurrent protection (i.e., fuse or breaker)

4.1.14(b5) Be on the supply side of the disconnect switch

4.1.14(b6) Have a receptacle that:

- Conforms to manufacturer's instructions and local code
- Matches the plug on the unit's power cord
- Be located within sight of the equipment
- Be on the roof, adjacent to the equipment (if the unit is roof-mounted)

4.1.14(c) With outlets of ≤120 volts, plug the unit into a dedicated receptacle when required by the manufacturer.

4.1.14(d) For outlets of ≥208 volts, the unit must have a dedicated receptacle outlet.

4.1.14(e) If allowed per the appliance manufacturer's instructions, an extension cord may be used.

4.1.14(e1) Cord specifications must match or exceed manufacturer's instructions.

4.1.14(e2) Cords shall not be draped over a countertop or furnishings in a manner that:

- Allows children to reach and pull on them
- Creates a tripping hazard

4.1.14(f) Additional electrical requirements for central air conditioner (AC), heat pump, and furnace

4.1.14(f1) Voltage drop shall be within manufacturer specifications.

4.1.14(f2) Blower amperage shall not exceed manufacturer full load amperage.

4.1.14(f3) Compressor amperage shall not exceed manufacturer's specification.

4.1.14(f4) Blower compartment safety switch operation will be verified.

4.1.14(f5) Emergency heat circuit functions will be verified for heat pumps.

4.1.14(f6) Branch circuit protection

- AC equipment shall be provided with overcurrent protection and a means of disconnecting in accordance with the and local code.
- The overcurrent protection device shall be in compliance with the AC equipment nameplate.

4.1.14(f7) Service disconnect

- The unit shall be connected to a circuit with a service disconnect (Fig. 4-1) and shall be:
  - Located within sight of, and readily accessible from, the AC equipment, or as required by local code
  - Installed on or within the AC equipment

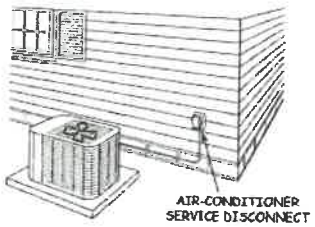

FIG. 4-1: SERVICE DISCONNECT

4.1.15 Unit Protection

4.1.15(a) Units subject to mechanical damage shall be protected.

4.1.15(b) Unit shall be level, stable, secured to ductwork, and be attached to base to prevent movement (with seismic straps, when required by local code).

4.1.15(c) When an AC is repaired or replaced, locking caps shall be installed on accessible refrigerant service valves.

4.1.16 Refrigerant-Based Systems

4.1.16(a) Refrigerant-carrying components (compressor and coils) shall only be moved, adjusted, repaired, or charged by a qualified technician.

4.1.16(b) Refrigerant lines shall:

4.1.16(b1) Be properly sized

4.1.16(b2) Provide the rated seasonal energy efficiency ratio for the combination condenser and evaporator coil match, per the Air-Conditioning, Heating, and Refrigeration Institute (AHRI) directory

4.1.16(b3) Be routed, supported, and secured to house in a manner that protects the line from damage by workers or occupants

- If the line is located where damage could result from contact, install a rigid sleeve that provides protection

4.1.16(b4) Be installed without kinks, crimps, or excessive bends

4.1.16(b5) Be insulated, sealed, and installed with ultraviolet-resistant, code-approved line set protection

4.1.16(c) Refrigerant charging

4.1.16(c1) The refrigerant system shall be properly charged using the methods specified by Title 24 for home energy rating system (HERS) verification.

4.1.16(c2) Before adjusting refrigerant, verify that the system is leak-free, airflow is correct, and temperatures are in the proper range for testing.

4.1.16(c3) Non-condensable gas and moisture shall be bled from the refrigerant circuit using a vacuum pump.

4.1.16(c4) In climate zones 2 and 8–15, when a new or replacement AC or heat pump is installed, or when the condenser coil or a refrigerant-containing component is installed, the correct refrigerant charge must be measured by the installer and verified by a HERS Rater.

4.1.16(d) Refrigerant recovery

4.1.16(d1) When refrigerant lines will be disconnected, refrigerant will be recovered in accordance with Environmental Protection Agency (EPA) regulation 40 Code of Federal Regulations (CFR) 608 by a licensed contractor.

4.1.17 Duct-Based Systems

4.1.17(a) Title 24 verification by a HERS Rater

4.1.17(a1) Duct leakage testing

- In all climate zones, duct leakage must be verified by a HERS Rater when replacing a package unit, air handler, AC condenser, AC evaporator coil, heating coil, furnace heat exchanger, or more than 25' of ducts in unconditioned space.

4.1.17(a2) Minimum airflow and maximum fan wattage

- In all climate zones, when an entirely new space-conditioning system is installed (all equipment and ducts replaced) or 75% of the duct system is replaced, minimum airflow and maximum fan watt draw must be verified.

4.1.18 Recall Considerations

4.1.18(a) A current list of recalled heating and/or cooling appliances is available at https://www.cpsc.gov/Recalls/.

4.1.18(b) Certain nitrogen oxide (NOx) rod furnaces have been identified as being dangerous, and a list of the recalled units is provided in Appendix A Combustion Appliance Safety Protocol.

4.1.18(c) An attempt must be made to have the manufacturer pay for repair or replacement of the potentially dangerous appliance. If reimbursement from the manufacturer for a recalled appliance is not possible, a CSD waiver shall be requested.

4.1.18(d) When an FAU is repaired or replaced by the manufacturer at no cost, the weatherization contractor shall be reimbursed only for costs actually incurred, generally limited to ancillary components and installation labor.

4.1.19 Roof-Mount Appliances

4.1.19(a) The roof and support frame or curb shall be structurally adequate to properly support the installed equipment (Fig. 4-2).

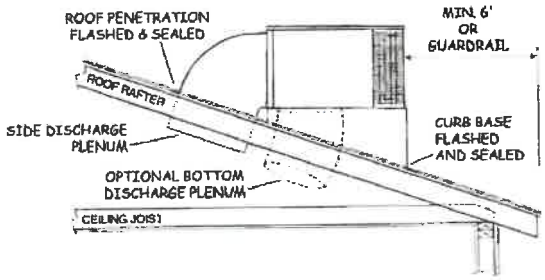

FIG. 4-2: ROOF-MOUNT APPLIANCES

4.1.19(b) Curb base and exposed roof penetrations shall be properly installed, flashed, and sealed watertight.

4.1.19(c) Roofing materials shall be in good condition and not in need of repair or replacement.

4.1.20 Repair of Roof, Walls, and Floors Following Heating/Cooling Unit Installation

4.1.20(a) Any holes or damage to the roof/wall/floor resulting from installation or removal of an HVAC unit shall be repaired to:

4.1.20(a1) Match the plane of the adjacent material

4.1.20(a2) Match the texture of, and blend with, surrounding surfaces

4.1.21 Heating and Cooling Measures Directory

- Central AC/Central Heat Pump
- Ductless Mini-Split Heat Pump
- Wall/Window Air Conditioner
- Evaporative Cooling
- Central Furnace
- Floor, Wall, and Freestanding Furnace
- Wood Stove/Fireplace Insert
- Appliance Enclosure, Platform, and Plenum
- Mobile Home Central AC/Heat Pump
- Mobile Home Evaporative Cooling
- Mobile Home Central Furnace
- Mobile Home Floor/Wall and Freestanding Furnace
- Mobile Home Wood Stove/Fireplace Insert

4.1.22 Table 4-1 provides a reference for specific measures and activities.

TABLE 4-1: HVAC SUPPORTING ACTIVITY DIRECTORY

Supporting Activity	Technical Reference Manual Section
Access and Service Space	• Section 1 General Installation Guidelines, Attic & Crawlspace Accessibility
	• Accessibility and Clearances
	• Central AC/Central Heat Pump, Clearances
	• Wall/Window Air Conditioner, Location
	• Evaporative Cooling, Location
	• Appliance Enclosure, Platform, and Plenum
Air Filter Installation	• Section 10 Air Filters
	• Air filter installation

TABLE 4-1: HVAC SUPPORTING ACTIVITY DIRECTORY

Supporting Activity	Technical Reference Manual Section
Appliance Electrical System Wiring	• Section 1 General Installation Guidelines, Electrical Guidelines
	• Section 1 General Installation Guidelines, Grounding Guidelines
	• Electrical Supply and Grounding
	• Window/wall electrical requirements
	• Roof-mount units, Wall-mounted Controls
	• Roof-mount electrical requirements
	• Mobile Home Central AC/Heat Pump, Electrical Wiring, Grounding, and Accessibility
Appliance Flue Vent Systems	• Appendix A Combustion Appliance Safety Protocol
	• Wall/Window Air Conditioner, Exterior clearance
	• Evaporative Cooling, Setbacks and clearances
	• Central Furnace, Appliance vent system installation
	• Floor, Wall, and Freestanding Furnace, Venting
	• Floor, Wall, and Freestanding Furnace, Freestanding furnace
	• Mobile Home Evaporative Cooling, Window/wall exterior clearances
	• Mobile Home Evaporative Cooling, Roof-mount clearances
	• Mobile Home Central Furnace, Appliance Vent System
CVA	• Appendix A Combustion Appliance Safety Protocol
	• Central Furnace, CVA
	• Floor, Wall, and Freestanding Furnace, CVA
	• Wood Stove/Fireplace Insert, CVA
	• Appliance Enclosure, Platform, and Plenum, Enclosures
	• Mobile Home Central Furnace, CVA
	• Mobile Home Wood Stove/Fireplace Insert, CVA
Ducting (Return and Supply)	• Section 8 Ducting Repair, Sealing, and Insulation
	• Duct-Based Systems
	• Evaporative Cooling, Cooler ducting
	• Evaporative Cooling, Roof-mount barometric damper
	• Central Furnace, Air distribution (duct) system
	• Appliance Enclosure, Platform, and Plenum
	• Mobile Home, Roof jack and duct start collar
Fuel Switching	• Section 1 General Installation Guidelines, Fuel Switching Policy
	• Appendix D Energy Audit/Priority List Protocol

TABLE 4-1: HVAC SUPPORTING ACTIVITY DIRECTORY

Supporting Activity	Technical Reference Manual Section
Gas Lines, Fittings, and Valves	• Appendix A Combustion Appliance Safety Protocol
	• Central Furnace, Gas line and fittings installation
	• Floor/Wall/Freestanding Furnace, Gas piping and valves
	• Floor/Wall/Freestanding Furnace, Gas control valve
Thermostats	• Section 7 Thermostats—Smart, Programmable, and Manual
	• Central AC/Central Heat Pump, Thermostats and controls
	• Central AC/Central Heat Pump, Heat pump controls
	• Central Furnace, Thermostats and controls
	• Floor, Wall, and Freestanding Furnace, Thermostat
Upgrade ECM Blower Motor	• Section 5 ECM Blower Motors
Upgrade Efficient Fan Controller	• Section 6 Efficient Fan Controllers
Vent Covers	• Section 32 Infiltration Reduction
	• Wall/Window Air Conditioner, Winter protection/closure
	• Evaporative Cooling, Window/wall winter protection
	• Evaporative Cooling, Roof-mount units

4.2. Central AC/Central Heat Pump

4.2.1 General Requirements

4.2.1(a) None

4.2.2 Procedure

4.2.2(a) Repair

4.2.2(a1) A tune-up may be performed on an existing package unit or split system when a qualified technician identifies an operational issue that will be resolved by the tune-up procedure as described below.

- System verification
  - Confirm the temperature of the supply air (unit must be cooling) and the temperature of the suction line (must be cold).
- Unit set-up
  - All register dampers shall be open, and duct dampers and zone dampers shall be correctly positioned.
- Air handler
  - The air handler blower wheel shall be brushed and cleaned.
  - Visually inspect the capacitors and wiring.
  - Check the motor bearings for wear and oil them as needed (Fig. 4-3).
  - With the blower operating at high speed, check the blower motor amperage for compliance with the manufacturer's specified range.
  - Seal (e.g., with cork tape) air leaks at plumbing or wiring penetrations.

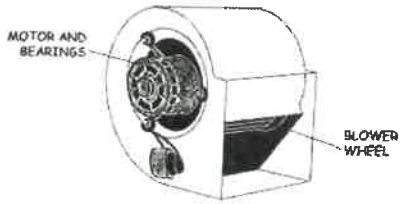

FIG. 4-3: AIR HANDLER BLOWER

- Air filter
  - Clean or replace dirty, defective, or missing AC filters per Section 10 Air Filters (Fig. 4-4).
    - Exception: Electrostatic filters may be cleaned (but shall not be replaced).

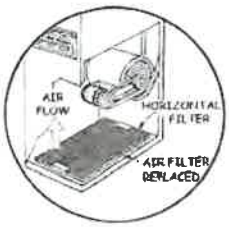

FIG. 4-4: AIR HANDLER FILTER

- Evaporator (indoor coil)
  - The evaporator coil will be checked and cleaned when it can be accessed through removable panels.
    - The coil will be cleaned using a coil brush, vacuum, and/or air pressure.
    - If dirt remains, use a water-based, non-acid, non-corrosive coil cleaning spray or foam applied per product instructions.
    - Water may be sprayed on coils to clean or rinse them, with care taken to avoid wetting the electronic controls or motor.
    - Wet coils must be dry before operating the unit.
    - Accessible coil fins will be checked for damage and combed as needed using a fin comb that matches the fins-per-inch spacing.
  - The condensate drain system (including pump, when present) will be checked and cleaned as needed (Fig. 4-5).
  - Ensure access panels are closed and sealed with Underwriters Laboratories (UL) 181A/B or B-FX metallic tape with non-butyl adhesive.

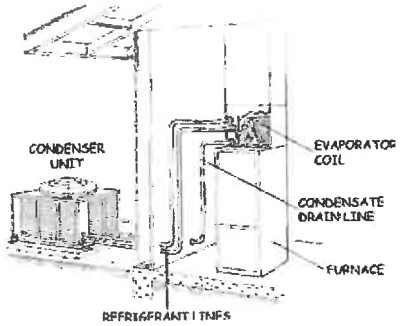

FIG. 4-5: CHECK AND CLEAN CONDENSATE DRAIN SYSTEM

- Condenser
  - Clean the inside of the unit and fan blades with vacuum brush attachment.
  - Check the condenser coil and clean as described above for the evaporator coil.
  - Inspect compressor contact points, compressor terminal block, and capacitors to ensure all connections are proper and tight.
  - Check compressor and condenser amperage with unit operating in AC mode (Fig. 4-6).
  - Check fan motor bearings for wear, and oil as needed.

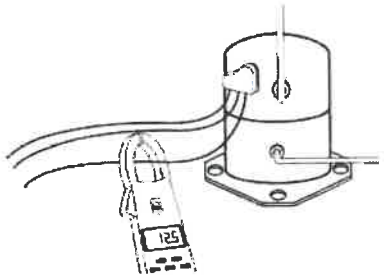

FIG. 4-6: CHECKING COMPRESSOR AMPERAGE

- All equipment integrity
  - Tighten loose items (e.g., screws, bolts, panels, etc.).
  - Repair or replace missing or damaged components critical to proper operation.
- Return and supply ducts
  - Duct testing shall be conducted in accordance with Appendix B Duct Leakage Testing Protocol.
  - Duct sealing shall be conducted in accordance with Section 8 Ducting Repair, Sealing, and Insulation.

- Thermostats and controls
  - The anticipator shall be correctly set, when applicable.
  - Wiring connections must be correct and tight.
  - The thermostat shall be level and securely installed.
  - Adjust the AC controls, including the limit switch and blower fan switch, to operate in accordance with the manufacturer's specifications.
  - Power switches must function properly, including:
    - The blower access lockout/safety switch
    - The switch controlling power to the unit (disconnect)
    - The blower speed control switch
- Airflow assessment
  - Airflow through the indoor coil shall meet manufacturer's specifications.
- Refrigerant charge
  - Leak detection, airflow, and refrigerant line inspection will be checked and repaired to determine need for refrigerant charge
  - After determining airflow, the proper refrigerant charge metering procedure shall be used:
    - Superheat—Fixed-orifice metering device
    - Sub-cooling—Thermal expansion valve metering device
    - Other manufacturer recommended methods
    - Weigh-in
  - The outdoor temperature shall be at or above the minimum required for the diagnostic procedure used (e.g., 55°F for superheat and sub-cooling).
  - If the outdoor temperature is <55°F, a manufacturer-approved "weigh-in" procedure must be utilized.

4.2.2(b) Install

4.2.2(b1) Location

- Roof-mount
  - Refer to Roof-Mount Appliances.
  - Roofing materials shall be in good condition and not in need of repair or replacement.
  - The roof and support frame or curb shall be structurally adequate to properly support the installed equipment.
  - Curb base and exposed roof penetrations shall be properly installed, flashed, and sealed watertight.

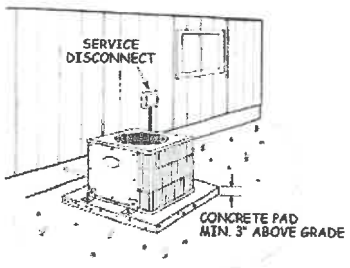

FIG. 4-7: GROUND-MOUNT BASE

- Ground-mount
  - The unit shall rest on concrete or other approved base extending at least 3" above the adjoining ground level (Fig. 4-7).
  - The condenser unit labels shall be visible.
- Clearances
  - Minimum clearance between AC equipment or electrical panels and the adjacent structure/wall/obstruction shall be:
    - 30" on side(s) containing service access panels and
    - 12" on all other sides or
  - 5' from clothes dryer moisture exhaust
- Overhead clearance shall be provided.

4.2.2 (b2) Evaporator coil replacement

- An evaporator coil shall be installed that is verified to be a rated match with the condenser unit, as listed in the current AHRI directory (Fig. 4-8).
- An access panel shall be provided for coil cleaning.
- The evaporator coil unit labels shall be visible.
- Airflow through the coil shall be adequate to meet the manufacturer's specifications.

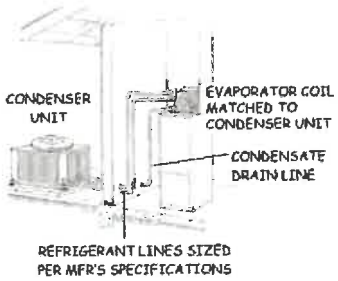

FIG. 4-8: CONDENSER UNIT COMPATIBLE WITH EVAPORATOR COIL

4.2.2 (b3) After installation, the condenser unit and evaporator coil shall be verified to function properly.

4.2.2 (b4) Condensate drain

- A condensate drain line shall be installed on evaporator coils and heat pump units.
- Condensate shall be drained to an approved place of disposal (e.g., exterior of the building or sanitary drain).
- Drain line shall maintain a minimum horizontal slope not less than ⅛" vertical in 12" horizontal (1% slope) in the direction of discharge.
- An indoor unit condensate drain shall be insulated, be covered with a vapor barrier, and slope downward to a code-approved connection in the drainage system or to a suitable exterior drain site away from walking areas.
- Condensate shall not discharge into a street, alley, or other area where it would cause a nuisance.
- Connections and piping in the condensate drain system shall be sealed and watertight.
- The end of the drain line shall be visible and directed downwards with an elbow fitting.
- Installed lines shall allow for cleaning without cutting the existing pipe
- Condensate drain pumps shall be installed when condensate cannot be drained by gravity.
  - A power source for the pump shall be installed if one is not present.
  - Operation and drainage of pump shall be verified.
- Vents and traps shall be installed on condensate drain lines.
  - The trap supplied with the equipment shall be used.
- Roof-mounted units
  - Run the condensate drain line to a nearby gutter, when present, or in accordance with local code.
  - Paint the line to resist ultraviolet (UV) degradation if polyvinyl chloride (PVC) is used.
- When overflow could damage finished surfaces, install:
  - A float switch in the primary condensate drain (for upflow systems) or
  - A secondary drain pan and float switch
    - All secondary drain pans will have a float switch and be sloped to be drained away through a drainline.
  - The float switch(es) will be connected to the system for automatic shutoff in the event of a clogged condensate drain.

4.2.2 (b5) Air distribution (duct) system

- See Section 8 Ducting Repair, Sealing, and Insulation.

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4.2.2(b6) Preparation of platform returns and plenums

- See Appliance Enclosure, Platform, and Plenum.

4.2.2(b7) Heat pump controls

- Unless a properly functioning thermostat is present, a new thermostat shall be installed in accordance with Section 7 Thermostats—Smart, Programmable, and Manual.
- A thermostat with supplementary heat lockout that can interface with an outdoor temperature sensor will be selected and set according to manufacturer requirements.

4.2.2(b8) Air filters

- All new AC units installed shall be fitted with new air filters.
- Unframed filters shall be properly supported to prevent them being drawn into the air handler, as prescribed in Section 10 Air Filters.

4.3. Ductless Mini-Split Heat Pump

4.3.1 General Requirements

4.3.1(a) The client shall be allowed to select a recessed or flush-mount system.

4.3.2 Procedure

4.3.2(a) Repair

4.3.2(a1) A tune-up for an existing ductless mini-split system may be performed by qualified technicians using the procedure from Central AC/Central Heat Pump and as recommended by the manufacturer.

4.3.2(b) Install

4.3.2(b1) Indoor unit

- The indoor unit location shall:
  - Be structurally sound and capable of supporting the weight of the unit
  - Provide maximum coverage of the living space for conditioned airflow
  - Not be exposed to direct sunlight and sources of heat
  - Provide the required clearances to facilitate installation
  - Not exceed the manufacter specifications for refrigerant line total length

4.3.2(b2) Outdoor unit

- The outdoor unit location shall:
  - Be a minimum of 5' from clothes dryer moisture exhaust termination.
  - Provide adequate shade, drainage, airflow, and clearances
  - Located to avoid water run-off from the roof
  - Be level and secured to a solid pad a minimum of 3" above the adjoining ground level
  - Be placed on adjustable risers or a wall-mount bracket when debris or snow build-up could impede drainage under the unit.
  - Have a pan heater in cold locations.

4.3.2(b3) Condensate drain (see Condensate drain).

4.3.2(b4) The thermostat shall be placed outside of the direct airflow of the indoor unit and sense the temperature at the controller, not in the return path.

4.4. Wall/Window Air Conditioner

4.4.1 General Requirements

4.4.1(a) Clearances

4.4.1(a1) Interior clearance (Fig. 4-9)

- The wall-mount unit air discharge outlet should be located a minimum of 3' above the floor unless mounted below a window or in an existing location that is lower.

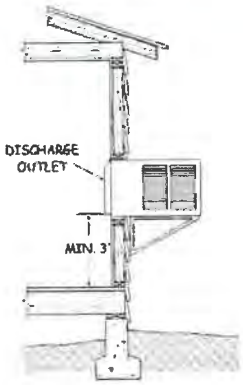


FIG. 4-9: WINDOW/WALL AC MINIMUM INTERIOR CLEARANCES

4.4.1(a2) Exterior clearance (Fig. 4-10)

- The exterior portion of the unit should be located a minimum of 24" above grade.
- There should be at least 12" between the AC and adjacent walkway or wall.
- The unit's air intake should be located:
  - At least 10' away from or 3' below combustion appliance vent terminations.
  - At least 10' from:
    - Clothes dryer moisture exhaust termination
    - Plumbing vent terminations
    - Exhaust fan vent termination
  - At least 3' from the AC inlet to the gas meter.

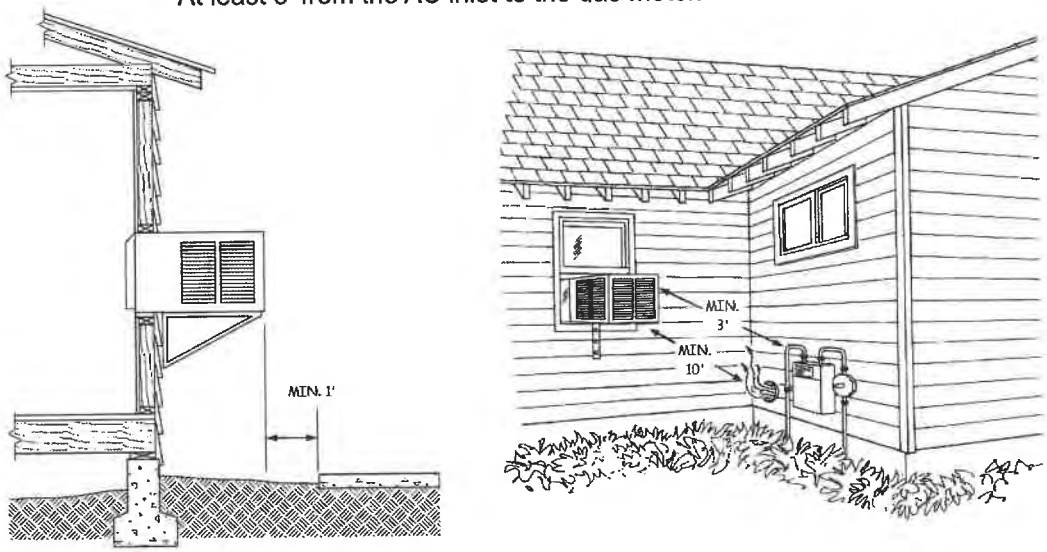


FIG. 4-10: WINDOW/WALL AC MINIMUM EXTERIOR CLEARANCES

4.4.1(b) Condensate drain

4.4.1(b1) Condensate drain shall slope downward to a suitable drain site away from the dwelling wall.

4.4.1(b2) A drain hose/line is required when:

- The AC is located above first floor or
- Condensate will drain onto a patio or walking surface and create puddles

4.4.1(c) Winter protection/closure

4.4.1(c1) The installed unit must have interior or exterior closure system (to prevent infiltration in the winter season) (Fig. 4-11), per Section 32 Infiltration Reduction, Vent Covers.

4.4.2 Procedure

4.4.2(a) Repair

4.4.2(a1) American National Standards Institute (ANSI)/ Air Conditioning Contractors of America (ACCA) protocols will be used when conducting repair-related maintenance.

4.4.2(a2) Air filter

- Replace damaged/defective filters.
- Clean washable air filters with detergent and water. Allow to dry before reinstalling.
  - For other filter types, follow the guidelines in Section 10 Air Filters.

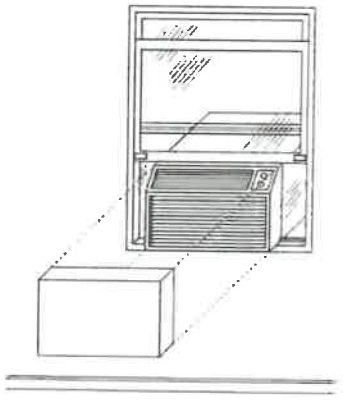


FIG. 4-11: INTERIOR COVER FOR DISCHARGE OPENING

4.4.2(a3) Coil care and cleaning

- See Evaporator (indoor coil) and Condenser.

4.4.2(a4) Drain port cleaning

- With a small wire brush, clean:
  - The condensate drain(s)
  - The drain port(s) on the evaporator side in conjunction with the coil cleaning
  - The condenser side drain port(s), if present

4.4.2(a5) Repair or replace defective gaskets and caulking.

4.4.2(a6) Appliance troubleshooting

- Noisy fan:
  - Tighten the fan blades, motor, and housing bolts if loose.
  - If the fan is damaged, crooked, broken, replace it with the same model.
  - Lubricate fan motor oil ports.
- Inoperable fan:
  - Use a voltmeter to troubleshoot.
- Removal of the fan motor:
  - Motor replacement must be performed by a qualified contractor or technician
- Thermostat or controls malfunction and/or the AC cycles on and off frequently:
  - Ensure the thermostat sensor behind the front grille is positioned near but not touching the evaporator (inside) coil. Adjust it if needed.
  - The front panel shall not be obstructed.
  - Repeat the coil cleaning procedure Evaporator (indoor coil) and Condenser.
  - If performance does not improve, a qualified technician should check for a refrigerant leak and repair and properly recharge the system.
- Unit is inoperable or the AC will not turn on:
  - Check for a tripped breaker or blown fuse.

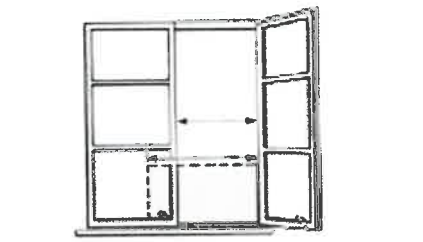
4.4.2(b) Install

4.4.2(b1) Location

- Install the unit only in a window or wall opening that allows:
  - Free air circulation, free of obstruction
  - Stable and safe installation
  - Access for inspection and service without removing permanent construction

4.4.2 (b2) Window-mount units

- Place the AC in the center of the window opening (side-to-side), if feasible (Fig. 4-12).
- Install transparent, permanent window panels to completely fill empty spaces greater than 12" wide.
- Seal the panels in place.
- For installation in an alternate window type, manufacturer's instructions shall be followed.



AIR CONDITIONER TOO WIDE FOR ONE SASH OPENING

REMOVE BOTH SASHES AND INSTALL TRANSPARENT GLAZING ABOVE AIR CONDITIONER

FIG. 4-12: WINDOW-MOUNT AC UNITS

4.4.2 (b3) Wall-mount units (Fig. 4-13)

- The wall must be structurally sound and able to support the unit's weight and vibration.
- Enlarge or reduce the hole to meet manufacturer's hole size and clearance specifications.
- The opening shall be framed with structural members.
- Neatly patch and trim interior and exterior sheathing with all exposed wood primed and painted to match adjacent trim appearance. Openings in brick veneer and block walls should have:
  - Lintel and flashing installed above the opening when required
  - Flashing (drip rail) installed below the unit
- Seal the unit in place.

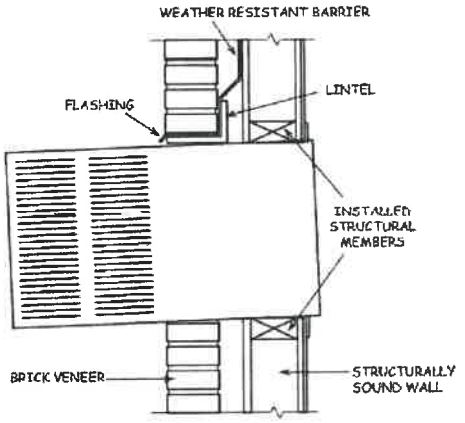


FIG. 4-13: WALL-MOUNT AC UNTS

4.4.2 (b4) Unit supports

- Brace supports should be anchored with non-corrosive screws to solid wood.
- All brace support materials must be metal.

4.4.2 (b5) Ensure the unit is level and plumb

- Front-to-back: The unit should be sloped one half bubble downward to the outside for condensate drainage.

4.5. Evaporative Cooling

4.5.1 General Requirements

4.5.1 (a) Unit shall be installed in a central location in the dwelling. Installation shall be allowed in a bedroom only when a medical or other special condition is granted by program waiver and documented in the client file.

4.5.1 (b) Adequate exhaust ventilation must be available.

4.5.1 (c) Setbacks and clearances

4.5.1 (c1) There shall be at least 3' between the cooler and the adjacent fence or wall, unless a shorter distance is allowed by local code or recommended by the manufacturer (Fig. 4-14).

4.5.1 (c2) The unit shall not extend over a sidewalk, and shall be set back at least 12" or as prescribed by local code.

4.5.1 (c3) Evaporative cooler inlet shall be at least:

- 10' from or 3' below any pollutant sources, including but not limited to:
  - Combustion appliance vent terminations, gas vent pipes, or solid-fuel chimneys
  - Attic vents or gas meter set assembly
- 10' from a bathroom or kitchen exhaust, clothes dryer exhaust, plumbing vent, vehicle exhaust source, or any other source of toxic contamination

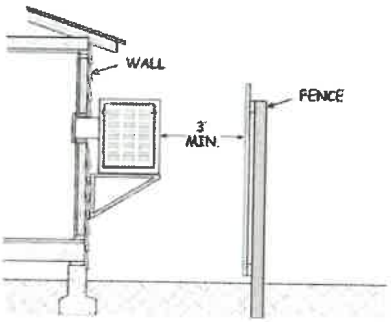


FIG. 4-14: CLEARANCE FROM FENCE OR WALL

4.5.1 (c4) A minimum of 24" clearance is required on the top and sides of the unit for maintenance.

4.5.1 (c5) If supported directly by the ground, the unit shall be installed on a concrete slab at least 3" above the ground.

4.5.1 (c6) If suspended on a raised platform, the unit shall be elevated at least 6" above the ground.

4.5.1 (d) Exhaust ventilation

4.5.1 (d1) Adequate exhaust ventilation shall be provided, which may consist of one or more of the following means:

- Screened window or door openings as shown in Table 4-2
- Ceiling-mounted exhaust vents or pressure relief dampers that exhaust cooled air through the attic
  - Attic net free ventilation area (NFVA) must equal or exceed the total NFVA of the ceiling vents (Table 4-2).
  - Vents must close completely to block backdraft/infiltration when the cooler is off.
  - Vents must be equipped with a positive closure mechanism that is automatically activated by high heat.
  - Ceiling vents may not be used when the attic contains open combustion appliances.
  - Ceiling vents may be used as the sole exhaust path only if the total NFVA or cu. ft. per minute (CFM) capacity of the vents equals or exceeds:
    - The NFVA/capacity recommended by the vent manufacturer or
    - The minimum NFVA shown under "Attic Exhaust Minimum NFVA" in Table 4-2

TABLE 4-2: EVAPORATIVE COOLER EXHAUST OPENINGS

Cooler Capacity (Airflow in CFM)	Window & Door Exhaust [1] Minimum Screened Openings	Attic Exhaust [2, 3] Minimum NFVA
3000	6 sq. ft.	4.0 sq. ft.
3500	7 sq. ft.	4.7 sq. ft.
4000	8 sq. ft.	5.3 sq. ft.
4500	9 sq. ft.	6.0 sq. ft.
5000	10 sq. ft.	6.7 sq. ft.
5500	11 sq. ft.	7.3 sq. ft.
6000	12 sq. ft.	8.0 sq. ft.
6500	13 sq. ft.	8.7 sq. ft.

[1] Values shown assume #16 mesh insect screening will be present.
[2] Values are calculated using the formula: Cooler capacity CFM ÷ 750 = Min. exhaust NFVA.
[3] See Section 40 Attic Ventilation, Tables 40-1 through 40-22.

4.5.1(e) Window/wall winter protection

4.5.1(e1) The installed unit must have interior or exterior closure system (to prevent infiltration in the winter season), per Section 32 Infiltration Reduction, Vent Covers.

4.5.2 Procedure

4.5.2(a) Repair

4.5.2(a1) The following items shall be checked and repaired or replaced when defective.

- Inlets and outlets shall be unobstructed.
- Platform/attachment repair
  - Check the existing platform and attachment to ensure that the following requirements are met:
    - The cooler is level and securely attached to the mounting assembly.
    - The mounting anchors are the correct size and are properly installed.
    - The unit is installed in a manner that will safely support the operating weight (cooler plus water).
- Blower motor
  - Verify that electrical connections are proper
  - Verify that the motor is safely and securely mounted and all nuts and bolts are tight.
  - Check the motor bearing for proper lubrication (Fig. 4-15).
  - Replace the blower motor if it is frozen or if the shaft does not spin freely.
    - Replacement motors shall be two-speed.
    - Exception: If the existing motor is single-speed, the replacement may be single-speed.

FIG. 4-15: LUBRICATE MOTOR BEARINGS

- Pulleys (Fig. 4-16)
  - Ensure that:
    - The set screws are tight and the pulley is secure on the shaft
    - The motor pulley and blower pulley are aligned to within ¼".
    - The pulley rim is perpendicular to the motor shaft
  - Replace bent blower pulleys.
  - Replace a bent motor pulley with an adjustable pulley for controlling the motor amperage and the speed of the blower.
    - Exception: A fixed pitch pulley may be installed in a window- or wall-mount cooler if the pulley and motor size/speed match the original equipment.

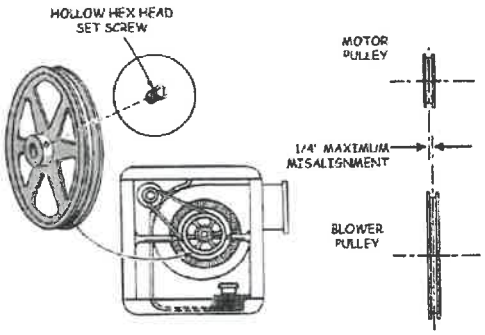


FIG. 4-16: PULLEY ALIGNMENT

- Blower assembly (Fig. 4-17)
  - Check the blower fan to ensure:
    - Proper clearance from housing
    - Free rotation

- Proper operation of both the motor and the fan

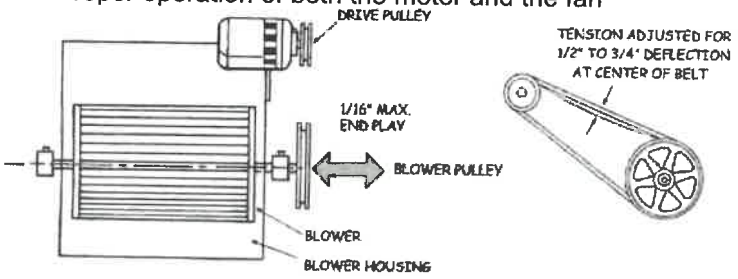


FIG. 4-17: BLOWER ASSEMBLY

  - Adjust the belt tension to ½"–¾" deflection at the center of the span.
  - Adjust the motor sheave to achieve the specified motor amperage as shown on the nameplate.
    - Exception: This does not apply to window/wall units with a fixed-pitch pulley.
  - Replace the belt if it is cracked or worn unevenly.
  - Verify that the blower shaft end play does not exceed 1/16".
  - Center the blower wheel end-to-end in the blower housing.

4.5.2(a2) Cooler pads and frames (Fig. 4-18)

- Clean and scrape the pad frames to remove mineral deposits.
- Replace deteriorated pads with new pads to achieve 1" thickness with a single 1" pad or two thinner pads.
- Trim the cooler pads to ensure complete coverage of the frame.

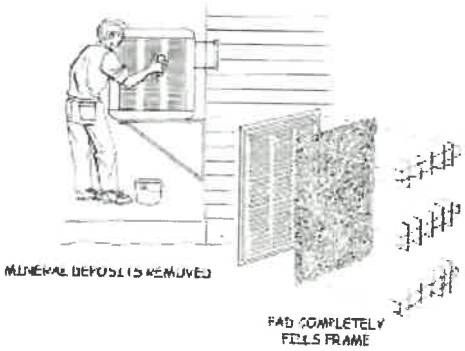


FIG. 4-18: COOLER PADS AND FRAMES

4.5.2(a3) Water supply and distribution

- Verify the water supply line to the cooler is free of leaks and provides adequate water flow.
- Replace existing damaged or leaking plastic line with minimum ¼" outside diameter (OD) copper and secure it with tube straps/brackets.
- Valves and fittings:
  - Install a brass shut-off valve if no shut-off valve exists:
    - Install a ¼" x ⅛" needle valve, or as required by local code.
    - A self-tapping needle valve is not allowed.
    - Position the outdoor shut-off to be reachable from ground level.
    - Install a brass anti-siphon valve if an anti-siphon valve is not present (Fig. 4-19).

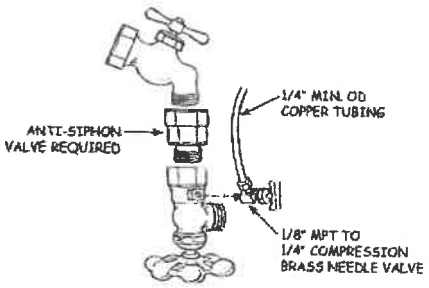


FIG. 4-19: VALVES AND FITTINGS

- Check the circulation pump, the purge pump (when present), and the screen for debris, mineral deposits, and adequate water flow.
- Verify the water distribution lines are free of obstructions and kinks and sealed at all connections.

4.5.2(a4) Verify that drip trays are level and distribute water evenly to the cooler pads (Fig. 4-20).

4.5.2(a5) Reservoir and float valve

- Check the reservoir and standpipe to verify that they are properly installed and free of leaks and debris.
- Clean rusted or deteriorated units and coat them with undercoating.
- Verify that the float valve shuts off incoming water completely when raised and the float splash shield prevents water from spraying away from the reservoir.
- Adjust the water level to be within ½"–1" of the top of the standpipe by turning the float level adjustment screw or bending the float rod.

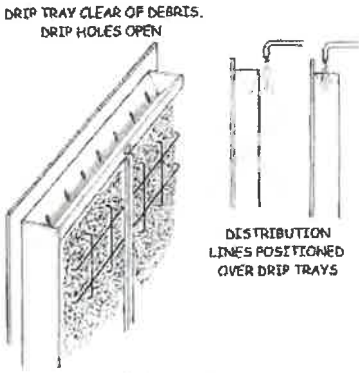


FIG. 4-20: WATER DISTRIBUTION TO DRIP TRAYS

- Do not install water additives (cooler cleaning and water treatment additives).

4.5.2(a6) Drain system

- Install a drain line if it is missing.
- Verify drain lines are properly installed and free of leaks.
- Check wall/window-mount drain lines to ensure that:
  - Water flows away from the house
  - The end of the drain line is visible
- Check roof-mount drain lines to ensure that the drain line terminates in a rain gutter, in an approved drainage system, on the ground, or as required by the local jurisdiction.

4.5.2(a7) Cooler ducting

- Repair disconnections and damage/leaks per Section 8 Ducting Repair, Sealing, and Insulation.
- When an evaporative cooler shares ducts with an FAU, a functional damper must be installed that will open while the evaporative cooler is being used and close at all other times to prevent the loss of conditioned air.

4.5.2(b) Install

4.5.2(b1) All units

- Install new units plumb, level, and securely attached to the mounting surface.
- Water supply and distribution
  - See Water supply and distribution
- Roof-mount unit drain:
  - Install a permanent drain line to prevent drain and overflow water from running onto the roof.
  - Terminate the drain line in a rain gutter, in an approved drainage system on the ground, or as required by the local jurisdiction.
  - Paint exposed PVC piping to resist ultraviolet degradation.

4.5.2(b2) Window and wall units

- Location
  - Locate the cooler where only fresh air can enter and adequate room is available to service the unit (e.g., minimum 24" from side walls, solid fences, etc.).
  - Locate the cool air discharge where it will not disturb combustion appliance burners/pilots (e.g., in kitchen near gas range).
  - Window/wall-mount height
    - Locate the exterior portion of the unit a minimum of 12" above grade.

        - The air discharge outlet shall be located to conform with manufacturer's specifications. If no specifications exist, the location shall be a minimum of:
            - 3' above the floor unless mounted under a window
            - 18" above the floor if the discharge grille is equipped with directional louvers and the location is allowed by the manufacturer
                - Exception: The height of an existing location is acceptable if it is not in conflict with the manufacturer's instructions or local code.

- Window-mount opening:
    - Position the cooler in the center of the window opening.
    - Install permanent window panels to completely fill empty spaces.
        - Side window panels over 8" wide shall be transparent glass or polycarbonate.
    - Seal the window panels in place.
- Window/wall-mount cooler supports (Fig. 4-21):
    - Support the cooler with a metal brace, chain kit, or platform.
    - Anchor the brace supports with non-corrosive screws to solid wood
    - Anchors and chain support screws shall penetrate the framing members a minimum of ¾" (1" if the screws are self-drilling).
        - Brackets shall not be anchored to the window sash or trim.
    - The platform shall rest on a concrete pad or masonry supports and be braced.

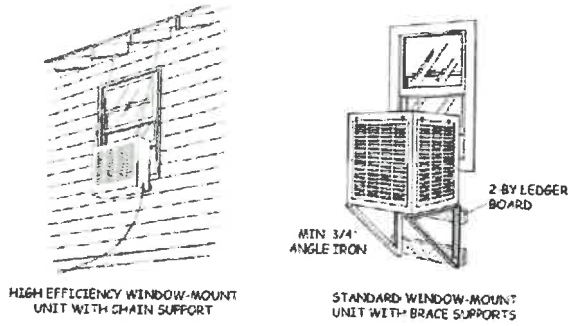


FIG. 4-21: WINDOW/WALL-MOUNT COOLER SUPPORTS

- Wall-mount installation opening:
    - The wall shall be structurally sound and able to support the unit's weight and vibration.
    - The opening shall be framed internally with 2-by lumber/structural members (Fig. 4-22).
    - Flash/seal the opening in accordance with local code.
    - Trim the opening on the interior and exterior.
    - Prime and paint new wood to protect it from moisture damage (non-cosmetic painting only).
    - Use exterior-grade materials outdoors.
    - Openings in brick veneer and block walls:
        - Install the lintel and flashing above the opening when required.
        - Install flashing (drip rail) below the unit.
    - Seal the unit in place.

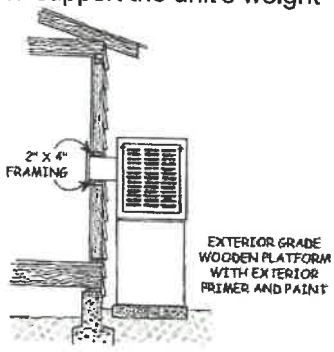


FIG. 4-22: WALL-MOUNT INSTALLATION

- Window/wall electrical requirements
    - Protect exposed wiring by housing it in a conduit.

- Properly ground the cooler cabinet and all metal junction boxes and conduits.
- Connect plug-in units to a grounded three-wire receptacle.

4.5.2(b3)

Roof-mount units

- Refer to Roof-Mount Appliances.
- Roof-mount barometric damper (Fig. 4-23)
  - When an evaporative cooler is connected to the HVAC duct system and they share the same ducts, an automatic barometric damper is required.

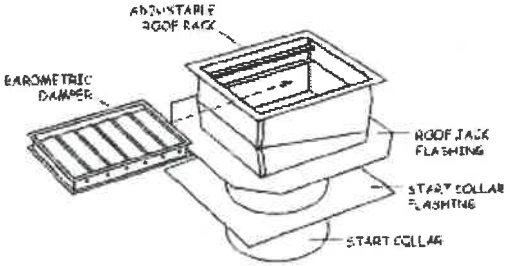


FIG. 4-23: ROOF-MOUNT BAROMETRIC DAMPER

    - Exception: An automatic barometric damper is not required if a manual winter closure damper is present and operable from inside the dwelling.
      - A mechanical damper requiring manual operation from the roof is not allowed.
      - When a manual damper is installed, interior vent covers will not be feasible.
- Supports
  - Bottom support system
    - Support the cooler with a wooden or angle iron stand, sheet metal curb, or support kit (e.g., roof jack and leg kit).
      - Do not support the cooler solely with the roof jack or duct.
    - The support system shall be stable, secure, and constructed in a manner that does not trap rain water.
  - A replacement unit may be installed on an existing support system that is the correct size, is in good condition, and meets all requirements of this section.
  - Platforms
    - See Appliance Enclosure, Platform, and Plenum.
  - Roof-mount support system attachments
    - Install support system attachments/anchors that are corrosion-resistant and chemically compatible screws, bolts, or lag bolts. (Nails and molly bolts are not allowed.)
    - Anchors must penetrate a minimum of 1" into solid wood.
      - Exception: Factory-fabricated leg kits and support systems may be anchored to the roof sheathing.
- Roof-mount cooler duct
  - See Section 8 Ducting Repair, Sealing, and Insulation.
- Diffuser/ceiling grille (Fig. 4-24) shall:
  - Direct air in at least two directions
  - Be equipped with adjustable/ closing louvers or with a positive damper
  - Be located where it will not disturb combustion appliance burners/pilots

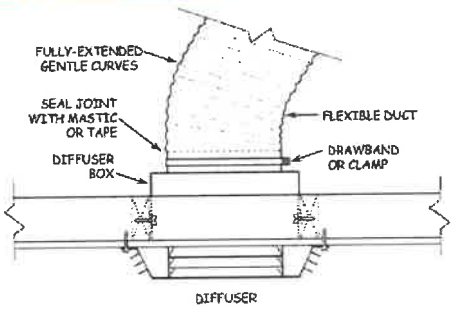


FIG. 4-24: DIFFUSER/CEILING GRILLE

- Cooler controls
  - Wall-mounted controls
    - Install controls in a switch/receptacle box.
    - Install the box and wiring inside the wall whenever possible.
    - When controls and/or wiring are surface-mounted, use an electrical box designed for surface mounting and enclose wiring in a raceway.
- Roof-mount electrical requirements
  - Hard-wire the cooler to an electrical circuit that has:
    - Proper overcurrent protection and grounding or ground fault circuit interrupter (GFCI) protection
    - Adequate current capacity to add the cooler
  - Install a service disconnect and service receptacle when required by local code.
  - Properly ground the cooler cabinet and all metal junction boxes and conduits.
  - Replacement units may use existing wiring if it is in good condition, safe, and adequate for the new cooler's controls and meets the requirements of this section.

4.6. Central Furnace

4.6.1 General Requirements

4.6.1 (a) Prohibited FAU locations

4.6.1 (a1) If an FAU is located in a bedroom (sleeping area) or bathroom and requires repair or replacement, refer to Appendix A Combustion Appliance Safety Protocol.

4.6.1 (b) Enclosure

4.6.1 (b1) See Appliance Enclosure, Platform, and Plenum.

4.6.1 (c) Access to equipment under floors and on roofs shall be provided in accordance with local code.

4.6.1 (d) Attic location requirements

4.6.1 (d1) See Fig. 4-25.

4.6.1 (d2) Refer to Section 1 General Installation Guidelines, Attic and Crawlspace Accessibility.

4.6.1 (d3) If not already present, permanent switch-controlled lighting shall be installed.

- The switch shall be located at the access/entrance and readily accessible.
- The lighting shall provide enough illumination to allow crew to safely approach the equipment and perform the task for which access is provided.

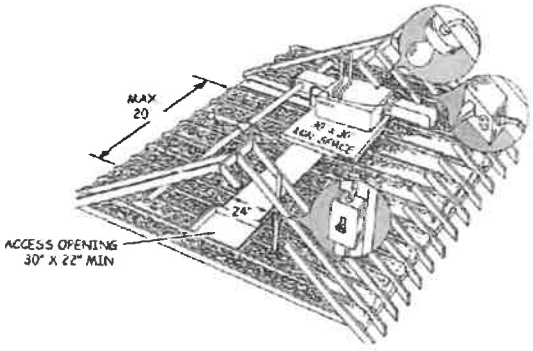


FIG. 4-25: ATTIC LOCATION REQUIREMENTS

4.6.1 (d4) If not already present, a permanent 120-volt convenience receptacle (outlet) shall be installed near the appliance.

4.6.2 Procedure

4.6.2 (a) Repair

4.6.2 (a1) Perform pre-combustion appliance safety testing to identify operational defects, as defined in the Appendix A Combustion Appliance Safety Protocol.

4.6.2(a2) Make all necessary corrections when within the scope of the weatherization program. The scope of repairs must also take into consideration, but is not limited to, the following operational repairs:

- Heating unit integrity
  - Tighten loose items (e.g., screws, bolts, panels, etc.).
  - Replace or repair missing/damaged components critical to proper operation (e.g., access doors, roll-out shield, etc.).
  - Correct improper alterations that adversely affect unit operation.

4.6.2(a3) Appliance filter(s)

- A dirty, defective, or missing furnace filter shall be corrected per Section 10 Air Filters.

4.6.2(a4) Blower chamber

- Clean a dirty blower chamber and fan blades.
- Lubricate the bearings.
- Replace bearings in need of repair.

4.6.2(a5) Evaporator coil box

- Clean or replace a dirty or damaged evaporator coil.
- Seal air leaks at plumbing or wiring penetrations (i.e., with cork tape).

4.6.2(a6) Duct system testing and sealing

- See Appendix B Duct Leakage Testing Protocol.
- See Section 8 Ducting Repair, Sealing, and Insulation.

4.6.2(b) Install

4.6.2(b1) Removal of existing equipment

- Turn off electricity and natural gas before removing the old appliance.
- Disconnect refrigerant lines, plumbing, ducts, electric, control wires, vents, and fuel.

4.6.2(b2) Appliance vent system installation (Fig. 4-26)

- Install and secure a new vent system in accordance with manufacturer's instructions, local code, and Appendix A Combustion Appliance Safety Protocol.
- When an existing furnace that shares a common vent with another appliance is replaced with a new unit, the contractor shall ensure that both appliances are properly vented.
- For natural gas furnaces and absorption heat pumps (gas-fired), an appliance vent system, CVA, and gas piping shall be installed in compliance with Appendix A Combustion Appliance Safety Protocol.

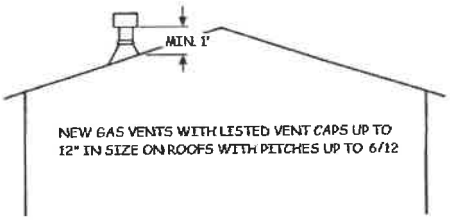


FIG. 4-26: APPLIANCE VENT SYSTEM INSTALLATION

4.6.2(b3) CVA

- The flow of CVA shall not be obstructed by any part of the installation.
- CVA shall be adequate to supply combustion air in accordance with local code and the Appendix A Combustion Appliance Safety Protocol.
  - Corrections shall be made as needed to limit CO to acceptable levels.

4.6.2(b4) Air distribution (duct) system

- See Section 8 Ducting Repair, Sealing, and Insulation.
- Verify the FAU is compatible with the existing duct system.
- Examine the duct system for leaks and disconnections and test it according to Appendix B Duct Leakage Testing Protocol.

- Repair and seal the duct system in accordance with manufacturer's instructions, Title 24 requirements, and Section 8 Ducting Repair, Sealing, and Insulation.
- Install new ductwork in accordance with manufacturer's instructions and Title 24 requirements.

4.6.2(b5) Preparation of platform returns and plenums

- See Appliance Enclosure, Platform, and Plenum.

4.6.2(b6) Gas line and fittings installation

- Install gas piping (e.g., risers, flexible connectors, fittings, and valves) in accordance with manufacturer's instructions.
- Install any additional components (e.g., drip leg, condensate drain, etc.) when required by the manufacturer or local code.
- Install a shut-off valve within 3' of the appliance and in the same room or space in which the appliance is located.

4.6.2(b7) Air filter installation

- When an HVAC unit is replaced, install a filter (with minimum efficiency reporting value [MERV] 6 filtration or higher with no air bypass around the filter) in accordance with Section 10 Air Filters, local code, and manufacturer's instructions. The filter shall be considered part of the replacement measure.
  - A pre-manufactured or site manufactured durable filter slot cover will be installed

4.6.2(b8) Thermostats and controls

- Install a wall thermostat in accordance with Section 7 Thermostats—Smart, Programmable, and Manual and manufacturer's instructions.

4.6.2(b9) Power switches shall function properly, including the:

- Blower access lockout/safety switch
- Switch controlling power to the unit (disconnect)
- Blower speed control switch

4.7. Floor, Wall, and Freestanding Furnace

4.7.1 General Requirements

4.7.1(a) Furnace design and performance

4.7.1(a1) Heating capacity and system design shall conform with local code and the current Title 24 manuals.

4.7.1(a2) The furnace shall perform as designed and be properly sized for the living space.

4.7.1(b) Bedroom locations

4.7.1(b1) If an open combustion heating appliance is located in a bedroom (sleeping area) and requires repair or replacement, refer to Appendix A Combustion Appliance Safety Protocol.

4.7.1(c) Fire hazards

4.7.1(c1) For these heating types, if the existing appliance location (or the proximity of the client's possessions to the appliance) poses a potential fire hazard, the client shall be informed of the non-conforming condition.

4.7.1(c2) Minor fire hazards shall be removed/corrected by field personnel per Section 1 General Installation Guidelines, Limited Home Repair.

4.7.1(d) Clearances

4.7.1(d1) Appliance clearances shall be maintained in accordance with the requirements of the listing, manufacturer's installation instructions, California Mechanical Code (CMC), and local code.

4.7.1(e) CVA

4.7.1(e1) CVA shall be provided in accordance with manufacturer's instructions, local code, CMC, and Appendix A Combustion Appliance Safety Protocol.

4.7.2 Procedure

4.7.2(a) Repair

4.7.2(a1) Repairs may include, but are not limited to, the following operational repairs:

- Repair or replacement of missing/damaged components critical to proper operation (e.g., access doors, a roll-out shield, etc.)
- Correction of non-conforming venting
- Correct improper alterations that adversely affect unit operation
- Repair wiring defects (e.g., frayed or burned wires, loose or improper connections, etc.)
- Tightening of loose items (e.g., screws, bolts, panels, etc.)
- Flame adjustment

4.7.2(b) Install

4.7.2(b1) Floor/wall/freestanding furnaces (general)

- Seal all unnecessary holes in wall studs, floor, and bottom plate before installation of the unit.
- Do not modify the furnace unit (e.g., cutting support legs) unless allowed by manufacturer.
- Maintain proper clearances from combustibles (as described by the manufacturer).
- Install the furnace level and plumb.
- Properly align the unit to be free of metal stress expansion that causes banging and metal ticking.
- Controls
  - Furnace controls shall operate in accordance with manufacturer's specifications.
- Gas piping and valves
  - Replace non-conforming or unsafe connectors with code-compliant materials in accordance with Appendix A Combustion Appliance Safety Protocol.
  - A shut-off valve shall be present in accordance with local code.
- Gas control valve
  - Furnace valve shall turn properly and be free of fuel leaks and electrical defects (e.g., short or open).
  - Gas pressure shall comply with manufacturer's specifications.
- Venting
  - Appliance vent shall be installed and secured to conform with the manufacturer's requirements, CMC, and the venting tables in the Appendix A Combustion Appliance Safety Protocol.
  - Re-use of the existing vent system is only allowed if the vent is in good condition and complies with the unit listing, the manufacturer's requirements, and local code.
  - Direct vent terminal placement:
    - Locate the hole in the wall for the vent system between studs.
    - The vent terminal must meet clearance requirements from an opening into the home (openable window or door) or other air inlet in accordance with the Appendix A Combustion Appliance Safety Protocol.

4.7.2(b2) Thermostat

- Install the thermostat in a location and mounting that complies with manufacturer's instructions and Section 7 Thermostats—Smart, Programmable, and Manual.
- Set the anticipator to 24-volt heating control circuit amperage, when applicable.
- After installation is complete, calibrate the thermostat per the manufacturer's instructions.

4.7.2(b3) Wall furnace

- Wall furnace cabinet shall be secured to structural framing.
- Modifications shall not be made to the furnace (e.g., cutting support legs) unless allowed by manufacturer.
- Finished installation shall include blocking of all unnecessary holes in wall studs, floor, and bottom plate.
- Unit shall be properly aligned and free of metal stress expansion that causes banging and metal ticking.

4.7.2(b4) Floor furnace

- Floor opening shall be framed on all four sides, and furnace cabinet shall be secured to structural framing.
- When required, a seepage pan shall be installed per CMC requirement.
- Access
  - Foundation wall opening at least 24" x 18", or trapdoor 24" x 24".
  - Passageway with minimum 24" x 18" cross-section.
- Controls
  - Control valve operation must be accessible from inside the residence.
  - Pilot light must be accessible for lighting from inside the residence.

4.7.2(b5) Freestanding furnace

- Freestanding furnace shall be vented outdoors with correctly listed vent pipe. The vent shall extend above the roof line in conformance with the Appendix A Combustion Appliance Safety Protocol.
- Install floor protection when required.
- Room volume (CVA) must be adequate for installation.
- Controls
  - Control valve operation must be accessible from inside the residence.
  - Pilot light must be accessible for lighting from inside the residence.

4.7.2(b6) Repairs to home following installation, see Roof-Mount Appliances.

4.7.2(b7) All gas heat source appliances shall be tested after installation using the procedures outlined in the Appendix A Combustion Appliance Safety Protocol.

4.8. Wood Stove/Fireplace Insert

4.8.1 General Requirements

4.8.1(a) Bedroom locations

4.8.1(a1) When a gas log or wood-burning stove or fireplace is present in a bedroom (sleeping area), refer to Appendix A Combustion Appliance Safety Protocol.

4.8.1(b) The wood stove/insert shall be properly sized for the home.

4.8.1(c) The recipient and landlord (if not owner-occupied) shall agree that the wood stove/insert will remain in the residence where it is installed.

4.8.1(d) Safety clearances for the appliance and chimney pipe shall be met in accordance with the manufacturer's instructions and applicable codes.

4.8.1(e) If the primary heat source is a fireplace, pellet stove, or gas log system, it shall not be replaced.

4.8.2 Procedure

4.8.2(a) Repair

4.8.2(a1) The wood stove/insert inspection must be complete, including:

- Heating unit, vents, connectors, chimneys, and terminations
- Floor/wall protection
- Safety clearances
- Source of CVA

4.8.2(b) Install

4.8.2(b1) Check to determine that an appropriate location is available for proper, safe installation of a new wood stove/insert and chimney before:

- The existing unit is removed (when applicable)
- Structural preparation (e.g., cutting holes) for the new unit occurs

4.8.2(b2) Location

- The wood stove/insert shall be located in the living room or other central location (Fig. 4-27).
- The space surrounding the installed wood stove/insert shall be of sufficient size to ensure proper clearance from combustibles and provide safe operation.

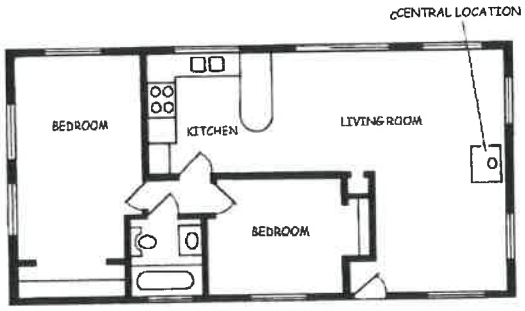


FIG. 4-27: WOOD STOVE/INSERT CENTRAL LOCATION

4.8.2(b3) Chimney and components

- The existing chimney and components shall not be re-used, including the:
  - Ceiling support package when a vent connector is used
  - Insulation shield when penetrating an attic
  - Chimney cap and spark arrestor
- Connector/chimney sizing
  - The connector:
    - Shall be no smaller in diameter than the flue outlet, and
    - A maximum of 25% larger than the cross-sectional area of the flue outlet

4.8.2(b4) CVA

- The wood stove/insert shall be designed to obtain CVA ducted directly from the outdoors to the air inlet.

4.8.2(b5) Crawlspace ventilation

- When CVA is drawn from the crawlspace, instead of being vented to the outdoors, the crawlspace must be ventilated (Fig. 4-28).
- The crawlspace vents' NFVA shall be at least twice (double) the NFVA of the air intake opening for the stove.
- Vents shall be located on at least two opposite sides of the crawlspace in accordance with Section 41 Crawlspace Ventilation.

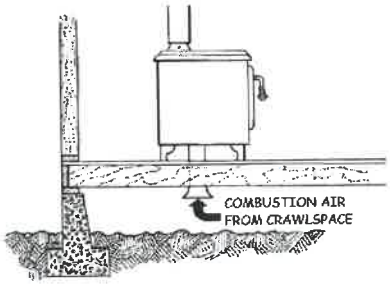


FIG. 4-28: COMBUSTION AIR FROM CRAWLSPACE

- When additional ventilation is needed, undampered crawlspace ventilation shall be installed.

4.8.2(b6) Floor protection

- When required, a listed floor protector shall be installed in accordance with the manufacturer's requirement and applicable local codes.

4.8.2(b7) Vent connector installation requirements

- Vent connectors shall be installed as follows unless otherwise specified by the wood stove/insert manufacturer.
- The vent run shall be as short and straight as possible and allow for proper and regular cleaning.
- Bends
  - Wood stoves/inserts with top vent outlet shall have a maximum of one 90° bend.
  - Wood stoves/inserts with rear vent outlet shall have a maximum of two 90° bends (including one at the wood stove/insert).
  - Installation of a tee is recommended at flue outlet to facilitate cleaning.
- Horizontal runs
  - There shall be a minimum ¼" rise per foot of run.
  - The maximum horizontal run will not exceed 75% of the vertical chimney height above the connector.
- Attachment
  - Single-wall vent connectors
    - Joints and connections shall be secured with a minimum of three sheet metal screws, evenly spaced.
  - Multi-wall vent connectors
    - Screws shall not be installed unless allowed in the manufacturer's instructions.
- Location restrictions
  - Vent connectors are limited to visible indoor locations and shall not be installed through a wall, ceiling, or roof or into any concealed space.

4.8.2(b8) Factory-built chimney installation (Fig. 4-29)

- Chimney height shall be:
  - 3' above the highest point of roof penetration
  - 2' higher than any portion of a pitched roof, wall, evaporative cooler, or any other such object located within 10' of the chimney.
- Bracing
  - Chimneys extending more than 5' above the roof at the highest point of penetration shall be braced per manufacturer's instructions and applicable codes.

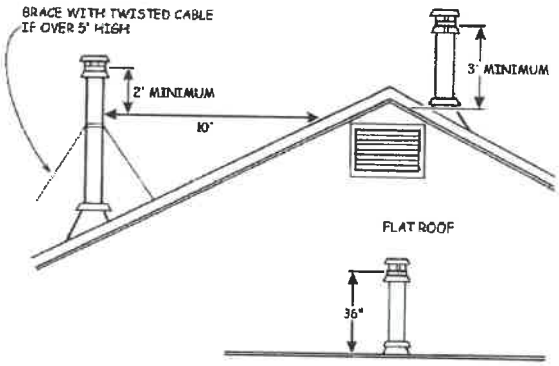


FIG. 4-29: FACTORY-BUILT CHIMNEY INSTALLATION

4.8.2(b9) Penetrations

- Only listed chimney hardware shall be used at penetrations per the manufacturer's specifications (Fig. 4-30).
- Walls or ceilings: Heat protection specified by the manufacturer shall be installed.

4.8.2(b10) Use of existing chimneys

- A wood stove/insert shall have its own continuous vent with cap and spark arrestor and be installed in accordance with local code.
  - Units can not share the vent of another appliance.
  - Routing the wood stove/insert connector into a masonry chimney is not allowed.
- An insert installed in a fireplace must be properly vented and cannot use the existing masonry chimney alone.

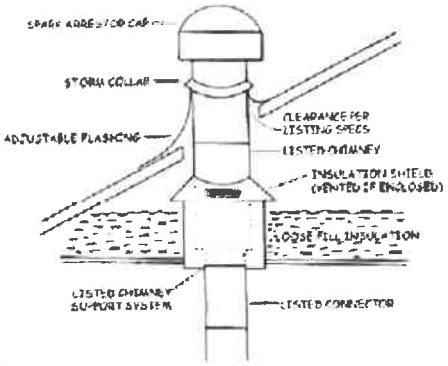


FIG. 4-30: CHIMNEY PENETRATIONS

4.8.2(b11) Floor anchors

- Freestanding wood stoves/inserts shall be firmly attached to the floor as specified by the manufacturer using their attachment hardware.

4.9. Appliance Enclosure, Platform, and Plenum

4.9.1 Enclosures

4.9.1(a) FAU enclosure

4.9.1(a1) Minimum access, service space, and enclosure size for required clearances and adequate CVA shall be provided in accordance with local code.

4.9.1(a2) The enclosure shall provide adequate service space for:

- A 120-volt receptacle and
- An appliance line valve

4.9.1(a3) The access door shall be:

- At least 24" wide, when installed by a crew
- High and wide enough to accommodate removal of the appliance

4.9.2 Attic Service Platforms

4.9.2(a) A code compliant walkway and service platform will be installed in the attic, if not present.

4.9.3 Exterior Equipment Platforms

4.9.3(a) Platforms shall be framed.

4.9.3(b) Ensure that water/debris is not trapped and that moisture can readily escape.

4.9.3(c) Cut ends and holes made in pressure-treated lumber shall be treated with preservative.

4.9.3(d) Plywood for bracing and sheathing shall be sealed with exterior primer and paint.

4.9.3(e) Wood components shall have at least 3" separation from the earth by concrete or other code-compliant base.

4.9.4 Platform Returns and Plenums

4.9.4(a) See Section 8 Ducting Repair, Sealing, and Insulation for sealing requirements of the duct system components.

4.9.4(b) Seal holes and gaps in the walls and floor of the appliance enclosure prior to installation of the appliance in accordance with Section 32 Infiltration Reduction.

4.9.4(c) Seal leaks in return air plenum and insulate plenum in accordance with Section 8 Ducting Repair, Sealing, and Insulation.

4.9.4(d) If platform return is accessed through an appliance enclosure door (a full-length door containing a return grille near the bottom):

4.9.4(d1) Verify the grille does not interfere with proper closure of the door.

4.9.4(d2) Isolate the return from the furnace enclosure (e.g., with weatherstripping that seals the gap between the platform and inside surface of the door).

4.9.4(e) Housing and plenum

4.9.4(e1) Mechanically attach and seal around the perimeter of the components (e.g., housing-to-platform, housing-to-plenum).

4.9.4(e2) Seal wiring and plumbing penetrations into the return air chamber with cork tape.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as for conventional homes except as specified in the following sections.

5.1.2 Permits, installation, and all materials used shall be in compliance with manufacturer's instructions and specifications, with requirements of Housing and Community Development (HCD), local code, and Appendix A Combustion Appliance Safety Protocol.

5.1.3 Egress requirements shall be comply with Section 1 General Installation Guidelines, Window Egress (Mobile Homes).

5.1.4 Mobile Home Air Distribution System for Ducted Heating/Cooling Types

5.1.4(a) Existing duct system and new ductwork

5.1.4(a1) Examination and testing shall conform with Appendix B Duct Leakage Testing Protocol.

5.1.4(a2) Repair and sealing of existing/new ducts shall conform with Section 8 Ducting Repair, Sealing, and Insulation.

5.2. Mobile Home Central AC/Heat Pump

5.2.1 Mobile Home Self-Contained AC

5.2.1(a) Installation of a self-contained AC (Fig. 4-31) sharing a common supply duct system with the furnace shall comply with the following requirements for damper and function control.

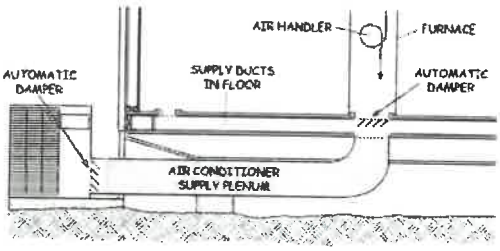


FIG. 4-31: MOBILE SELF-CONTAINED AC

5.2.1(a1) Automatic damper

- The furnace shall have an automatic barometric damper installed to prevent cold air from entering the furnace when the HVAC system is in cooling mode.
- The AC shall have an automatic damper installed to prevent hot air from entering the AC unit when the HVAC system is in heating mode.

5.2.1(a2) Function control

- The controls shall prevent the AC and furnace from coming on at the same time.

5.2.2 Electrical Wiring, Grounding, and Accessibility

5.2.2(a) Electrical wiring, grounding, and unit accessibility shall conform with manufacturer's instructions, the Department of Housing and Urban Development (HUD) code, and/or, as applicable, the requirements of the local building department.

5.3. Mobile Home Evaporative Cooling

5.3.1 Window-/Wall-Mount Units

5.3.1(a) Window/wall exterior clearances

5.3.1(a1) Air conditioner air intake shall be located at least 10' from or 3' below pollutant sources such as a gas vent pipe, solid-fuel chimney, bathroom or kitchen exhaust, clothes dryer exhaust, plumbing vent, vehicle exhaust source, attic vent, gas meter assembly, or any other source of toxic contamination.

5.3.1 (a2) Minimum 24" clearance is required on all sides for maintenance.

5.3.1 (b) Window/wall location

5.3.1 (b1) All units

- The exterior portion of the unit shall be located a minimum of 12" above grade.
- The discharge shall not be located where it can disturb combustion appliance burners/pilots (e.g., in a kitchen near a gas range).

5.3.1 (b2) Wall-mount units

- Mobile homes with metal siding
  - The cooler shall be installed only in a window opening or an existing wall opening.
  - Cutting new wall openings is not allowed.

5.3.2 Roof-Mount Units

5.3.2 (a) Roof-mount clearances

5.3.2 (a1) The evaporative cooler intake shall be at least 3' from a gas vent pipe, solid-fuel chimney, bathroom or kitchen exhaust, clothes dryer exhaust, plumbing vent, vehicle exhaust source, attic vent, gas meter assembly, or other source of toxic contamination

5.3.2 (b) Cooler supports

5.3.2 (b1) The cooler shall be securely supported by such means as a rigid roof jack (minimum 18-gauge galvanized), angle iron or wooden stand, sheet metal curb, or factory-made support kit.

5.3.2 (c) Roof jack and duct start collar

5.3.2 (c1) Replacement units shall utilize the existing roof jack and duct start collar if they are the correct type and size, are in good condition, and meet all requirements of this section.

5.3.2 (c2) Roof jack

- The roof jack shall match the roof slope or shall be adjustable.
- A leveling assembly (e.g., "levelers" at the top) may be used to compensate for the slight slope of a bow-string truss roof.

5.3.2 (c3) The roof jack/cooler connection shall be sealed.

5.3.2 (c4) Metal roofs

- The roof jack flashing shall be:
  - Under-coated with elastomeric sealant (e.g., polyurethane)
  - Installed over the metal roof (spanning two truss chords)
  - Secured with screws
    - At least four screws shall penetrate the chords and/or blocking.
  - Additionally sealed as needed to prevent water leakage at joints, seams, and anchor points
- In sloped locations, the metal skin may be slit on the high side, with the roof jack/flashing upper flange slid underneath.
- In locations adjacent to a ridge cap, the upper flange shall be placed under the ridge cap, when possible.

5.4. Mobile Home Central Furnace

5.4.1 An existing furnace in mobile home is not listed and approved for use in a mobile home shall be replaced (per current HUD code).

5.4.2 Location Restrictions

5.4.2 (a) A gas or solid fuel furnace that draws CVA from a sleeping room or bathroom in a mobile home is a CAS hazard. See Appendix A Combustion Appliance Safety Protocol.

5.4.3 Preparation of Appliance Enclosure, Platform, and Plenum

5.4.3(a) Isolation of return air

5.4.3(a1) The return air system shall not have leaks that:

- Depressurize any open combustion appliance enclosure.
- Draw in CVA or combustion by-products from any open combustion appliance (e.g., from furnace itself or nearby water heater).
- Depressurize or draw air from a space where hazardous chemicals are stored, or toxic fumes may be present.

5.4.3(b) The following conditions are not allowed and shall be corrected, when feasible:

5.4.3(b1) An open-combustion FAU drawing non-ducted return air through a grille in the furnace cabinet.

5.4.3(b2) A closed-combustion FAU located in an appliance enclosure adjacent to an open combustion water heater when the furnace enclosure is part of the return system, and

5.4.3(b3) The two appliances are not separated by an airtight barrier.

5.4.3(b4) Any condition which allows pollutants to be drawn into the FAU return shall be corrected. If not correctable, the home shall be limited to non-infiltration measures only (the home shall be NIM).

5.4.3(c) Sealing of housing and plenum

5.4.3(c1) Components shall be mechanically attached and sealed around the perimeter (cabinet-to-duct connector, cabinet-to-plenum) using materials and methods prescribed in Section 8 Ducting Repair, Sealing, and Insulation.

5.4.3(c2) Plumbing and wiring penetrations into the evaporator coil box and return air chamber shall be sealed with cork tape.

5.4.4 CVA

5.4.4(a) CVA shall be supplied from outdoors in compliance with furnace listing, manufacturer's instructions, HCD regulations, and Appendix A Combustion Appliance Safety Protocol.

5.4.4(b) When a furnace draws CVA from undercarriage space:

5.4.4(b1) Undampered venting shall be present in the skirting

5.4.4(b2) Cross-ventilation shall be present, with venting located on at least two different sides of the mobile home skirting (Fig. 4-32)

5.4.4(b3) Skirting vents on each side shall provide at least 1½ sq. ft. NFVA for each 25 li. ft. of mobile home length

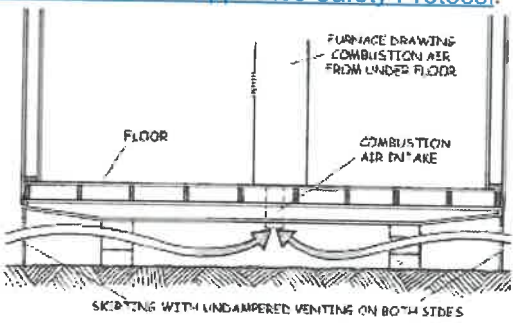


FIG. 4-32: FURNACES DRAWING CVA FROM UNDERCARRIAGE SPACE

5.4.5 Appliance Vent System

5.4.5(a) The existing vent system shall be replaced unless it:

5.4.5(a1) Is in good condition (free of leaks, deterioration, damage, etc.)

5.4.5(a2) Meets listing requirements of the replacement furnace

5.4.5(a3) Is in conformance with furnace manufacturer's instructions

5.5. Mobile Home Floor/Wall and Freestanding Furnace

5.5.1 When an existing furnace in a mobile home is not listed/approved for use in a mobile home (including open combustion unit in the living space) and it is the primary heat source, the furnace shall be replaced with a mobile home listed furnace in accordance with the current HUD code.

5.5.1(a) Replacement furnaces shall be closed combustion and listed for use in mobile homes.

5.6. Mobile Home Wood Stove/Fireplace Insert

5.6.1 An existing wood stove/insert in a mobile home that is not listed and approved for use in a mobile home (per current HUD Code) shall be replaced.

5.6.2 CVA

5.6.2(a) CVA shall come from outside the living space (outdoors) in accordance with HUD and HCD regulations.

5.6.2(b) CVA intakes shall be ducted through the envelope as specified by the manufacturer.

5.6.3 Crawlspace Ventilation

5.6.3(a) Skirting shall be ventilated when the undercarriage area is the source of CVA (Fig. 4-33).

5.6.4 Undampered venting shall be installed as needed.

5.6.5 Ventilation in the skirting shall be at least twice (double) the NFVA of the air intake opening for the stove.

5.6.6 Vents shall be installed and located on at least two opposite sides of the mobile home.

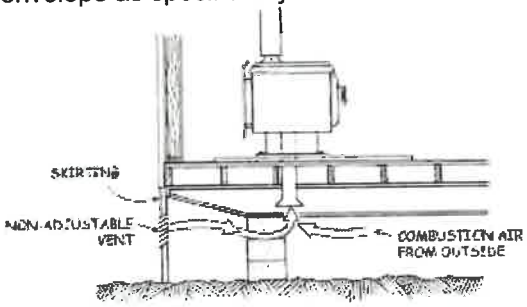


FIG. 4-33: MOBILE HOME CRAWLSPACE VENTILATION

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (i.e., individual unit and whole-building) are the same as those for conventional homes.

6.1.2 Installation of a heating and/or cooling source for an individual unit or a common system serving multiple units is allowable due to Health & Safety (H&S) or as an energy efficiency upgrade as allowed by Appendix D Energy Audit/Priority List Protocol.

6.1.3 Common area installation is allowed when justified by an energy audit for a whole-building project (e.g., in a boiler room, utility room, etc. within the same thermal boundary as dwelling units). See Appendix D Energy Audit/Priority List Protocol.

6.1.3(a) Common area installation is not allowed when only an individual unit will be served.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure may be a DOE Health & Safety measure, Audit path audit driven measure, or Priority List path Optional measure.

7.1.1(a) A heating and/or cooling "system" can mean a central unit or several individually operating units; however, when a central unit is in place, it shall be considered the primary unit, and all other units are to be considered secondary.

7.1.1(b) When an appliance condition is identified that would allow this measure to be repaired or replaced under H&S, an audit is required first to determine if the appliance could be replaced as an energy efficiency upgrade. If the SIR is <1.0, H&S repair or replacement may be allowed.

7.1.1(b1) DOE H&S measures must be installed when feasible, regardless of the funding source. If the client refuses the measure, or it cannot be physically installed due to a dwelling condition, the dwelling must be deferred.

7.1.2 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

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7.1.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.4 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.5 To assess for this measure (and the associated thermostat) as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.5(a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.5(b) When assessing this measure for the Audit path, measure feasibility will be decided by the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.5(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.5(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.6 For the Priority List Path:

7.1.6(a) Specific types of heating and cooling replacements are Optional identified in the Priority List (PL) for each building type.

7.1.6(a1) Appliance efficiency values for PL measures are listed in the Priority List Tables in Appendix D and in the Material Specifications. They are identified separately.

7.1.6(a2) Programmable thermostats are a required part of the PL path heating and cooling appliance replacements, and must be installed or present where indicated by the Appendix D Priority List Tables.

7.1.6(a3) If not specifically listed, a site-specific energy audit shall be required.

7.1.6(b) All Mandatory H&S-related heating and cooling repairs and replacements (including the associated thermostat) must be fully leveraged to an alternative funding source.

7.1.7 For the Audit Path:

7.1.7(a) To install this measure (and the associated thermostat) in the DOE Audit path, a site-specific energy audit is required to determine if it will be an energy conservation measure or a Health and Safety measure.

7.1.7(b) Measure feasibility will be determined through the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.7(b1) When the Measure SIR ≥1.0, the energy conservation measure may be paid for with DOE funds.

7.1.7(b2) When the Measure SIR <1.0, and a H&S condition exists, it is a H&S measure.

7.1.8 If a client refuses a feasible Major Audit path measure, Mandatory Priority List path measure, or Health & Safety measure, the entire dwelling shall be deferred.

7.1.9 Cooling Systems

7.1.9(a) Primary AC system replacement, repair, or installation is allowed only in homes where current occupants meet Grantee's definition of "at-risk", per the Appendix E Health and Safety Requirements.

7.1.10 Heating Systems

7.1.10(a) Primary Systems

7.1.10(a1) A safe primary heating system (vented to the outdoors) must be present, or repair/replacement/installation must be feasible.

- Refer to Appendix A Combustion Appliance Safety Protocol for policies specific to appliance types and building types.

- If an unvented combustion space heater is the primary heat source, it must be replaced with a vented heat source prior to weatherization and be sized to heat the entire dwelling unit.
- Appliance abandonment is not allowed.
- If repair/replacement/installation is not feasible, deferral is required.
- It is required to provide a cost comparison between replacement and repair when a H&S condition is identified.

7.1.10(b) Gas Log or Wood-burning Stove or Fireplace Insert

7.1.10(b1) When a gas log or wood-burning stove or fireplace insert is present in the living space, refer to Appendix A Combustion Appliance Safety Protocol. The woodstove/insert shall be properly sized for the home.

- Conduct a safety inspection including, but not limited to, visual inspection of the entire system, verification of adequate floor protection, and code-compliant clearances to walls and other combustible materials.
- It is required to perform visual draft testing of the fireplace/woodstove to ensure proper operation of the appliance as detailed in Appendix A Combustion Appliance Safety Protocol, Table 15.5.1.
- Fireplace or woodstove venting that is left operational after weatherization must meet current state (California Mechanical Code), local, and national standards or the home must be deferred.
  - If the primary heat source is a fireplace, pellet stove, or gas log system, it shall not be replaced.

7.1.10(c) Secondary Systems

7.1.10(c1) Unsafe secondary heat sources must be repaired, or removed and disposed of, or dwelling deferral is required.

7.1.10(c2) Unsafe secondary heat sources that cannot be repaired must be removed. Abandonment is not allowed.

- Unsafe portable space heaters must be removed.

7.1.10(c3) A secondary space heater is considered unsafe if it:

- Is not listed and labeled as meeting ANSI Z21.11.2
- Has an input rating of more than 40,000 BTU/hour
- Is in a bedroom and have an input rating of more than 10,000 BTU/hour
- Is in a bathroom and have an input rating of more than 6,000 BTU/hour
- Operates in an unsafe manner (e.g., high carbon monoxide (CO) readings, too close to combustible materials, lack sufficient combustion air volume, etc.)
- Is not allowed by the Authority Having Jurisdiction (AHJ)
- Is in a mobile home, and it is not vented to the outdoors.

7.1.10(c4) Removal of the appliance shall be billed under the "Disposal" line-item category for all labor and disposal fees pertaining to the appliance.

7.1.10(d) Mobile Home Combustion Appliances

7.1.10(d1) Combustion appliances in mobile homes must comply with the Manufactured Home Construction and Safety Standards, which mandates that:

- All combustion appliances installed by or left in place after weatherization in mobile homes must meet these standards.
- For mobile homes, malfunctioning combustion appliances shall be repaired or replaced before weatherization or they must be removed in accordance with Appendix A Combustion Appliance Safety Protocol.

- All fuel-burning appliances in mobile homes except ranges, ovens, illuminating appliances, clothes dryers, solid fuel-burning fireplaces and solid fuel-burning stoves, must be installed to provide for the complete separation of the combustion system from the interior atmosphere of the mobile home (i.e., to draw their combustion air from outside), and be vented to outside the dwelling.
- Repair or replacement of combustion gas venting shall be performed when necessary to ensure proper combustion gas venting to outside the dwelling for all combustion appliances, including but not limited to gas dryers and refrigerators, furnaces, vented space heaters, and water heaters.
- Nonconformance with this requirement will require correction or removal of the appliance.
- If a client will not allow removal of an unsafe combustion appliance (primary or secondary) from the home, deferral is required.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP, except as specified below.

TABLE 4-3: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
ACCESS, INSTALLED APPLIANCES					
3.0104.2f	Installing New Crawlspace Access	If the depth of the crawlspace passageway or the appliance service space exceeds 12" below the adjoining grade, the walls of the passageway will be lined with concrete or masonry extending 4" above the adjoining grade in accordance with Chapter 4 IRC.	X		X
BOILERS (HYDRONIC SYSTEMS)					
5.0203.1c	Boilers	Install unit in a dry location and within conditioned space (when feasible). Install equipment in a location and manner to provide ease of access for routine maintenance/service.	X		X
5.0203.1e	Boilers	Situate equipment on a stable, non-wicking, and fireproof material. Ensure unit is level, stable and supported independently of the distribution system.	X		X
5.0203.1f	Boilers	Install electrical wiring according to NFPA 70. Provide an electrical disconnect within site of the unit. Install all high voltage wiring inside of protective conduit and approved junction boxes, no wiring connections (high or low voltage) will occur outside of appropriate junction box.	X		X
5.0288.1a	Boiler Room Water Drainage	Route maintenance blow-down piping to the nearest drain.			X
5.0288.1b	Boiler Room Water Drainage	Remove debris from the drainage system and flush the system to remove any blockages. Verify that drainage system is capable of handling maximum volume of water.			X
5.0288.1c	Boiler Room Water Drainage	Clean the blow-down pit out to handle the volume of water required to sufficiently reduce blow-down temperature for safe discharge. Clear the blow-down pit connection to the drain.			X
5.0288.1d	Boiler Room Water Drainage	Size the sump pit to handle the volume of water required to sufficiently reduce water temperature for safe discharge. Verify that sump pump is rated for high-temperature application, operates correctly, and contains a check valve.			X
COMPRESSORS					
5.0103.4a	Compressors	Size compressor based on ASNI/ACCA Standard 5 QI (HVAC Quality Installation Specification).			X
5.0103.4b	Compressors	Locate new compressor on a stable and level surface with adequate ventilation.			X

TABLE 4-3: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
5.0103.4c	Compressors	Size refrigerant lines to match compressor and desired return velocities. Install new filter dryers when installing new compressors. Install P-type oil traps at the base of suction line risers and inverted P-type oil traps at the top of risers. Slope horizontal runs 1" per 20' toward the compressor. Install vibration absorbers. Route refrigerant piping so as not to inhibit service access to compressor or associated equipment.			X
5.0103.4d	Compressors	Install field wiring in accordance with applicable codes (i.e., NFPA 70) ensuring proper voltage, frequency, and phase coincide with the nameplate.			X
CONDENSATE REMOVAL					
5.0102.1a	Furnaces	Condensate from condensing furnaces must first pass through a neutralizer if using waste lines for disposal.	X	X	X
5.0102.1g, 5.0108.1o, 5.0108.2k, 5.0108.3p, 5.0108.4l, 5.0301.3e, 5.0301.2d	Split Systems, Package Units, Mini-Splits, Furnaces, PTAC/PTHP	When there is potential for condensation or freezing of the drain line, insulate condensate drain lines to a minimum of R-4 (R-3 for wall furnances and PTAC/PTHP units) with insulation that contains a Class II or greater vapor retarder.	X	X	X
ECONOMIZERS					
5.0188.1a	Economizers	Design economizer outdoor air dampers in accordance with ASHRAE 90.1 minimum requirements or applicable code.			X
5.0188.1b	Economizers	Install the economizer intake as far from pollutant sources as possible, but no less than 20 feet. Install the economizer controls with carbon dioxide (CO2) control in high occupancy spaces (demand control ventilation).			X
EQUIPMENT SIZING / LOAD CALCULATIONS					
5.0108.1a, 5.0108.2a, 5.0108.3a, 5.0108.4a, 5.0203.1a, 5.0301.2a, 5.0301.3a	Split Systems, Package Units, Mini-Splits, Furnaces, Wall Furnaces, PTAC/PTHP Units, and Boilers	Use interior design temperatures of 75 degrees for cooling and 70 degrees for heating. Room by room load calculations must be performed when installing a new duct system or in retro-commissioning projects. Calculated loads shall be based on post-retrofit dwelling characteristics.	X	X	X
5.0108.1b, 5.0108.2b, 5.0108.3b, 5.0108.4b, 5.0203.1b	Split Systems, Package Units, Mini-Splits, Furnaces, and Boilers	Select cooling equipment capable of meeting the sensible and latent load of the building, that is not sized more than 115% of total load (or the next available size). Select heating equipment of the lowest capacity required to meet the design heating load, and will provide the air volume required by any air conditioning equipment installed. Select outdoor units that are corrosion-protected for marine climate zones.	X	X	X
FUEL PIPING					
5.0504.1c	Natural Gas/ Propane Fuel Piping	Locate/route gas piping so a trip hazard will not be created, the lines will not be damaged by water, and to create the least pressure drop possible.	X	X	X
5.0504.1e	Natural Gas/ Propane Fuel Piping	All piping installations must contain, at a minimum, a manual gas shut off valve, a union joint, and a sediment trap at each appliance.	X	X	X

TABLE 4-3: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
5.0504.1f	Natural Gas/ Propane Fuel Piping	If installed, vent all gas pressure regulators requiring venting to outside the building with code approved rigid pipe. Terminate the pipe in a safe location without any thread, coupling, fitting, etc. that would allow a plug to be easily fitted.	X	X	X
5.0504.1h	Natural Gas/ Propane Fuel Piping	Install a secondary LP safety detector system (e.g., valve, exhaust fan, alarm light) for propane piping installed below grade.	X	X	X
5.0504.1i	Natural Gas/ Propane Fuel Piping	If a gas pressure booster is necessary, confirm compatibility with the gas-fired equipment and check low and high gas pressure switches for proper operation.	X	X	X
5.0504.2a	Oil Piping	Select approved pipe type in accordance with applicable code (e.g., NFPA 31, IMC).	X	X	X
5.0504.2b	Oil Piping	Locate/route oil piping so a trip hazard is not created and the pipe will not be damaged by water.	X	X	X
5.0504.2d	Oil Piping	All piping installations must contain at a minimum: a fire valve, a manual oil shut off valve, a union joint, and a filter fitting for each appliance.	X	X	X
5.0504.2e	Oil Piping	If a fuel pump is required, design it based on fuel type, distance from tank, and equipment size. Install a serviceable strainer in the pump supply side. The pump must be interlocked with the appliance to cut off when the appliance is not functioning.	X	X	X
HVAC UNIT INSTALLATION					
5.0108.1e, 5.0108.1g, 5.0108.2e, 5.0108.3e, 5.0108.3g, 5.0108.4d, 5.0108.5c	Split Systems, Package Units, Mini-Splits, Furnaces, and Evaporative Coolers	Install unit(s) according to ANSI/ACCA Standard 5 (HVAC Quality Installation Standard).	X	X	X
5.0108.1d,	Split Systems, Package Units	Ensure unit is elevated on a non-wicking equipment pad a minimum of 6" above the ground (may use a combination of the existing 3" slab and manufacturer supplied appliance risers).	X	X	X
5.0108.3d	Mini-Splits	Locate the outdoor unit a minimum of 6" above the snow line.	X	X	X
5.0108.1i, 5.0108.1j, 5.0108.1k, 5.0108.4f, 5.0108.4g, 5.0108.4h	Split Systems and Furnaces (horizontal and upflow)	If required by the local jurisdiction, support equipment on a fireproof platform that is elevated above the insulation level or suspend the unit with threaded rod. Install vibration pads/isolators.	X	X	X
5.0108.1l, 5.0108.4i	Split Systems and Furnaces	Support equipment on ductwork capable of supporting the weight of the equipment.	X	X	X
5.0108.1r, 5.0108.2l, 5.0108.4n	Split Systems, Package Units, and Furnaces	If required by the local jurisdiction, install smoke detectors inside the supply duct plenum of systems that move more than 2,500 cubic feet per minute (CFM).	X	X	X
5.0108.3b	Mini-Splits	When applicable, supply multiple indoor units with a single outdoor unit using manufacturer specifications to determine allowable overage of indoor unit capacity in relation to the outdoor unit, and the derated capacity of indoor units based on outdoor design temperature. When applicable, select units that offer ducting options (e.g., ceiling cassette units have a knock out for a 5" or 6" duct) and/or have an outdoor air intake.	X	X	X

TABLE 4-3: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
5.0108.3h	Mini-Splits	Insulate the concealed ceiling cassette unit(s) to a minimum of R-6 when contained inside a building cavity, (even when inside the thermal boundary) without hindering access to serviceable parts. Insulation must include a sealed vapor retarder layer.	X	X	X
HYDRONIC SYSTEMS					
5.0202.2a	Distribution Insulation	Select insulation that: • Is rated for the maximum operating temperature of the system • Is R-3 or greater	X		X
5.0202.2b	Distribution Insulation	Install insulation over all distribution system components that allow insulation in a continuous manner without gaps. Seal all seams, joints, and connections of insulation with a durable sealant or mechanical fasteners (e.g., zip ties). Install removable/reusable insulation over components that require regular maintenance.	X		X
5.0202.2c	Distribution Insulation	Post a dated receipt signed by the installer that minimally includes: Installed insulation type, coverage area, installed thickness, and installed R-value.	X		X
PACKAGED TERMINAL AIR CONDITIONER (PTAC) / PACKAGED TERMINAL HEAT PUMP (PTHP)					
5.0301.2b	PTAC/PTHP Units	Select new unit that: • Is ENERGY STAR qualified or equivalent • Does not use electric resistance heat as the primary heat source (i.e., select Heat Pump units) • Is corrosion-resistant in marine climates • Is ducted, if conditioning multiple rooms	X		X
5.0301.2c	PTAC/PTHP Units	Where applicable, unit controls and thermostat must comply with the operable parts provisions of ICC A117.1 when the dwelling unit is required to be accessible per ADA. Where required, maintain egress requirements in accordance with ANSI/NFPA 101 and local laws.	X		X
5.0301.2e	PTAC/PTHP Units	Before installing through-wall unit, seal all adjacent framing and provide a sealed and sleeved opening. After installation, seal the perimeter with suitable materials (e.g., ASTM C1193).	X		X
5.0301.2f	PTAC/PTHP Units	If unit is ducted, insulate all cooling ducts (including those inside the thermal boundary).	X		X
REFRIGERANT					
5.0103.1c	Refrigerant Lines	Install proper filter dryer(s) on all systems. Install P-traps on suction line risers that are greater than 10' in height.	X	X	X
5.0103.1d	Refrigerant Lines	Insulate all suction lines to a minimum of R-4 with an insulation that is a class II or better vapor retarder. Insulate all high pressure lines that pass through spaces where condensation may occur to a minimum of R-4 with an insulation that is a class II or better vapor retarder.	X	X	X
5.0103.2b	Refrigerant Charge	Weigh in calculated refrigerant charge if outdoor conditions prevent accurate pressure measurements.	X	X	X
5.0103.2c	Refrigerant Charge	Provide occupant/owner with refrigerant charge documentation according to ANSI/ACCA Standard 5 (HVAC Quality Installation).	X	X	X
ISOLATE CAZ					
5.0501.1d	Isolate CAZ	If required by the local jurisdiction, insulate all surfaces of the isolated room between the room and conditioned space to the applicable code minimum for the climate zone according to the IECC.	X	X	X

7.2.2 If weatherization installs an appliance where the existing appliance was vented into a masonry chimney, the chimney must be lined in compliance with the International Fuel Gas Code (IFGC), California Mechanical Code, and local code (if more stringent).

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Check that the unit was installed properly and that the heating and/or cooling source operates as intended by the manufacturer.

8.1.2 Verify that all electrical and refrigerant line connections are correct and secure.

8.1.3 Test the controls of the heating and cooling unit to ensure proper operation in all modes.

8.1.4 If provided, program the remote control per the manufacturer's instructions.

8.1.5 CAS Check (Combustion units)

8.1.5(a) All new and affected gas lines and components shall be checked for gas leaks by a method approved by the local jurisdiction

8.1.5(b) CO in flue gas shall be tested to be within limits specified by:

8.1.5(b1) Appendix A Combustion Appliance Safety Protocol or

8.1.5(b2) Manufacturer's instructions, if more stringent

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure-specific verbal and written instructions include:

8.2.2(a) Removal and installation of winterizing materials

8.2.2(b) Safe placement of interior furnishings with respect to the heat source

8.2.2(c) Keeping the appliance area, return grilles and supply registers clear of furniture, dust, debris, hazardous chemicals, and other blockages

8.2.2(d) Combustion air inlet locations and the importance of keeping inlets open

8.2.2(e) Importance of leaving interior doors open as much as possible

8.2.2(f) Importance of keeping outside unit clear of debris, vegetation, decks, and other blockage

8.2.2(g) Indoor and outdoor electrical disconnects and fuel shut-offs

8.2.2(h) When applicable, information about the proper disposal of bulk fuel tanks when not removed as part of weatherization work

8.2.2(i) Where combustion equipment is present, information including how to recognize depressurization and the dangers of CO poisoning associated with combustion appliance use

8.2.2(j) Situations when the occupant should contact the HVAC contractor will be explained, including:

8.2.2(j1) Fuel odors

8.2.2(j2) Water draining from secondary drain line

8.2.2(j3) Emergency heat indicator always on for a heat pump system

8.2.2(j4) System blowing warm air during cooling season

8.2.2(j5) Icing of the evaporator coil during cooling mode

8.2.2(j6) Outside unit never defrosts

8.2.2(j7) Unusual noises or odors

8.2.2(j8) Warranty information

8.2.2(k) Issues regarding multiple systems running will be discussed with occupant

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 Air Conditioner, Furnace, or Heat Pump

9.1.1(a) LIHEAP: 19 years

9.1.1(b) DOE: 15 years (Furnace: 20 years)

9.1.2 Evaporative Cooler or Wall Heater

9.1.2(a) LIHEAP: 15 years

9.1.2(b) DOE: 15 years

9.1.3 Window/Wall Air Conditioner

9.1.3(a) LIHEAP: 14 years

9.1.3(b) DOE: 14 years

9.2 All Heating and Cooling Units

9.2.1 Appliance Sizing and Selection

9.2.1(a) Building heating and cooling loads, used for equipment sizing and selection, shall be determined based on any one of the following:

9.2.1(a1) ACCA Manual J, or

9.2.1(a2) Sheet Metal and Air Conditioning Contractors National Association (SMACNA) Residential Comfort System Installation Standards Manual, or

9.2.1(a3) American Society of Heating, Refrigeration, and Air-Conditioning Engineers (ASHRAE) Handbook (Equipment, Applications and Fundamentals Volumes)

9.2.1(a4) Equipment selection will be performed in accordance with ANSI/ACCA Manual S and manufacturer specifications

9.2.1(b) The unit shall be sized to meet the minimum requirements, but not larger than necessary and in accordance with Title 24 and local code.

9.2.2 Air Filter

9.2.2(a) Filters shall be selected in accordance with those prescribed in Section 10 Air Filters.

9.2.3 Ducts and Sealants

9.2.3(a) Materials shall conform with those prescribed in Section 8 Ducting Repair, Sealing, and Insulation.

9.2.4 Thermostats

9.2.4(a) Programmable, smart, and manual wall thermostats shall be selected in accordance with Section 7 Thermostats—Smart, Programmable, and Manual.

9.2.5 Gas Pipes and Valves

9.2.5(a) Gas valves must be UL-listed and American Gas Association (AGA)- or Canadian Standards Association (CSA)-certified.

9.2.5(b) Gas flexible connectors must be International Association of Plumbing and Mechanical Officials (IAPMO)–listed epoxy-coated or stainless-steel units.

9.2.5(c) Pilot tubing shall be aluminum. Copper is not allowed.

9.2.5(d) Fuel-gas piping shall be selected, sized, and installed per CMC, Chapter 13. Copper gas lines are not allowed.

9.2.6 Vent Pipes

9.2.6(a) Metal vent pipes

9.2.6(a1) All metal vent pipes, vent connectors and components shall be UL-listed.

9.2.6(a2) Gas vent pipe shall be Type B or B-W.

9.2.6(b) Non-metallic combustion air and vent pipes

9.2.6(b1) Pipes and fittings shall be labeled to conform to American Society of Testing and Materials (ASTM) D 1785 and D 2665.

9.2.6(b2) Pipe cement and primer shall be labeled to conform to ASTM D 2564.

9.2.7 Refrigerant Theft Protection

9.2.7(a) Locking caps shall be brass with integral O-ring and a covering that is color-coded or labeled for the refrigerant type.

9.3 Central Cooling

9.3.1 The AC shall have a minimum seasonal energy efficiency ratio 2 (SEER2) and energy efficiency ratio 2 (EER2) depending on AC type:

9.3.1(a) Package units

9.3.1(a1) Minimum SEER2 of 13.4 and EER2 of 10.6

9.3.1(a2) DOE WAP Replacements: Shall be ENERGY STAR®–certified or equivalent and a minimum 15.2 SEER2 / 11.5 EER2.

9.3.1(b) Split systems

9.3.1(b1) Less than 45 kBtuh: minimum SEER2 of 14.3 and EER2 of 11.7

9.3.1(b2) Greater than or equal to 45 kBtuh: minimum SEER2 of 13.8 and EER2 of 11.2

9.3.1(b3) If the split system is rated SEER of 16.0 or greater, the unit must have a minimum EER2 rating of 9.8.

9.3.1(b4) DOE WAP Replacements: Shall be ENERGY STAR®–certified or equivalent and a minimum 15.2 SEER2 / 12.0 EER2.

9.3.2 SEER shall be determined by the coil and condenser combination as listed in the current AHRI directory.

9.4 Central Heat Pumps

9.4.1 Package units

9.4.1(a) Minimum heating season performance factor 2 (HSPF2) of 6.7

9.4.1(b) Minimum SEER2 of 13.4

9.4.1(c) DOE Replacements (non-Priority List): Shall be ENERGY STAR®–certified and a minimum 15.2 SEER2 / 7.2 HSPF2

9.4.1(d) DOE Priority List Replacements: Shall be ENERGY STAR®–certified and a minimum 15.2 SEER2 / 7.8 HSPF2

9.4.2 Split systems

9.4.2(a) Minimum HSPF2 of 7.5

9.4.2(b) Minimum SEER2 of 14.3

9.4.2(c) DOE Replacements (including Priority List Replacements): Shall be ENERGY STAR®–certified and a minimum 15.2 SEER2 / 7.8 HSPF2

9.4.3 The SEER2 and HSPF2 shall be determined by the coil and condenser combination as listed in the current AHRI Directory.

9.4.4 Dual fuel heat pumps: The furnace shall conform with Central Furnace.

9.5 Mini-Split Heat Pumps

9.5.1 All ductless mini split heat pumps shall:

9.5.1(a) Be ENERGY STAR®–certified or equivalent

9.5.1 (b) A minimum 15.2 SEER2 / 8.5 HSPF2

9.5.1 (c) Be a wall-mount, floor-mount, or ceiling cassette type

9.5.1 (d) Include a programmable thermostat

9.5.1 (e) DOE Priority List Replacements: Shall be ENERGY STAR®–certified and a minimum 19 SEER2 / 10 HSPF2

9.5.2 Indoor and outdoor units performance shall be verified by AHRI listing.

9.5.3 In colder climates with >3,600 heating degree days (HDD), units must comply with National Energy Efficiency Guidelines (NEEP) guidelines.

9.6 Wall/Window AC

9.6.1 All replacement window/wall-mounted ACs and heat pumps shall be:

9.6.1 (a) UL-listed and ENERGY STAR®–certified

9.6.1 (b) Equipped with:

9.6.1 (b1) Minimum two-speed fan

9.6.1 (b2) Adjustable thermostat with a minimum of six positions

9.6.1 (b3) Removable filter

9.6.1 (b4) Minimum four-way air directional control

9.6.1 (c) Rated with a minimum Combined EER compliant with Table 4-4.

9.6.1 (c1) DOE Priority List Replacements shall be a minimum 12 Combined EER.

TABLE 4-4: MINIMUM COMBINED EER

Appliance	Cooling Capacity (Btuh) with Louvered Sides	Minimum Combined EER	Cooling Capacity (Btuh) without Louvered Sides*	Minimum Combined EER
Window/Wall AC	<6,000	13.1	<6,000	12.8
	≥6,000–7,999	13.7	≥6,000–7,999	12.8
	≥8,000–13,999	14.7	≥8,000–10,999	13.0
	≥14,000–19,999	14.4	≥11,000–13,999	12.8
	≥20,000–27,999	12.7	≥14,000–19,999	12.6
	≥28,000	12.2	≥20,000	12.7
Room AC Heat Pump	<20,000	13.2	<14,000	12.6
	≥20,000	12.6	≥14,000	11.7
Casement-Only Room AC	Any	12.8	Any	12.8
Casement-Slider Room AC	Any	14.0	Any	14.0
*Without louvered sides = Through-the-wall units				

9.6.1 (d) Wall units must be equipped with a through-the-wall chassis (sleeve).

9.6.1 (e) Unit sizing: The new unit shall comply with manufacturer's recommendations and the sizing guidelines outlined in Table 4-5

TABLE 4-5: REPLACEMENT UNIT CAPACITY BASED ON SQUARE FOOTAGE OF AREA TO BE COOLED

Area to Be Cooled (Sq. Ft.)	Capacity (Btuh)*
100–150	5,000
151–250	6,000
251–300	7,000
301–350	8,000
351–400	9,000
401–450	10,000
451–500	12,000
501–700	14,000
701–1,000	18,000
*Adjustments: If the room is heavily shaded, reduce capacity by 10%. If the room is very sunny, increase capacity by 10%. If more than two people regularly occupy the room, add 600 Btuh for each additional person. If the unit is installed in a kitchen, increase capacity by 4,000 Btuh.	

9.6.1 (f) DOE only: In accordance with the Priority List, select heat pump units only.

9.7 Cooling—Evaporative

9.7.1 All Units

9.7.1 (a) UL-listed (or equivalent) and compliant with UL 507.

9.7.1 (b) Surface burning characteristics shall be per UL 723 and ASTM E-84.

9.7.1 (c) Air movement shall have been factory-tested per ANSI/Air Movement and Control Association Standard 210.

9.7.1 (d) Equipped with a code-compliant automatic cleaning device, such as an automatic flushing system (e.g., timed purging).

9.7.1 (d1) A bleed-off system may be used only when allowed by the local jurisdiction.

9.7.1 (e) Installed unit sizing requirements per Table 4-6:

TABLE 4-6: COOLER SIZING GUIDELINES

Cooler Capacity (Airflow in CFM)	Maximum Sq. Ft. Area	
	At 3.0 CFM per sq. ft. (22 air changes/hour [ACH]) (Average Climate)	At 4.0 CFM per sq. ft. (30 ACH) (Hot, Dry Climate)
3000	1000	750
3500	1165	875
4000	1330	1000
4500	1500	1125
5000	1665	1250
5500	1830	1375
6000	2000	1500
6500	2165	1625

9.7.1 (f) DOE: Select units that comply with UL 1995 or UL/CSA/ANCE 60335-2-40.

9.7.2 Media—Standard Pads (Fig. 4-34)

9.7.2(a) Pads shall be:

9.7.2(a1) Aspen excelsior bound in netting or

9.7.2(a2) Honeycomb cellulose fiber pad or

9.7.2(a3) The type specified by the cooler manufacturer

9.7.2(b) All pads shall have minimum 1" thickness. (Two thinner pads may be used to achieve 1" thickness.)

9.7.2(c) The size shall be as specified by the cooler manufacturer.

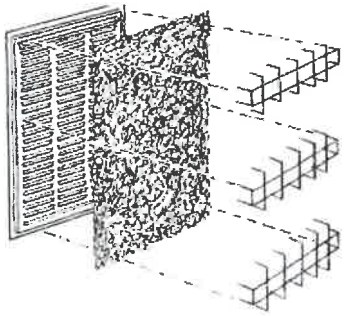

FIG. 4-34: STANDARD EXCELSIOR COOLER PAD

9.7.3 Media—High-Efficiency (Fig. 4-35)

9.7.3(a) Only rigid media shall be used.

9.7.3(b) The size shall be as specified by the cooler manufacturer.

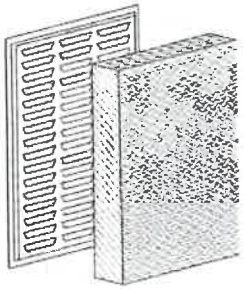

FIG. 4-35: HIGH-EFFICIENCY COOLER PAD

9.7.4 Replacement Blower Motor

9.7.4(a) The replacement motor shall be:

9.7.4(a1) UL-listed or a UL-recognized component designed for moist conditions

9.7.4(a2) Equipped with thermal overload protection

9.7.4(a3) Wired for at least two speeds

- Exception: If the existing motor is single-speed, the replacement may be single-speed.

9.7.4(a4) Rated at 115/120 volts, 60 Hz, single phase

9.7.5 Replacement belts shall be general purpose "A" or "4L" section utility belts.

9.7.6 Pump Requirements

9.7.6(a) The pump shall be:

9.7.6(a1) A UL-listed or a UL-recognized component

9.7.6(a2) A grounded UL-recognized motor with thermal overload protection

9.7.6(a3) Protected from water damage to the motor winding (e.g., by shaft sleeve, skirting, etc.)

9.7.6(b) The pump shall have a molded screen or other factory-supplied screening device to keep debris out of the impeller.

9.7.7 Water Supply Shut-Off Valve and Fittings

9.7.7(a) Valves and fittings shall be brass only.

9.7.7(b) A self-tapping needle valve is not allowed.

9.7.8 Drain Line

9.7.8(a) Acceptable drain line materials include copper, PVC, and galvanized pipe.

9.7.9 Supports

9.7.9(a) Window-/wall-mount cooler supports:

9.7.9(a1) All metal brace support material shall be minimum ¾" x ¾" angle iron or equivalent.

9.7.9(a2) All metal shall be primed, anodized, painted, galvanized, or corrosion-resistant (e.g., aluminum).

9.7.9(b) Metal frame components

9.7.9(b1) Use minimum ¾" x ¾" 16-gauge angle iron or equivalent for the support stand.

9.7.9(b2) All metal shall be primed, anodized, painted, galvanized, or corrosion-resistant (e.g., aluminum).

9.7.9(c) Materials for wooden platforms shall be:

9.7.9(c1) Exterior-grade

9.7.9(c2) Sealed with exterior primer and paint

9.7.9(d) Window/wall cooler attachments shall comply with the manufacturer's minimum specifications; however:

9.7.9(d1) Non-corrosive screws or lag bolts shall be used

9.7.9(d2) Nails and molly bolts are not allowed

9.7.9(e) Framing

9.7.9(e1) Use minimum 2x4 pressure-treated lumber or redwood.

9.7.9(f) Plywood for bracing and sheathing

9.7.9(f1) Use exterior-grade materials.

9.7.10 Supply Lines

9.7.10(a) Replacement supply lines shall be minimum ¼" OD copper tubing.

9.8 Central Furnace

9.8.1 Conventional Home Furnaces

9.8.1(a) Units shall conform with the requirements of the current California Building Code (CBC), CMC, DOE, Title 24 Residential Compliance Manual, and Title 20 Appliance Efficiency Regulations.

9.8.1(b) Unit efficiency shall be verified by inclusion in the California Energy Commission (CEC) database of certified appliances.

9.8.1(c) All units and components shall be UL-listed and/or certified by CSA, AGA, or AHRI.

9.8.2 Split systems

9.8.2(a) Minimum annual fuel utilization efficiency (AFUE) rating: 80%

9.8.2(b) DOE Replacements: Shall be ENERGY STAR®–certified or equivalent and ≥ 90% AFUE.

9.8.3 Package Units (Dual Packs)

9.8.3(a) Minimum AFUE rating: 81%. If replaced in conjunction with the furnace, the AC shall have a minimum SEER2 of 13.4.

9.8.3(b) DOE Replacements: Shall be ENERGY STAR®–certified or equivalent and ≥ 90% AFUE. If replaced in conjunction with the furnace, the AC shall have a minimum SEER2 of 15.2.

9.8.4 Oil-Fired Furnaces

9.8.4(a) Split system minimum AFUE rating: 83%

9.8.4(b) Package unit minimum AFUE rating: 78%

9.8.4(c) Mobile home minimum AFUE rating: 75%

9.8.4(d) DOE Replacements: Shall be ENERGY STAR®–certified or equivalent and a minimum 85% AFUE for all furnace types (i.e., package, split, or mobile home).

9.8.5 Mobile Home Gas Furnaces

9.8.5(a) HVAC equipment installed in a mobile home shall be listed for use in a mobile home.

9.8.5(a1) Materials installed inside a mobile home shall comply with HCD regulations.

9.8.5(a2) Materials installed outside a mobile home shall comply with HCD regulations or, as applicable, the requirements of the local building department.

9.8.5(b) Units shall be sealed combustion when inside the living space.

9.8.5(c) Minimum AFUE rating: 80%

9.8.5(d) DOE Replacements: Shall be ENERGY STAR®–certified or equivalent and ≥ 90% AFUE.

9.9 Floor/Wall and Freestanding Furnace

9.9.1 Units shall conform with the requirements of the current CBC, CMC, DOE, Title 24 Residential Compliance Manual, and Title 20 Appliance Efficiency Regulations.

9.9.2 Installed appliances shall be:

9.9.2(a) UL-listed and/or certified by CSA or AGA

9.9.2(b) Closed combustion and listed for use in a mobile home when installed in a mobile home

9.9.2(c) The most efficient model feasible to install, but no lower in efficiency than specified in Table 4-7

TABLE 4-7: MINIMUM HEATING EFFICIENCY FOR NON-DUCTED, NON-CENTRAL, GAS-FIRED HEATING EQUIPMENT

Furnace Type	Btuh Output Capacity	Minimum AFUE (%)
Wall Furnace with Fan	≤42,000	75%
	>42,000	76%
Wall Furnace without Fan	≤27,000	65%
	≥27,001–≤46,000	66%
	>46,000	67%
Floor Furnace	≤37,000	57%
	>37,000	58%
Freestanding Room Heater	≤20,000	61%
	>20,000–≤27,000	66%
	>27,000–≤46,000	67%
	>46,000	68%

Source: Title 24 2022 Residential Compliance Manual, Section 4.2

9.10 Wood Stove/Fireplace Insert

9.10.1 Wood Stove/Insert

9.10.1(a) Only new wood stove/insert manufacturer–approved, factory-built, and laboratory-listed equipment and other hardware shall be installed.

9.10.1(b) All wood stoves/inserts shall bear a permanently-affixed label stating "For use with solid fuel only."

9.10.1(c) Where applicable, any installed wood stove/insert shall comply with the EPA Phase II emission limits and shall bear temporary label(s) certifying it conforms to EPA emission standards.

9.10.2 Units Installed in Mobile Homes

9.10.2(a) Units installed in mobile homes shall:

9.10.2(a1) Draw CVA from outdoors and

9.10.2(a2) Bear a permanent manufacturer's label stating the wood stove/insert is approved for use in mobile homes

9.10.3 Chimneys, Connectors, and Components

9.10.3(a) Chimneys and connectors must be factory-built, laboratory-listed, Class A–types specified by the manufacturer, including:

9.10.3(a1) A ceiling support package when a vent connector is used

9.10.3(a2) An insulation shield when penetrating an attic

9.10.3(a3) A chimney cap and spark arrestor

10. WARRANTY

Appliance	Manufacturer	Contractor
Central AC/Heat Pump		
Repair	90 days	1 year
Install	5 years (compressor) 1 year (other)	1 year
Central Heat Pump		
Repair	90 days	1 year
Install	5 years (compressor) 1 year (other)	1 year
Mini-Split Heat Pump		
Install	5 years	1 year
Evaporative Cooler		
Repair	90 days	1 year
Install	5 years (reservoir pan) 1 year (other)	1 year
Wall/Window AC		
Repair	90 days	1 year
Install	5 years (compressor) 1 year (other)	1 year
Central Furnace/Heat Pump		
Repair	90 days	1 year
Install	1 year	1 year
Floor/Wall and Freestanding Furnace		
Repair	90 days	1 year
Install	1 year	1 year
Wood Stove/Fireplace Insert		
Install	3 years (stove) 1 year (other)	1 year

5. ECM Blower Motors

Table of Contents

1. **MEASURE OBJECTIVE** **5-1**

2. **INSTALL THIS MEASURE WHEN:** **5-1**
   - 2.1. Repair 5-1
   - 2.2. Install 5-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **5-1**

4. **INSTALLATION GUIDELINES** **5-1**
   - 4.1. General Requirements 5-1
   - 4.2. Installation Procedure 5-1
     - *4.2.3 Electrical* *5-2*
     - *4.2.4 Operational Tests and Adjustments* *5-2*

5. **MOBILE HOME–SPECIFIC** **5-2**
   - 5.1. Installation Requirements 5-2

6. **MULTI-FAMILY–SPECIFIC** **5-2**
   - 6.1. Installation Requirements 5-2

7. **DOE-SPECIFIC** **5-2**
   - 7.1. Assessment Requirements 5-2

8. **POST-INSTALLATION GUIDELINES** **5-2**
   - 8.1. Quality Check 5-2
   - 8.2. Client Education 5-2
   - 8.3. Clean-Up and Disposal Requirements 5-3

9. **MATERIAL SPECIFICATIONS** **5-3**

10. **WARRANTY** **5-3**

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ECM Blower Motors

1. MEASURE OBJECTIVE

1.1 A high-efficiency, variable-speed, electronically commutated motor (ECM) saves energy when installed to replace an existing direct-drive permanent split capacitor (PSC) blower motor in a central forced air unit (FAU).

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 The dwelling is cooled by a central heating, ventilation, and air conditioning (HVAC) system (package unit, split system, heat pump, or hydronic system) with an operable or inoperable direct-drive PSC blower motor

2.2.2 All FAU housing access panels are functional

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The existing central FAU:

3.1.1 Will be replaced

3.1.2 Is inaccessible, is non-operational, or requires service or repair that is not feasible under Section 4 Heating and Cooling

3.1.3 Has a defective or excessively leaky plenum or duct system that cannot feasibly be sealed or replaced per Section 8 Ducting Repair, Sealing, and Insulation

3.1.4 Is on a recall list (e.g., the Consumer Product Safety Commission [CPSC] Recall List [https://www.cpsc.gov/Recalls])

3.1.5 Has inadequate clearance for the new motor

3.2 The replacement blower motor requires a special mounting hardware/bracket that cannot feasibly be installed

3.3 Installation would violate the Appendix E Health and Safety Requirements

3.4 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 This measure may be installed in any primary or secondary HVAC system, as defined in Section 4 Heating and Cooling.

4.1.2 Any needed HVAC service or repair shall be completed per Section 4 Heating and Cooling.

4.1.3 If required, CAS testing shall be performed per Appendix A Combustion Appliance Safety Protocol.

4.2. Installation Procedure

4.2.1 The air filters in the existing HVAC unit must be cleaned or replaced in accordance with Section 10 Air Filters.

4.2.2 The static pressure in the supply plenum shall be measured with the PSC motor running.

4.2.3 Electrical

4.2.3(a) Best practice: Photograph or label the existing wiring connections for reference before commencing the installation.

4.2.3(b) The motor voltage and rotation direction shall be set.

4.2.3(c) The ECM blower motor speed that produces the same static pressure in the supply plenum as the PSC motor shall be selected.

4.2.3(c1) For an inoperable motor, use the HVAC manufacturer's data to estimate the design static pressure (up to a maximum of 0.8 inches of water column).

4.2.3(d) Place a completed ECM wiring label/sticker near the existing wiring diagram.

4.2.4 Operational Tests and Adjustments

4.2.4(a) Measure the system airflow.

4.2.4(b) Adjust the ECM blower motor speed to achieve:

4.2.4(b1) The same supply plenum static pressure as the PSC motor

4.2.4(b2) The design cubic feet per minute (CFM) per ton of cooling, when applicable

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (i.e., individual unit and whole-building) are the same as those for conventional homes.

6.1.2 Installation of this measure on a common system that serves multiple units is not allowed.

6.1.3 Common area installation of this measure (e.g., in a kitchen, laundry room, etc. within the same thermal boundary as the dwelling units) is not allowed when only an individual unit is served.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Proper operation of the ECM blower shall be tested in the heating and/or cooling and fan-only modes and adjust/set as needed.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure-specific verbal and written instructions include:

8.2.2(a) Explain the energy-saving operation of the ECM to the customer.

8.2.2(b) Occupants shall be advised that the ECM may sometimes operate at slower speeds, which may result in perceived abnormally warm and/or cool air coming from the supply registers.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life:

9.1.1 LIHEAP: 10 years

9.1.2 DOE: Not applicable to this measure.

9.2 The motor component shall be:

9.2.1 Underwriters Laboratories (UL)– or Canadian Standards Association (CSA)–listed

9.2.2 A variable-speed ECM with a horsepower and torque rating that closely matches that of the existing motor and produces the required static pressure

9.3 Accessories (when required by the blower motor manufacturer or local code):

9.3.1 A digital programmer compatible with the motors it will program

9.3.2 Commercially available replacement motor mounting hardware compatible with the ECM being installed

10. WARRANTY

10.1 Manufacturer—2 years minimum

10.2 Contractor—1 year

6. Efficient Fan Controllers

Table of Contents

1. **MEASURE OBJECTIVES** 6-1
2. **INSTALL THIS MEASURE WHEN:** 6-1
   - 2.1. Repair 6-1
   - 2.2. Install 6-1
3. **DO NOT INSTALL THIS MEASURE WHEN:** 6-1
4. **INSTALLATION GUIDELINES** 6-1
   - 4.1. General Requirements 6-1
   - 4.2. Installation Procedure 6-1
5. **MOBILE HOME–SPECIFIC** 6-2
   - 5.1. Installation Requirements 6-2
6. **MULTI-FAMILY–SPECIFIC** 6-2
   - 6.1. Installation Requirements 6-2
7. **DOE-SPECIFIC** 6-2
   - 7.1. Assessment Requirements 6-2
8. **POST-INSTALLATION GUIDELINES** 6-2
   - 8.1. Quality Check 6-2
   - 8.2. Client Education 6-2
   - 8.3. Clean-Up and Disposal Requirements 6-2
9. **MATERIAL SPECIFICATIONS** 6-3
10. **WARRANTY** 6-3

Efficient Fan Controllers

1. MEASURE OBJECTIVES

1.1 Installation of an efficient fan controller (EFC)/fan delay extends the air handler runtime to extract more heating/cooling from a central forced air unit (FAU).

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 The dwelling is cooled by a central heating, ventilation, and air conditioning (HVAC) system (package unit, split system, heat pump, or hydronic system) that is operating safely and properly and

2.2.2 All FAU housing access panels are functional and

2.2.3 The HVAC system has a 24-volt alternating current (AC) thermostat and blower control

2.2.4 The HVAC unit is one of the following types:

2.2.4(a) High-efficiency (with or without a condensing furnace) with a brushless permanent magnet (BPM) fan motor

2.2.4(b) Standard efficiency with a permanent split capacitor (PSC) fan motor

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The existing central FAU:

3.1.1 Is inaccessible, non-operational, or requires service or repair that is not feasible under Section 4 Heating and Cooling

3.1.2 Has a defective or excessively leaky plenum or duct system that cannot feasibly be sealed or replaced per Section 8 Ducting Repair, Sealing, and Insulation

3.1.3 Is on a recall list (e.g., the Consumer Product Safety Commission [CPSC] Recall List [https://www.cpsc.gov/Recalls])

3.1.4 Does not have a suitable location to install an EFC

3.1.5 Already has an EFC installed

3.2 Installation would violate Appendix E Health and Safety Requirements

3.3 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 This measure may be installed in any primary or secondary HVAC system, as defined in Section 4 Heating and Cooling.

4.1.2 Any needed HVAC service or repair shall be completed per Section 4 Heating and Cooling.

4.1.3 If required, CAS testing shall be performed per Appendix A Combustion Appliance Safety Protocol.

4.2. Installation Procedure

4.2.1 The air filters in the existing HVAC unit must be cleaned or replaced in accordance with Section 10 Air Filters.

4.2.2 Verify proper operation of the HVAC system in heating and/or cooling mode and proper thermostat voltage (24-volt AC) before attempting installation.

4.2.3 Best practice: Photograph or label the existing wiring connections for reference before commencing the installation.

4.2.4 Install the EFC as an additional control component (not to replace any existing component).

4.2.5 Operate the furnace (when it is cold outside) or the air conditioner (when it is warm outside) for the prescribed amount of time and make adjustments as needed.

4.2.5(a) The time delay for the equipment will be set as appropriate for the climate zone (e.g., no time delay for hot humid climates).

4.2.6 Attach a manufacturer's retrofit identification label and instructions to the modified appliance.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (i.e., individual unit and whole-building) are the same as those for conventional homes.

6.1.2 Installation of this measure on a common system that serves multiple units is not allowed.

6.1.3 Common area installation of this measure (e.g., lobby, entertainment room, kitchen, etc. within the same thermal boundary as the dwelling units) is not allowed when only an individual unit is served.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Check the fan-off time delay for proper operation in heating and air conditioning modes.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure-specific verbal and written instructions include:

8.2.2(a) Explain the function of the EFC to the client.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 10 years

9.1.2 DOE: Not applicable to this measure.

9.2 The EFC shall:

9.2.1 Be compatible with the HVAC or heat pump unit on which it is installed

9.2.2 Include a control module and wiring harness

9.2.3 Have the following certifications:

9.2.3(a) Low-voltage (24-volt AC) controllers: Listing not required

9.2.3(b) Line voltage (110-volt AC) controllers: Underwriters Laboratories (UL) or equivalent listing required

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

7. Thermostats—Smart, Programmable, Manual

Table of Contents

1. **MEASURE OBJECTIVES** 7-1

2. **INSTALL THIS MEASURE WHEN:** 7-1
   - 2.1. Repair 7-1
   - 2.2. Install 7-1
     - *2.2.1 All Thermostat Types* 7-1
     - *2.2.2 Programmable Thermostat* 7-1
     - *2.2.3 Smart Thermostat* 7-1
     - *2.2.4 Manual (Non-Programmable) Thermostat* 7-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** 7-1
   - 3.1. All Thermostat Types 7-1
   - 3.2. Programmable Thermostat 7-2
   - 3.3. Smart Thermostat 7-2

4. **INSTALLATION GUIDELINES** 7-2
   - 4.1. General Requirements 7-2
   - 4.2. Installation Procedure 7-3
     - *4.2.1 All Thermostats* 7-3
     - *4.2.2 Programmable Thermostat* 7-3
     - *4.2.3 Smart Thermostat* 7-3
     - *4.2.4 Heat Pump Thermostat* 7-4

5. **MOBILE HOME–SPECIFIC** 7-4
   - 5.1. Installation Requirements 7-4

6. **MULTI-FAMILY–SPECIFIC** 7-4
   - 6.1. Installation Requirements 7-4

7. **DOE-SPECIFIC** 7-4
   - 7.1. Assessment Requirements 7-4
   - 7.2. Installation Requirements 7-5

8. **POST-INSTALLATION GUIDELINES** 7-6
   - 8.1. Quality Check 7-6
   - 8.2. Client Education 7-6
   - 8.3. Clean-Up and Disposal Requirements 7-6

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9. MATERIAL SPECIFICATIONS 7-6

10. WARRANTY 7-7

Thermostats—Smart, Programmable, Manual

1. MEASURE OBJECTIVES

1.1 An operable thermostat is necessary for the proper functioning of a heating, ventilation, and air conditioning (HVAC) system.

1.2 A programmable thermostat can save significant energy over a manual version.

1.3 A smart thermostat saves energy by automatically changing the set temperature according to learned behavioral patterns of heating and cooling.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 All Thermostat Types

2.2.1(a) The new thermostat to be installed is compatible with the heating and/or cooling appliance and

2.2.1(b) A qualified technician has determined that the existing thermostat has a performance issue and is not operating as intended or

2.2.1(c) A new thermostat is required in conjunction with a heating or cooling appliance replacement

2.2.2 Programmable Thermostat

2.2.2(a) The setback feature has been explained to the client and the client agrees to the installation and

2.2.2(a1) A manual thermostat is present or

2.2.2(a2) The existing programmable thermostat is inoperable or

2.2.2(b) The replacement thermostat has a saving-to-investment ratio (SIR) of ≥1.0

2.2.3 Smart Thermostat

2.2.3(a) The existing HVAC system is controlled by a 24-volt, wall-mount, manual or programmable HVAC thermostat, even if it is not functional or is missing or

2.2.3(b) The replacement thermostat has a saving-to-investment ratio (SIR) of ≥1.0

2.2.4 Manual (Non-Programmable) Thermostat

2.2.4(a) It is determined that the client will not be able to operate and maintain a new programmable or smart thermostat or

2.2.4(b) The heating or cooling system (e.g., a non-central electric heater, room air conditioner [AC], wall heater, etc.) does not support a programmable or smart thermostat

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1. All Thermostat Types

3.1.1 The heating and/or cooling system is:

3.1.1(a) Not present or

3.1.1(b) Inoperable and will not be repaired or replaced

3.1.2 An upgrade to the thermostat wiring (heavier gauge or more conductors) is required and cannot be corrected under this measure

3.1.3 An electrical issue is present and repair is not feasible

3.1.4 Installation would violate the Appendix E Health and Safety Requirements

3.1.5 The client refuses after measure benefits have been explained by the assessor

3.2. Programmable Thermostat

3.2.1 A programmable or smart thermostat is present and operational

3.2.2 Heating or cooling is provided by a heat pump

3.3. Smart Thermostat

3.3.1 A smart thermostat is already present and operational

3.3.2 The HVAC system uses a thermostat that is:

3.3.2(a) Millivolt type or

3.3.2(b) Labeled for 120- or 240-volt (line voltage wiring is present)

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Audited Measures

4.1.1(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.1(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.2 All Thermostats

4.1.2(a) New thermostat location:

4.1.2(a1) A new thermostat shall replace one at the existing location unless the location is affected by drafts, heat from direct sun, or adjacent appliances.

4.1.2(a2) Thermostats shall be installed in the HVAC zone to control the temperature for that zone.

4.1.2(a3) The new thermostat shall be mounted according to manufacturer specifications or, at a minimum:

- On a partitioning interior wall in a location of average temperature
- Away from:
  - Direct sunlight, entrance doors, windows, corners, areas behind interior doors, and supply air registers
  - Water pipes, heat-producing appliances, and sources of electrical interference
  - Sources of humidity, if a humidistat is a feature within the thermostat

4.1.2(a4) When the manufacturer's specification is different than the minimum described above, a copy of the manufacturer's specification shall be available for inspection verification.

4.1.2(a5) The thermostat shall be mounted with the top of the unit 60" above the floor and free of obstructions that inhibit airflow (Fig. 7-1).

- Exception: The thermostat shall be mounted as low as 48" above the floor when the occupant uses a wheelchair.

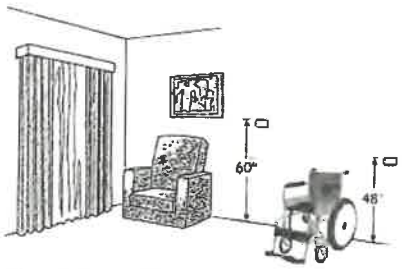

FIG. 7-1: THERMOSTAT HEIGHT REQUIREMENTS

4.1.2(b) Two HVAC systems or a multi-zoned HVAC system:

4.1.2(b1) The installation of two thermostats (manual, programmable, or smart) is allowable in homes where two existing programmable or manual thermostats are present.

4.1.2(b2) One thermostat may be installed to control two heating units to meet the setback requirement.

4.1.3 Smart Thermostats

4.1.3(a) Location:

4.1.3(a1) Thermostat shall be in a room with frequent use.

4.1.3(b) Electrical safety requirements:

4.1.3(b1) If it is not feasible to fix identified electrical issue(s), then installation of the smart thermostat shall be deferred.

4.2. Installation Procedure

4.2.1 All Thermostats

4.2.1(a) The heating and/or cooling system must be de-energized before the existing thermostat is removed.

4.2.1(b) Mounting the thermostat:

4.2.1(b1) The mounting bracket shall be securely attached to the wall with screws into wood, or with manufacturer-specified anchors for drywall and plaster.

4.2.1(b2) Secure and level the thermostat.

4.2.1(b3) The hole where wires come through the wall must be very small or sealed (with a durable sealant in compliance with the applicable fire safety code) to prevent drafts from affecting the accuracy of the thermostat.

4.2.1(b4) Any holes or damage to the wall from the installation or removal of a thermostat shall be repaired and patched to match the existing finish. (Matching paint to the wall color is not within the program scope.)

4.2.1(b5) If a humidistat is included with the thermostat, it shall be installed according to manufacturer's instructions.

4.2.1(c) Wiring:

4.2.1(c1) Verify that a sufficient number of thermostat wires is available to meet the needs of the unit and system.

4.2.1(c2) Install all wiring inside wall cavities when possible.

4.2.1(c3) Exposed wiring must be enclosed in a raceway.

4.2.1(d) Set-Up

4.2.1(d1) Set the thermostat to match the type and configuration of equipment.

4.2.1(d2) Program the temperatures and times to reduce overall runtime and in accordance with the client's comfort and wishes.

4.2.1(d3) Verify the anticipator setting if appropriate for the thermostat model.

4.2.2 Programmable Thermostat

4.2.2(a) The time delay shall be set as appropriate for the climate zone (e.g., no time delay for hot, humid climates).

4.2.3 Smart Thermostat

4.2.3(a) Electrical requirements

4.2.3(a1) Voltage check:

- Determine if there is line voltage, as indicated by:
  - The thermostat being labeled 120-volt or 240-volt and/or
  - The presence of line voltage wires (e.g., thick conductors with wire nuts) and/or
  - Voltage measurement with a test instrument
- Proceed only if the existing thermostat control system is 24-volt.

4.2.3(a2) Install wiring according to the manufacturer's instructions.

4.2.3(b) Programming

4.2.3(b1) The installer options will be set to match the thermostat to the equipment and control board settings.

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4.2.3(c) Ensure that smart home features or interactive mode(s) are activated/programmed.

4.2.4 Heat Pump Thermostat

4.2.4(a) An outdoor temperature sensor shall be installed and configured.

4.2.4(b) The settings and configuration shall match the equipment.

4.2.4(c) Supplementary heat will be wired onto a second-stage heating terminal in accordance with the manufacturer's specifications.

4.2.4(d) Supplementary heat shall be used on air-to-air heat pumps with conditions that allow for a balance point of less than 30˚F. The supplementary heat lockout shall be installed and set to the manufacturer's specifications.

4.2.4(e) For air-to-air heat pumps, low ambient compressor lockout shall be set per manufacturer specifications.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (i.e., individual unit and whole-building) are the same as those for conventional homes.

6.1.2 Installation of a thermostat with a heating and/or cooling source for an individual unit or a common system serving multiple units is allowable due to Health & Safety (H&S) or as an energy efficiency upgrade as allowed by Appendix D Energy Audit/Priority List Protocol.

6.1.3 Common area installation is allowed when justified by an energy audit for a whole-building project (e.g., in a boiler room, utility room, etc. within the same thermal boundary as dwelling units). See Appendix D Energy Audit/Priority List Protocol.

6.1.3(a) Common area installation is not allowed when only an individual unit will be served.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure may be a DOE Health & Safety measure, Audit path audit driven measure, or Priority List path Optional measure.

7.1.1(a) Manual and programmable thermostats may qualify as a Health & Safety measure only when the existing thermostat has a performance issue and is not operating as intended.

7.1.1(a1) DOE H&S measures must be installed when feasible, regardless of the funding source. If the client refuses the measure, or it cannot be physically installed due to a dwelling condition, the dwelling must be deferred.

7.1.2 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.4 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.5 To assess for programmable and smart thermostats (and the associated Heating and Cooling measure) as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.5(a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.5(b) When assessing this measure for the Audit path, measure feasibility will be decided by the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.5(b1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.6 For the Priority List Path:

7.1.6(a) When assessing for the measure in the Priority List (PL) path, specific types of heating and cooling replacements are identified in the PL for each building type.

7.1.6(a1) Programmable thermostats are a required part of the PL path heating and cooling appliance replacements and must be installed, or present by the Priority List Tables.

7.1.6(a2) If not specifically listed, a site-specific energy audit for the heating and/or cooling appliance (and the associated thermostat) shall be required.

7.1.6(b) All H&S-related thermostat replacements (must be fully leveraged to an alternative funding source.

7.1.7 For the Energy Audit Path:

7.1.7(a) To install this measure in the DOE Audit path, a site-specific energy audit is required to determine if the heating and/or cooling appliance and associated thermostat will be an energy conservation measure or a Health and Safety measure.

7.1.7(b) Measure feasibility will be determined through the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.7(b1) When the Measure SIR ≥1.0, the energy conservation measure may be paid for with DOE funds.

7.1.7(b2) When the Measure SIR <1.0 and a H&S condition exists, it is a H&S measure.

7.1.8 Note: Manual and programmable thermostats may qualify as a Health & Safety measure only when the existing thermostat has a performance issue and is not operating as intended.

7.1.9 If a client refuses a feasible Major Audit path measure, Mandatory Priority List path measure, or Health & Safety measure, the entire dwelling shall be deferred.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP except as specified below.

TABLE 7-1: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
5.0101.1b	Thermostat Replacement	Select a double-setback programmable thermostat that allows for full functionality of the installed system (supplementary heat, emergency heat, fan only, ventilation control, etc.)	X	X	X
5.0101.1d	Thermostat Replacement	Connect supplementary heat to second-stage heating terminal. Calculate and select an optimum thermal balance point for supplementary heat operation in accordance with ANSI/ACCA Manual S.	X	X	X

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8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 The thermostat shall be cycled to ensure proper operation of all functions.

8.1.2 Terminals on the gas valve and at the system control shall not be shorted (jumped) to test the installation.

8.1.3 The thermostat shall be returned to its pre-test settings.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure-specific verbal and written instructions include:

8.2.2(a) Appropriate use of heat pump emergency heat shall be explained.

8.2.2(b) Smart and programmable thermostats shall be programmed with the client present to reduce overall runtime, considering the client's wishes.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

8.3.2 Thermostats containing mercury shall be disposed of in accordance with universal waste regulations as set forth by the Department of Toxic Substances Control (DTSC) and the Environmental Protection Agency (EPA).

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 10 years

9.1.2 DOE: 15 years

9.2 All thermostats shall be compatible with the HVAC equipment they control.

9.3 Programmable thermostats shall:

9.3.1 Have a lithium or alkaline battery for power and for backup

9.3.2 Be system-powered, not battery-powered, on 24-volt systems

9.3.3 Have battery backup or another program-saving backup system

9.3.4 Be digital with a built-in anti–short cycle feature

9.3.5 Have at least four setback periods per 24-hour day with:

9.3.5(a) Change cycle increments ≤30 minutes

9.3.5(b) Setback capability ≥10°F

9.3.6 Be programmable for both weekdays and weekends

9.3.7 Have a manual override and a positive on/off switch that is easily accessible

9.4 Smart thermostats must:

9.4.1 Be ENERGY STAR–certified

9.4.2 Be certified to meet Title 24 requirements

9.4.3 Include a trim plate to cover holes from the previous installation

9.4.4 Accommodate a common ("C") wire when one is present at the installation location

9.4.4(a) Note: If a C wire in good condition is not present at the installation location, install a new C wire or an approved adapter kit (Fig. 7-2).

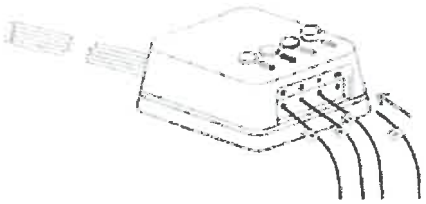

FIG. 7-2: C-WIRE ADAPTER KIT

9.5 Manual thermostats:

9.5.1 May be digital or analog (if requested by the customer) with a built-in anti–short cycle feature

9.5.2 Must include a positive on/off switch

9.6 Heat pump thermostats shall:

9.6.1 Be smart thermostats that minimize the use of supplementary electric resistance heating during start-up and recovery from setbacks

9.6.2 Prevent supplementary electric resistance heater operation when the heat pump alone can meet the heating load

9.6.3 Have a supplementary heat lock-out that interfaces with an outdoor temperature sensor

9.7 Wiring

9.7.1 All wiring shall be 18-gauge and conform to manufacturer's specifications and local code.

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

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8. Ducting Repair, Sealing, and Insulation

Table of Contents

1. **MEASURE OBJECTIVES** **8-1**

2. **INSTALL THIS MEASURE WHEN:** **8-1**

2.1. Repair/Install 8-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **8-1**

3.1. Do Not Repair/Install 8-1

4. **INSTALLATION GUIDELINES** **8-1**

4.1. General Requirements 8-1

4.1.3 HERS Rater Verifications 8-2

4.1.4 Accessibility and Clearances 8-2

4.1.5 Environmental Hazards 8-2

4.2. Duct Leakage Assessment 8-2

4.3. Prioritization of Sealing Activities 8-3

4.4. Correction of Catastrophic Leaks 8-5

4.5. Duct Sealing and Repairs 8-5

4.5.1 Preparation 8-5

4.5.2 Duct Core Repairs 8-5

4.5.3 Visible Leaks 8-5

4.5.3(a) Gap size and approved sealing materials 8-5

4.5.4 Sheet Metal Patches 8-6

4.5.5 Sealing with Mastic Reinforced with Mesh 8-6

4.5.5(b) Internally applied mastic (core-to-fitting joints) 8-6

4.5.6 Sealing with Metallic (Pressure-Sensitive) Tape 8-6

4.5.7 Duct Connections 8-7

4.6. Sealing Flexible Non-Metallic Ducts 8-7

4.6.1 Sheet Metal Collars and Sleeves for Flexible Non-Metallic Ducts 8-7

4.6.2 Sealing at Duct Fittings (Ells, Tees, Reducers) for Flexible Non-Metallic Ducts 8-7

4.6.2(a) Beaded fittings—Mastic 8-7

4.6.2(b) Beaded fittings—Metallic tape 8-8

4.6.2(c) Non-beaded pre-existing fittings—All sealants 8-8

4.7. Sealing Rigid Ducts 8-8

4.7.1 Leaks at Crimp Joints in Rigid Metal Ducts 8-8

4.7.2 Damaged Rigid Ducts 8-8

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4.8. Sealing at Register Boots 8-8
4.8.1 Boot-to-Duct Connection 8-8
4.8.2 Boot-to-Interior Surface 8-8
4.8.3 Leaks in the Boot 8-8
4.8.4 Boot-to-Floor/Wall/Ceiling Connection 8-9
4.9. Sealing at Refrigerant Lines 8-9
4.10. Sealing Building Cavities 8-9
4.11. Correction of an Unlined/Unsealed Plenum 8-9
4.11.3 Platform Plenum Sealing and Insulation 8-9
4.12. Duct Supports 8-9
4.12.2 Flexible Ducts 8-10
4.12.2(e) Non-metallic support straps and anchors 8-10
4.12.2(f) Horizontal flexible ducts 8-10
4.12.2(g) Vertical flexible ducts 8-10
4.12.3 Rigid Round Metal Ducts 8-10
4.12.3(a) Horizontal installations 8-10
4.12.3(b) Vertical installations 8-10
4.12.4 Rigid Rectangular Metal Ducts 8-10
4.12.4(a) Horizontal installations 8-10
4.12.4(b) Vertical installations 8-10
4.12.5 Rigid Fiberglass Ducts 8-10
4.12.6 Horizontal Plenums (Metal and Fiberglass Duct Board) 8-10
4.13. Duct Jacket Repair 8-11
4.14. Duct Insulation 8-11
4.14.2 Coverage and R-Value 8-11
4.14.3 Compression 8-11
4.14.5 Attachment of Rigid Fiberglass Insulation 8-11
4.14.6 Installation of Flexible Insulation 8-11
4.14.7 Exposed Ducts in Habitable Spaces 8-12
4.15. Pressure Balancing 8-12

5. MOBILE HOME–SPECIFIC 8-12
5.2. Duct System Inspection and Analysis 8-12
5.3. Correction of Catastrophic Leaks 8-13
5.3.2 Replacing a Central Return 8-13
5.4. Mobile Home Duct Sealing and Repair 8-13
5.4.1 Risers 8-13
5.4.2 Metal Overlaps/Tabs 8-14
5.5. Application of Duct Sealant 8-14

5.6. Sealing from Registers 8-14
5.6.1 Duct Interiors 8-14
5.7. Sealing at Duct Terminations 8-14
5.7.1 Duct Termination 8-14
5.7.2 Dam Installation 8-14
5.8. Sealing Ducted Returns 8-14
5.9. Crossover Ducts 8-14
5.9.1 Double-Wide Units 8-14
5.9.2 Flexible Crossover Ducts 8-15
5.9.3 Crossover Duct Support 8-15
5.9.4 Through-the-Rim Crossover Ducts 8-15
5.9.5 Attic Crossover Ducts 8-15
5.9.6 Performance Testing 8-15
5.10. Rodent Barrier (Bellyboard) Repair 8-15
5.10.2 Patches in Flexible Rodent Barrier 8-16
5.10.3 Patches in Rigid Rodent Barrier 8-16

6. MULTI-FAMILY–SPECIFIC 8-16
6.1. Installation Requirements 8-16
6.1.1 Independent FAU 8-16
6.1.2 Common System (Serving Multiple Dwelling Units) 8-16

7. DOE-SPECIFIC 8-16
7.1. Assessment Requirements 8-16
7.2. Installation Requirements 8-17

8. POST-INSTALLATION GUIDELINES 8-20
8.1. Quality Check 8-20
8.2. Client Education 8-20
8.3. Clean-Up and Disposal Requirements 8-20

9. MATERIAL SPECIFICATIONS 8-21

10. WARRANTY 8-24

Ducting Repair, Sealing, and Insulation

1. MEASURE OBJECTIVES

1.1 Ducts that are functional, sealed, and insulated transfer conditioned air efficiently throughout the home.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair/Install

2.1.1 Duct Repair/Sealing

2.1.1(a) Existing ducts must be repaired or replaced in conjunction with the installation of a new heating or cooling unit or

2.1.1(b) Duct sealing measures are determined to be feasible as defined in Appendix B Duct Leakage Testing Protocol and CSD 706 Duct Leakage Data Sheet for one of the following priority levels:

2.1.1(b1) Priority 1—Catastrophic duct leaks

2.1.1(b2) Priority 2—High-pressure duct leaks

2.1.1(b3) Priority 3—Low-pressure duct leaks

2.1.2 Duct Insulation

2.1.2(a) Ducts and components are made of uninsulated, rigid metal

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1. Do Not Repair/Install

3.1.1 Duct Repair/Sealing

3.1.1(a) Ducts are inaccessible (e.g., located in cavities between multi-unit dwellings or attic/crawlspace clearance is inadequate per Section 1 General Installation Guidelines, Attic and Crawlspace Accessibility)

3.1.1(b) Evidence of rodent or pest infestation is present inside the duct

3.1.1(c) Ducts are made, sealed, or insulated with asbestos

3.1.1(d) Ducts (including plenums) are inside the conditioned living space

3.1.1(e) The forced air unit (FAU) is inoperable, inaccessible, or abandoned

3.1.1(f) Catastrophic duct leakage exists that cannot be corrected

3.1.1(g) Installation would violate the Appendix E Health and Safety Requirements

3.1.1(h) The client refuses after measure benefits have been explained by the assessor

3.1.2 Duct Insulation

3.1.2(a) Ducts are in an exposed outdoor location and it is not feasible to install exterior-rated insulation

3.1.2(b) Installation would violate the Appendix E Health and Safety Requirements

3.1.2(c) The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 The air handler shall be turned off during the application of all tapes and sealants and shall remain off for the drying time specified by the sealant manufacturer.

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4.1.2 Audited Measures

4.1.2(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.2(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.3 HERS Rater Verifications

4.1.3(a) Duct repair, sealing, and replacements that require HERS vertifcation include when:

4.1.3(a1) 25' or more of new or complete replacement duct is installed

4.1.3(a2) New or replacement HVAC ducts, air-handling units, cooling or hearting coils, or plenums are located in a garage space

4.1.3(a3) New duct or fully replaced duct, when installing a replacement kitchen exhaust.

4.1.4 Accessibility and Clearances

4.1.4(a) The attic or crawlspace where the ducts are located shall be accessible, when required, in accordance with the clearance requirements identified in Section 1 General Installation Guidelines, Attic and Crawlspace Accessibility.

4.1.5 Environmental Hazards

4.1.5(a) If potential asbestos, vermiculite, or other hazards are present that could be impacted by sealing activities, the duct system shall be assessed in accordance with Appendix E Health and Safety Requirements, Asbestos Policy.

4.1.5(b) All combustion appliance safety (CAS) hazards, CAS fails, or indoor air quality (IAQ) fails must be corrected before sealing activities begin per Appendix A Combustion Appliance Safety Protocol.

4.1.5(c) When a home is limited to non-infiltration measures (home is NIM), no duct testing or sealing shall be performed until the issue that created the NIM condition is resolved.

4.1.5(d) Prior to duct sealing, an inspection will be conducted for water leaks and water damage.

4.1.5(d1) All feasible moisture repairs will be completed before duct sealing work begins.

- See Section 1 General Installation Guidelines, Limited Home Repair for specific examples of moisture repair.

4.2. Duct Leakage Assessment

4.2.1 Assessors shall perform a visual inspection of all accessible portions of the duct system to:

4.2.1(a) Identify catastrophic leaks, disconnections, damage, gaps, and failed sealants (Fig. 8-1).

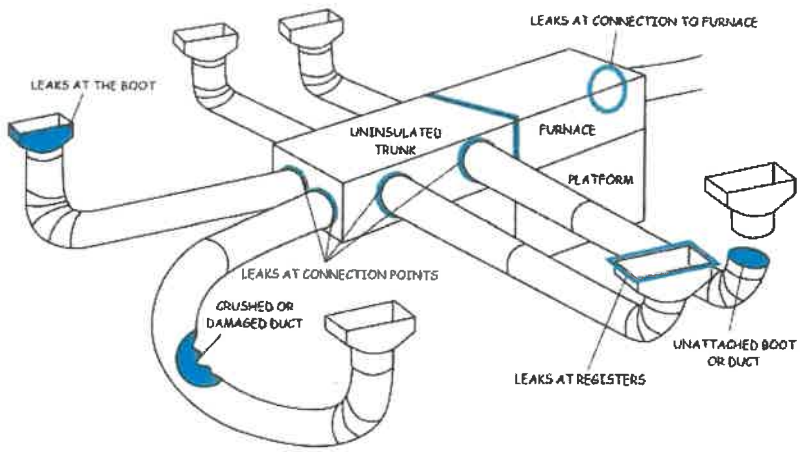

FIG. 8-1: DUCT SYSTEM WITH COMMON LEAKAGE AREAS—CONVENTIONAL HOME

4.2.1 (b) Assess the need for duct leakage testing and prioritize duct sealing activities as listed on the CSD 706 Duct Leakage Data Sheet.

4.2.1 (c) Assess the need for duct insulation per Duct Insulation.

4.2.2 Duct leakage testing shall be completed in all feasible dwellings with duct systems, per Appendix B Duct Leakage Testing Protocol.

4.3. Prioritization of Sealing Activities

4.3.1 Once leaks have been identified, duct sealing activities shall be prioritized per Table 8-1.

4.3.1 (a) All required HVAC appliance replacements must be completed before duct sealing activities.

4.3.2 Sealing priority levels shall be utilized in numerical order from Priority 1 to Priority 3.

4.3.3 Duct sealing activities shall be performed in the order presented within each priority level, unless the activity is documented to be unfeasible.

4.3.4 If feasible sealing activities are skipped and are not justified in writing, those sealing activities will fail inspection.

4.3.5 Certain leaks may require more than one sealing technique to be resolved.

TABLE 8-1: DUCT SEALING PRIORITY LEVEL AND INSTALLATION GUIDELINE DIRECTORY

PRIORITY 1: Catastrophic duct leaks are present		
Priority	**Sealing Activity**	**Installation Guideline Section**
Priority 1	• Crushed duct	• Correction of Catastrophic Leaks
	• Disconnected ducts	
	• Seal/insulate unlined/unsealed plenum or platform return	
	• A damper to separate an FAU and an evaporative cooler is missing	
	Mobile Home	
	• Abandon the belly cavity. Install a central ducted return • If installing a new central ducted return is not feasible: – Seal accessible portions of supply side (e.g., gaps in plenum, duct connector, ductwork, register boots), and gaps at return plenum	• Correction of Catastrophic Leaks (Mobile Home)

TABLE 8-1: DUCT SEALING PRIORITY LEVEL AND INSTALLATION GUIDELINE DIRECTORY

PRIORITY 2: High-pressure duct leaks are present		
Priority	**Sealing Activity**	**Installation Guideline Section**
Priority 2	• Seal plenum/cabinet connections	• Correction of an Unlined/Unsealed Plenum
	• Seal plenum starting collar (access through side of the plenum)	
	• Line platform return (access through platform wall)	• Sealing Building Cavities
	• Secure register boots and risers that are loose or detached from the floor	• Sealing at Register Boots
	Mobile Home	
	• Duct terminations (dead ends) within reach:	• Sealing at Duct Terminations (Mobile Home)
	– Connect duct joints/splices and other loose metal overlaps	
	– Seal leaks in the duct connector underneath the furnace (access through removable bottom panel on the front of unit)	
	• Duct terminations beyond reach:	
	– Repair/seal from underneath the mobile home, or	
	– Secure with a sheet metal dam and permanently seal	
	• Seal furnace enclosure bypasses affecting the return, such as ceiling bypasses at the vent pipe penetration	• Application of Duct Sealant
	• Seal duct joints reachable from indoors	• Sealing from Registers
	• Seal duct joints requiring access through the bellyboard	• Application of Duct Sealant
PRIORITY 3: Low-pressure duct leaks are present		
Priority	**Sealing Activity**	**Installation Guideline Section**
Priority 3	• Seal at all building cavities used as ducts, e.g., pan joists, stud cavities, toe kicks, chases, and dropped ceilings	• Sealing Building Cavities
	• Seal at register boots	• Sealing at Register Boots
	• Flexible duct: Seal at seams, wyes and elbows	• Sealing Flexible Non-Metallic Ducts
	• Rigid duct: Seal at seams, joints, wyes, and elbows.	• Sealing Rigid Ducts
	Mobile Home	
	• Seal at duct connectors (under the FAU)	• Sealing from Registers (Mobile Home)
	• Install, secure, support and seal at crossover ducts.	• Crossover Ducts (Mobile Home)
	• Seal at ducted returns	• Sealing Ducted Returns (Mobile Home)
	• Repair holes in bellyboard.	• Rodent Barrier (Bellyboard) Repair (Mobile Home)

4.4. Correction of Catastrophic Leaks

4.4.1 Install new duct to correct crushed, damaged, disconnected, or missing duct.

4.4.1 (a) When installed, new duct runs shall be:

4.4.1 (a1) Installed as straight and short as possible

4.4.1 (a2) Installed with at least 4" of separation from earth/soil

4.4.1 (a3) Installed in locations not exposed to the weather unless designed for exterior use

4.4.1 (a4) Protected from physical damage

4.4.1 (a5) Installed with new collars and sleeves (fittings) as prescribed in Sealing at Duct Fittings (Ells, Tees, Reducers) for Flexible Non-Metallic Ducts

4.4.1 (a6) Sealed at all duct seams, splices (joins), and joints with mastic or metallic tape (Fig. 8-2)

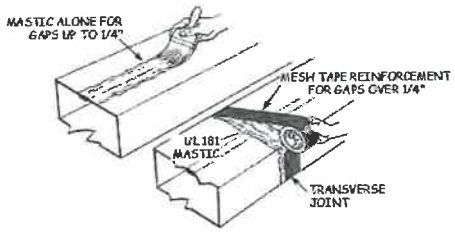

FIG. 8-2: SEALING WITH MASTIC

4.4.1 (a7) Installed with duct supports as prescribed in Duct Supports

4.4.1 (a8) Insulated with duct insulation as prescribed in Duct Insulation

4.4.1 (b) Ducts installed within a closet or room shall be enclosed within a cavity constructed of materials equivalent to those used in the construction of the closet/room.

4.4.1 (c) A building cavity shall not be used as a duct without a sealed duct board or metal liner.

4.4.2 When missing, a damper shall be installed to separate an FAU that shares ducts with an evaporative cooler.

4.5. Duct Sealing and Repairs

4.5.1 Preparation

4.5.1 (a) The surrounding insulation will be cleared to expose the joints being sealed.

4.5.1 (b) The duct surface to which sealant will be applied will be cleaned.

4.5.1 (c) Debris and dirt will be cleaned out of the return platform.

4.5.1 (d) If duct must be cut open to gain access, position the hole to make repair with appropriate materials feasible.

4.5.2 Duct Core Repairs

4.5.2 (a) Holes or damage in the duct core shall be repaired by:

4.5.2 (a1) Removal of the damaged section and

4.5.2 (a2) Insertion of a new sleeve/coupling

4.5.3 Visible Leaks

4.5.3 (a) Gap size and approved sealing materials

4.5.3 (a1) A catastrophic leak (i.e., crushed, damaged, or destroyed duct) shall be repaired with a new section of duct of the same type as the rest of the system, whenever possible, and a new fitting.

4.5.3 (a2) Gaps in existing ducts shall be sealed in accordance with Table 8-2 and the subsequent standards.

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TABLE 8-2: GAP SIZE AND APPROVED SEALING MATERIALS

Gap Size	Flexible Metallic & Non-Metallic Duct	Rigid Metal & Rigid Fiberglass Duct
≤¼"	Mastic or metallic tape	Mastic or metallic tape
>¼"—<1"	Replace duct and/or fitting with proper size. Edges or gaps shall be sealed with metallic tape or mastic.	Seal with mesh and mastic or Seal with mastic over tape
1" or wider	Replace duct and/or fitting with proper size. Edges or gaps shall be sealed with metallic tape or mastic.	Seal with a sheet metal patch/sleeve + mastic or metallic tape

4.5.4 Sheet Metal Patches

4.5.4(a) Installation (Fig. 8-3)

4.5.4(a1) Patch material shall match the existing duct material (i.e., galvanized patch for galvanized duct or aluminum patch for aluminum duct).

4.5.4(a2) The gauge of the patch should equal or exceed the gauge of the existing duct.

4.5.4(a3) Patch material shall extend at least 1" beyond each edge of the gap and overlap itself by at least 1".

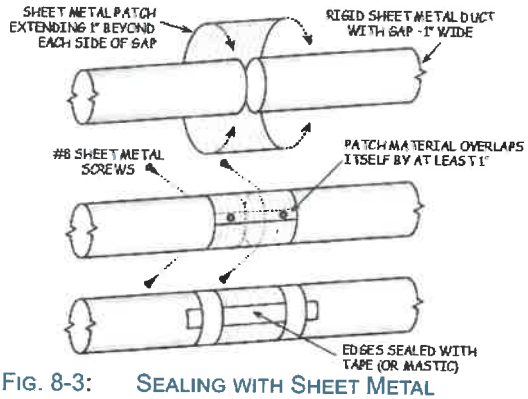

FIG. 8-3: SEALING WITH SHEET METAL PATCHES

4.5.4(a4) The patch shall be mechanically secured in compliance with Mechanical Fastenings.

4.5.4(a5) All patch edges/gaps shall be sealed with mastic or metallic tape.

4.5.5 Sealing with Mastic Reinforced with Mesh

4.5.5(a) Embed mesh fabric between two layers of duct mastic to form a mastic closure system.

4.5.5(a1) Center the first layer of mastic over the joint or gap to be sealed.

4.5.5(a2) Extend the mastic at least 1" onto each of the joined surfaces.

4.5.5(a3) Apply at least one layer of mesh over the entire joint or gap.

4.5.5(a4) Ensure the mesh is wrapped around the entire circumference where two sections of duct are joined together.

4.5.5(a5) Apply a second layer of mastic covering the mesh and at least 1" beyond the width of the mesh.

4.5.5(b) Internally applied mastic (core-to-fitting joints)

4.5.5(b1) Mastic coating applied inside the duct core or onto the rigid component over which the core is installed shall be at least ⅛" thick and 2" wide (Fig. 8-4).

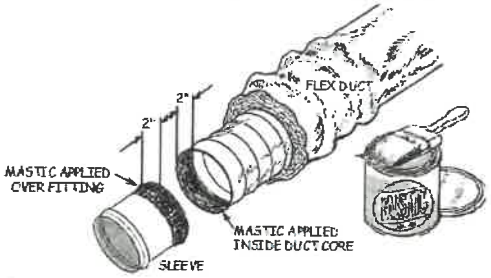

FIG. 8-4: MASTIC APPLIED OUTSIDE THE SLEEVE AND INSIDE THE DUCT

4.5.6 Sealing with Metallic (Pressure-Sensitive) Tape

4.5.6(a) Use at least three wraps of tape for:

4.5.6(a1) Joints at splices/connections in metal ducts

4.5.6(a2) Flexible duct core-to-fitting attachments in combination with a drawband to secure the core

4.5.6(a3) Jacket (vapor barrier) splices on flexible ducts

4.5.6(b) Overlap the tape by 50–75% of the tape width for each successive wrap.

4.5.7 Duct Connections

4.5.7(a) Fasten all ducts as follows:

4.5.7(a1) Round metal-to-metal or metal-to-PVC with equally spaced screws based on the duct type below.

4.5.7(a2) For other metal-to-metal or metal-to-PVC with welds, gaskets, mastics (adhesives), mastic-embedded-fabric systems, or tapes

4.5.7(a3) Flexible duct-to-metal or flexible duct-to-PVC with a rigid metal coupling of the same size and tie bands using a tie band tensioning tool

4.5.7(a4) PVC-to-PVC materials with approved PVC primer and cement

4.5.7(b) Rigid metal duct connections shall be secured with equally spaced sheet metal screws in accordance with the duct type below:

4.5.7(b1) Round ducts:

- Three screws on diameters up to 14"
- Four screws on diameters 15"–19"
- Five screws on diameters 20"–24"

4.5.7(b2) Rectangular ducts: At least one screw per side.

4.5.7(b3) Lapped seams (field-fabricated metal plenums, etc.):

- Overlapped surfaces shall be in substantial contact with each other along the entire seam and mechanically fastened at intervals of ≤12".
- Where the patch overlaps itself, at least one screw shall be installed on each side of the gap.
- At least two more screws shall be evenly spaced around the duct on each side of the gap.

4.5.7(c) Duct board plenum to air handler cabinet:

4.5.7(c1) The termination bar or metal strip will be fastened with screws.

4.5.7(c2) Duct board will be installed between the screw and the termination bar.

4.5.7(d) Boot to gypsum

4.5.7(d1) The boot hanger will be fastened to the adjacent framing with screws or nails.

4.5.7(d2) The boot will be connected to the boot hanger with screws.

4.5.7(d3) Integral snap boots will be installed.

4.6. Sealing Flexible Non-Metallic Ducts

4.6.1 Sheet Metal Collars and Sleeves for Flexible Non-Metallic Ducts

4.6.1(a) When ducts are joined, new fittings shall be beaded at both ends

4.6.1(a1) Sleeves must be at least 6" long

4.6.1(a2) Sheet metal collars shall be at least 4" long

4.6.1(b) When re-securing an existing fitting and the existing fitting is not beaded, the core's wire coil shall be secured mechanically to the fitting.

4.6.2 Sealing at Duct Fittings (Ells, Tees, Reducers) for Flexible Non-Metallic Ducts

4.6.2(a) Beaded fittings—Mastic

4.6.2(a1) A uniform coat of mastic must be applied to the outside of the fitting (Fig. 8-5).

4.6.2(a2) At least 2" of duct core must be pulled onto the fitting extending past the bead.

4.6.2(a3) A drawband (or metal clamp) shall be installed behind the bead.

4.6.2(a4) Mastic shall be applied externally to the thickness needed to ensure a complete seal.

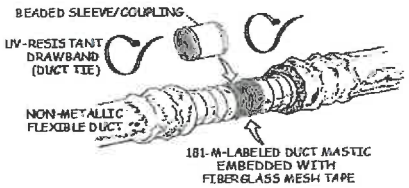

FIG. 8-5: BEADED FITTINGS WITH MASTIC SEALING

4.6.2(b) Beaded fittings—Metallic tape

4.6.2(b1) At least 1" of duct core must be pulled onto the fitting extending past the bead.

4.6.2(b2) A drawband (or metal clamp) is installed behind the bead.

4.6.2(b3) The connection shall be sealed with at least two overlapping wraps of metallic tape applied uniformly over both the core and the fitting.

4.6.2(c) Non-beaded pre-existing fittings—All sealants

4.6.2(c1) When an existing fitting is not beaded, the core's wire coil shall be secured to the fitting.

4.6.2(c2) The duct core must be secured to the fitting with internally placed mastic and a drawband or

4.6.2(c3) The duct core's wire coil must be mechanically secured to the fitting with at least three evenly spaced sheet metal screws that capture the wire.

- Metallic tape shall be applied to the duct core to prevent it from tearing, then sheet metal screws must be installed and penetrate the metallic tape.
- The connection shall be sealed with duct mastic or two overlapping wraps of metallic tape.

4.7. Sealing Rigid Ducts

4.7.1 Leaks at Crimp Joints in Rigid Metal Ducts

4.7.1(a) Seal all joints (contact laps) to be airtight.

4.7.1(b) Crimp joints (e.g., connection of duct to fitting or two sections of duct) shall overlap at least 1½", be mechanically fastened with at least three evenly spaced sheet metal screws, and be sealed with mastic or tape (Fig. 8-6).

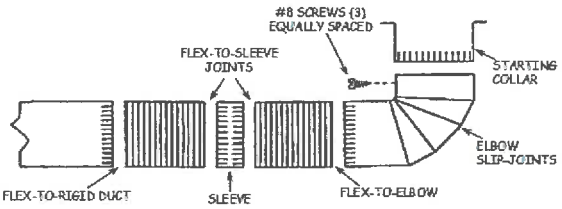

FIG. 8-6: OVERLAPPED SEAMS AND MECHANICAL FASTENERS

4.7.1(b1) A uniform coat of mastic shall be applied to the outside of the sleeve/fitting before the duct core is pulled on and added externally to ensure a complete seal or

4.7.1(b2) The connection shall be sealed with at least two overlapping wraps of tape applied uniformly over both the core and the fitting.

4.7.2 Damaged Rigid Ducts

4.7.2(a) Repair damaged ducts using materials from Table 8-2.

4.7.2(b) Mechanically attach with screws at intervals close enough that gaps do not occur.

4.7.2(c) Seal with mastic or metallic tape.

4.8. Sealing at Register Boots

4.8.1 Boot-to-Duct Connection

4.8.1(a) The duct shall be secured and sealed as prescribed above for each duct type (Fig. 8-7).

4.8.2 Boot-to-Interior Surface

4.8.2(a) All gaps between boot and interior surface that defines conditioned space will be air sealed.

4.8.2(b) The gypsum edge will be wetted before water-based sealant is applied.

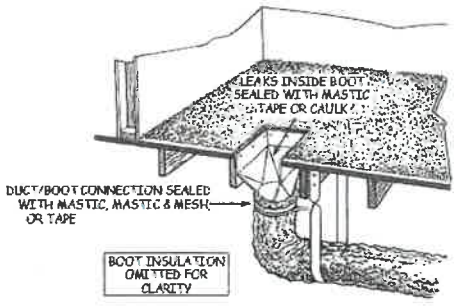

FIG. 8-7: REPAIR OF LEAKS IN BOOT

4.8.3 Leaks in the Boot

4.8.3(a) Gaps shall be sealed (Fig. 8-7) as prescribed above for repairing and sealing metal ducts.

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4.8.3(b) Boot sealing material shall not interfere with the removal and replacement of the register.

4.8.4 Boot-to-Floor/Wall/Ceiling Connection

4.8.4(a) The boot shall be mechanically fastened to the structure and shall not rely on the duct for support or stability (Fig. 8-8).

4.8.4(b) Gaps between the boot and the surrounding material shall be sealed based on material to be used and gap size:

4.8.4(b1) ≤⅜": Elastomeric caulk

4.8.4(b2) 7/16"–⅝": Elastomeric caulk supported by backer rod

4.8.4(b3) ≤¼": Duct mastic or metallic pressure-sensitive tape

4.8.4(b4) >¼"–<1": Duct mastic reinforced with fiberglass mesh, or metallic tape covered with mastic

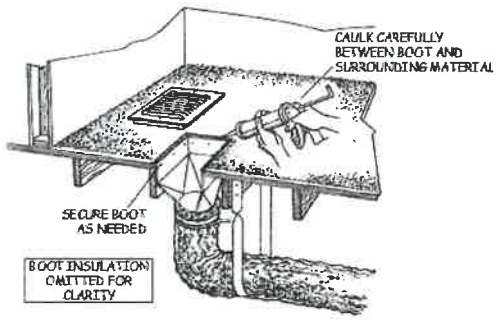

FIG. 8-8: BOOT-TO-FLOOR CONNECTION

4.8.4(c) Sealants applied to the boot shall not interfere with the removal and replacement of the register.

4.8.4(d) Ensure sealant is dry before reinstalling the register.

4.9. Sealing at Refrigerant Lines

4.9.1 Cork tape shall be used for sealing gaps where air conditioning refrigerant lines penetrate the coil box/plenum.

4.10. Sealing Building Cavities

4.10.1 Required Sealing and Approved Sealants in Accordance with Table 8-2

4.10.1(a) Building cavities being used as ducts (e.g., platform return, panned joists, cabinet toe-kick supply terminal, etc.) shall be sealed in all accessible locations.

4.10.1(b) Sheet metal or fiberglass duct board must be used to line the cavity.

4.10.1(c) An insulated duct may be installed in lieu of lining/sealing the platform to connect the return grille to the FAU.

4.11. Correction of an Unlined/Unsealed Plenum

4.11.1 Accessible leaks in the plenum shall be sealed first in accordance with Table 8-2, then the plenum shall be insulated.

4.11.1(a) Fill stud cavities inside the plenum with flexible insulation, then line/seal them with sheet metal or

4.11.1(b) Install fiberglass duct board to both seal and insulate the plenum

4.11.2 When lining/sealing the platform is not feasible, an insulated duct may be installed to connect the return grille to the FAU.

4.11.3 Platform Plenum Sealing and Insulation

4.11.3(a) Seal unlined platform cavities as catastrophic leaks (billed as a duct sealing measure).

4.11.3(b) Foam board, foam sealants, and gypsum wallboard shall not be used.

4.11.3(c) Approved repair/liner materials include sheet metal and fiberglass duct board.

4.11.3(d) Permitted insulation of the plenum platform includes:

4.11.3(d1) Flexible insulation (batts) when the plenum will be lined with sheet metal or

4.11.3(d2) Fiberglass duct board for lining and insulation

4.12. Duct Supports

4.12.1 Installed ducts must never contact the ground.

4.12.2 Flexible Ducts

4.12.2(a) Straps and other means of support shall not constrict the duct below its rated internal diameter or cut into the duct jacket or insulation.

4.12.2(b) The type of support strap may be restricted based on the requirements in the Material Specifications.

4.12.2(c) Support saddles shall fit neatly around and cover the lower half (180°) of the duct.

4.12.2(c1) The duct may rest on ceiling joists or truss members (Fig. 8-9) if:

- Support spacing and sag limitations are met
- The duct is not wedged between truss members

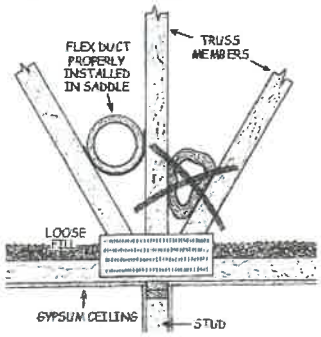

FIG. 8-9: SUPPORT OF FLEXIBLE DUCTS

4.12.2(d) Termination devices (e.g., register boots) shall be properly secured and shall not rely upon the duct for support.

4.12.2(e) Non-metallic support straps and anchors

4.12.2(e1) At each end, at least 2" shall be folded over and secured by two or more anchors that penetrate both layers of strap material.

4.12.2(f) Horizontal flexible ducts

4.12.2(f1) Spacing between supports shall be 4' maximum.

4.12.2(f2) Sag shall be no more than:

- ½" per foot of distance between supports
- 2" total between supports

4.12.2(f3) See Fig. 8-10.

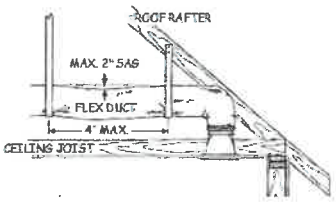

FIG. 8-10: SUPPORTS FOR HORIZONTAL FLEX DUCTS

4.12.2(g) Vertical flexible ducts

4.12.2(g1) Spacing between supports shall be 6' maximum.

4.12.3 Rigid Round Metal Ducts

4.12.3(a) Horizontal installations

4.12.3(a1) Spacing between supports shall be 10' maximum.

4.12.3(a2) Support shall tightly encircle the duct.

4.12.3(b) Vertical installations

4.12.3(b1) Spacing between supports shall be 10' maximum.

4.12.4 Rigid Rectangular Metal Ducts

4.12.4(a) Horizontal installations

4.12.4(a1) Spacing between supports shall be 4' minimum to 10' maximum.

4.12.4(a2) Support straps shall be secured to the sides of the duct with sheet metal screws, rivets, or bolts.

4.12.4(b) Vertical installations

4.12.4(b1) Spacing between supports shall be 10' maximum.

4.12.5 Rigid Fiberglass Ducts

4.12.5(a) Spacing between supports shall be 10' maximum.

4.12.6 Horizontal Plenums (Metal and Fiberglass Duct Board)

4.12.6(a) The plenum shall:

4.12.6(a1) Not rely on the furnace for support

4.12.6(a2) Be independently supported at each end

4.12.6(a3) Be supported in 4' intervals if over 10' in length

4.13. Duct Jacket Repair

4.13.6(a) Duct jacket (vapor barrier) (Fig. 8-11)

4.13.6(a1) The duct insulation shall completely cover all duct core and fitting.

4.13.6(a2) Rips and holes in the jacket shall be repaired with metallic tape or with mastic and mesh.

4.13.6(a3) A duct jacket shall cover all exposed insulation.

- Jackets must overlap at least 2" at duct splices.
- Jackets shall be secured/sealed with a drawband and/or two overlapping wraps of metallic tape.

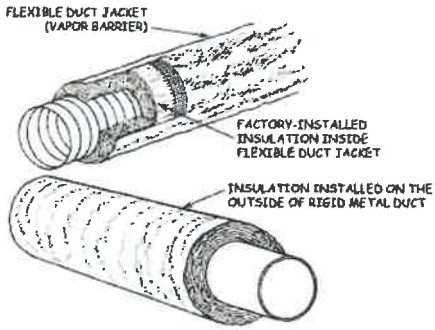

FIG. 8-11: DUCT JACKET—100% COVERAGE REQUIRED

4.14. Duct Insulation

4.14.1 Uninsulated ducts shall be insulated after all duct repairs and sealing are completed (Fig. 8-12).

4.14.2 Coverage and R-Value

4.14.2(a) All uninsulated ducts, air connectors, plenums, distribution boxes, and system components shall be insulated according to Material Specifications.

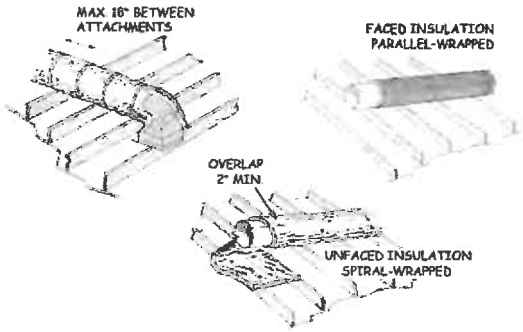

FIG. 8-12: DUCT INSULATION INSTALLATION

4.14.3 Compression

4.14.3(a) Supports shall not compress duct insulation more than 20% overall.

4.14.3(b) Duct insulation shall not be compressed more than 50% on corners/bends.

4.14.4 Clearances

4.14.4(a) Combustion air vents shall not be obstructed by duct insulation.

4.14.4(b) Combustible facings and attachments:

4.14.4(b1) 6" clearance from single-wall gas vent pipes

4.14.4(b2) 1" clearance or the clearance specified by the listing, whichever is greater, for listed Type B double-wall gas vent pipes

4.14.4(b3) 3" clearance from all other heat-producing devices (HPDs)

4.14.5 Attachment of Rigid Fiberglass Insulation

4.14.5(a) Insulation shall be securely attached (e.g., with stickpins).

4.14.5(b) Insulation seams shall be sealed with metallic tape (Underwriters Laboratories [UL] 181A-P type only) or mastic reinforced with mesh tape (UL 181A-M type only) so that no gaps exist.

4.14.6 Installation of Flexible Insulation

4.14.6(a) Seal all seams, joints, and connections of insulation with a durable sealant or mechanical fasteners (e.g., zip ties).

4.14.6(b) Install removable/reusable insulation over components that require regular maintenance.

4.14.6(c) Installation method:

4.14.6(c1) Spiral-wrapped

- Wraps of unfaced insulation shall overlap each other at least 2".
- Insulation shall be mechanically secured (e.g., with drawbands, wire, nails, or staples) as needed to prevent gaps or openings.

4.14.6(c2) Parallel-wrapped

- Faced wraps shall be secured and sealed with pressure-sensitive tape or as prescribed by the manufacturer. When metallic (pressure-sensitive) tape is used, it shall be wrapped a minimum of three times around the circumference.
- Unfaced wraps shall be mechanically secured with fasteners (drawbands, wire, nails, or staples) installed no more than 18" apart along the lengthwise seam (overlap) of the insulation.

4.14.7 Exposed Ducts in Habitable Spaces

4.14.7(a) When fiberglass insulation is installed, it shall be faced.

4.14.7(b) Fiberglass edges shall not be left exposed in the living space

4.15. Pressure Balancing

4.15.1 Room-to-room pressures shall be balanced to provide adequate air movement throughout the living space with interior doors closed per Appendix B Duct Leakage Testing Protocol.

4.15.2 Proper airflow and a pressure difference of ≤3 pascals (Pa) shall be provided for each room containing a supply or a return utilizing one of the following methods:

4.15.2(a) An unclosable grille that provides a net free ventilation area (NFVA) equal to at least 1 sq. in. for every 5 sq. ft. of total living area in the room may be installed in the door or wall.

4.15.2(b) The door may be undercut by a maximum of 2½".

4.15.3 The pressure system balance shall be checked and modifications shall be made as needed to provide proper airflow and room pressures.

5. MOBILE HOME–SPECIFIC

5.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.2. Duct System Inspection and Analysis

5.2.1 Mobile Home Duct System Pre-Inspection

5.2.1(a) Supply registers and return grilles shall be removed to facilitate system inspection and the performance of repair/sealing work (Fig. 8-13).

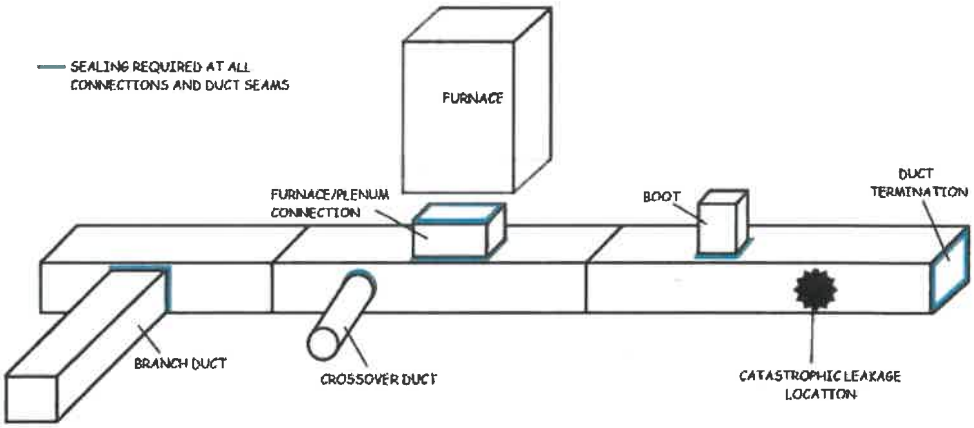

FIG. 8-13: DUCT SYSTEM WITH COMMON LEAKAGE AREAS—MOBILE HOME

5.2.1(b) A mirror and light shall be used to perform inspection of:

5.2.1(b1) Joints and connections in the boot and riser

5.2.1(b2) The duct termination (dead end) at the register nearest the end of each duct run

5.2.1(b3) Each duct run to locate leaks, disconnections, and other defects

5.2.1(b4) The duct connector under the furnace, when accessible

5.3. Correction of Catastrophic Leaks

5.3.1 Install new (replaced) duct to correct crushed, damaged, disconnected, or missing duct or a belly return (Fig. 8-14).

5.3.1(a) When installed, new duct runs shall be sized, installed, and connected as prescribed in this section and in Housing and Urban Development (HUD) Manufactured Home Construction and Safety Standards (MHCSS) Part 3280.715.

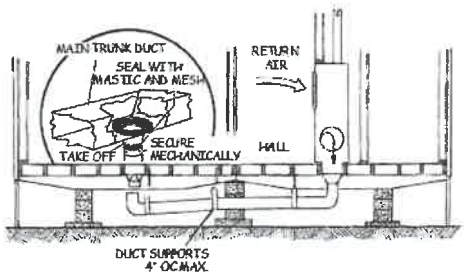

FIG. 8-14: REPAIR OF A DAMAGED CROSSOVER DUCT IN A MOBILE HOME

5.3.2 Replacing a Central Return

5.3.2(a) An existing belly or roof cavity return for an upflow or downflow furnace shall be abandoned (Fig. 8-15 and Fig. 8-16). A new ducted central return shall be installed, supported, and sealed.

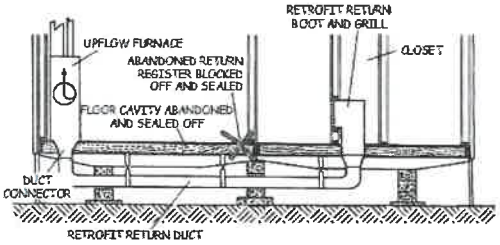

FIG. 8-15: CENTRAL RETURN INSTALLATION AND ABANDONED BELLY CAVITY RETURN

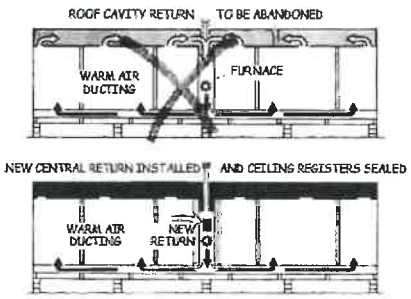

FIG. 8-16: ROOF CAVITY RETURN REPLACED BY CENTRAL RETURN

5.3.2(b) Existing return air openings will be closed off and sealed with a durable material equivalent in strength to the surrounding material.

5.3.2(c) Return duct design will be in accordance with American National Standards Institute [ANSI]/Air Conditioning Contractors of America Association, Inc. [ACCA] 1 Manual D Residential Duct Systems.

5.3.2(d) The return grille shall be:

5.3.2(d1) Sized to provide a minimum of 2 sq. in. of NFVA for each 1,000 Btuh furnace capacity

5.3.2(d2) Installed in the outside wall of a closet when possible, or in the floor when necessary

5.3.2(d3) Located in a hallway or other open area

5.3.2(d4) Centrally located within the mobile home

5.4. Mobile Home Duct Sealing and Repair

5.4.1 Risers

5.4.1(a) Risers that are loose or are disconnected from the trunk shall be reattached, secured, and sealed (e.g., with metallic tape) (Fig. 8-17).

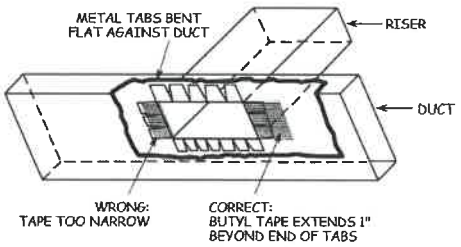

FIG. 8-17: PREPARE AND SEAL JOINT BETWEEN RISER AND TRUNK DUCT

5.4.2 Metal Overlaps/Tabs

5.4.2(a) Metal overlaps/tabs at the joint between the riser and the trunk duct shall be repaired and permanently sealed (e.g., with metallic tape).

5.5. Application of Duct Sealant

5.5.1 Dust, dirt, and failed existing sealant shall be removed from surfaces where sealant will be applied.

5.5.2 Metal overlaps/tabs shall be bent as needed to achieve metal-to-metal contact.

5.5.3 Joint overlaps/tabs shall be sealed with:

5.5.3(a) Metallic tape (e.g., 3" wide) or

5.5.3(b) Duct mastic and fiberglass mesh

5.5.4 Sealant must cover all overlaps/tabs and extend approximately 1" beyond the ends of the overlaps/tabs.

5.5.5 If not loose, existing metallic tape shall be covered with new sealant to achieve a permanent seal.

5.6. Sealing from Registers

5.6.1 Duct Interiors

5.6.1(a) Visible leaks that can be reached through the register opening shall be sealed utilizing materials and methods prescribed for conventional homes.

5.6.1(a1) Such leak types may include:

- Duct joints/splices and other loose metal overlaps
- Duct terminations (dead ends)
- Leaks in the duct connector underneath the furnace (accessed through a removable bottom panel on the front of the unit)

5.7. Sealing at Duct Terminations

5.7.1 Duct Termination

5.7.1(a) A duct termination (dead end) (Fig. 8-18) shall be:

5.7.1(a1) Repaired and sealed or

5.7.1(a2) Securely blocked (e.g., with a sheet metal dam or fiberglass duct board dam) and permanently sealed

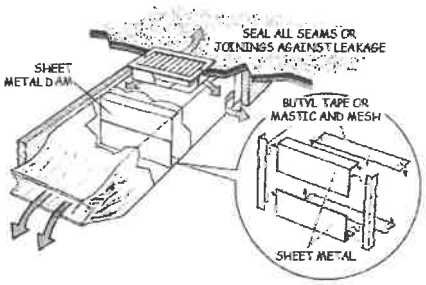

FIG. 8-18: SHEET METAL DAM

5.7.2 Dam Installation

5.7.2(a) Dams shall be:

5.7.2(a1) Placed as far from the register opening as possible

5.7.2(a2) Mechanically attached whenever possible

5.7.2(b) Dams may be attached/sealed with:

5.7.2(b1) Metallic tape or

5.7.2(b2) Mastic and mesh tape

5.8. Sealing Ducted Returns

5.8.1 Rodent barrier (bellyboard) sections shall be removed for access as needed.

5.8.2 Accessible leaks shall be repaired.

5.8.3 Access holes made in the rodent barrier shall be repaired.

5.9. Crossover Ducts

5.9.1 Double-Wide Units

5.9.1(a) Disconnections shall be reconnected, mechanically secured, and sealed.

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5.9.1(b) Other major leaks that are repairable shall be repaired and sealed as prescribed for conventional homes.

5.9.1(c) Disconnected and damaged duct components that cannot be feasibly repaired shall be replaced.

5.9.2 Flexible Crossover Ducts

5.9.2(a) Connections will be added, rebuilt, or repaired using compatible materials and will be:

5.9.2(a1) Mechanically fastened at both the inner and outer liner

5.9.2(a2) Sealed using UL-listed sealant that is durable, structurally sound, and insulated

5.9.2(a3) Equipped with a vapor retarder

5.9.2(b) Whenever possible, rigid elbow or equivalent will be installed in crawlspace crossover ducts.

5.9.2(c) Floor insulation will be in contact with the outer liner of the crossover duct.

5.9.2(d) Crossover duct vapor retarder will be sealed to the bottom liner (e.g., belly fabric).

5.9.2(e) When feasible, 26-gauge hard duct should be installed.

5.9.2(f) If a new crossover is required, it must be insulated to at least R-8 and be air sealed.

5.9.3 Crossover Duct Support

5.9.3(a) Crossover ducts will be:

5.9.3(a1) Installed so they are not in contact with the ground

5.9.3(a2) Supported in accordance with flex duct manufacturer specifications and local codes

5.9.3(b) Support materials will be applied in accordance with manufacturer specifications for interior dimensions and will not crimp ductwork, dip, or sag.

5.9.4 Through-the-Rim Crossover Ducts

5.9.4(a) Through-the-rim crossover ducts will be located and accessed through the bottom liner and branch duct. All branch crossover duct connections and end caps will be located and accessed.

5.9.4(b) The duct size between the branch crossover and the trunk will be maximized.

5.9.4(c) All connections will be mechanically fastened and sealed inside duct.

5.9.4(d) End caps will be sealed.

5.9.4(e) Access holes in the trunk duct will be repaired and sealed.

5.9.4(f) Insulation will be reinstalled.

5.9.4(g) The bottom liner/belly will be repaired.

5.9.5 Attic Crossover Ducts

5.9.5(a) Where feasible, access to the attic will be created for all attic areas that contain crossover ducts.

5.9.5(b) Plenum boxes and crossover duct connections will be rebuilt, mechanically fastened, and sealed.

5.9.5(c) Access holes will be repaired.

5.9.6 Performance Testing

5.9.6(a) Pre- and post-retrofit duct leakage will be performance tested using a duct blaster or pressure pan, and the results will be documented in the file and reported to the homeowner.

5.10. Rodent Barrier (Bellyboard) Repair

5.10.1 Holes in the bellyboard created to access ducts from underneath the mobile home shall be repaired.

5.10.1(a) All holes shall be repaired with a material equivalent or superior to that of the existing bellyboard (Fig. 8-19).

5.10.2 Patches in Flexible Rodent Barrier

5.10.2(a) All patches shall be secured and sealed by means of self-adhesive backing or caulk/ adhesive sealant.

5.10.2(b) Span each belly section with an uninterrupted section of belly material creating as few seams as possible.

5.10.2(c) Patches shall be mechanically secured as needed to ensure permanence by one or more of the following means:

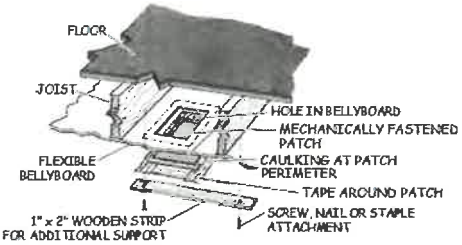

FIG. 8-19: LAYERED METHOD FOR PATCHING RODENT BARRIER

5.10.2(c1) Outward clinch ("stitch") staples, or equivalent, positioned to permanently and securely attach the patch directly to the existing bellyboard

5.10.2(c2) Fasteners penetrating the wooden joists a minimum of ½" and spaced a maximum of 4" on center (OC)

5.10.2(c3) Wooden strips (e.g., attached with screws into floor joists or adjacent girders)

5.10.2(d) Sealant shall be placed around the perimeter of the patch to ensure a complete and permanent seal.

5.10.3 Patches in Rigid Rodent Barrier

5.10.3(a) Patches shall be mechanically secured, and the perimeter shall be sealed with suitable caulk/adhesive sealant.

5.10.3(b) Approved mechanical attachments include:

5.10.3(b1) Fasteners with washers/caps penetrating the wooden joists a minimum of ¾" and spaced a maximum of 6" OC

5.10.3(b2) Wooden strip supports spanning beyond the patch and secured mechanically into the framework above

5.10.3(b3) A combination of methods that will provide a stable, permanent seal

5.10.3(c) For small patches in high-density material, it is acceptable to secure fasteners into the existing bellyboard only.

5.10.4 Missing or damaged skirting shall be replaced per Section 1 General Installation Guidelines, Limited Home Repair.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Independent FAU

6.1.1(a) When an individual dwelling unit has an independently operating FAU and duct system in a multi-family building, installation requirements are the same as those for conventional homes.

6.1.2 Common System (Serving Multiple Dwelling Units)

6.1.2(a) Common area installation is allowed when justified by an energy audit for a whole-building project within the same pressure boundary as the dwelling units. See Appendix D Energy Audit/Priority List Protocol.

6.1.2(b) When the duct system is not accessible (e.g., ducts are located between floors), this measure is not feasible.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure may be a DOE Audit path audit driven measure or Priority List path Mandatory measure.

7.1.2 Duct leakage testing and sealing, and inspector retesting, are required on 100% of units for which DOE funds are used, or the dwelling must be deferred.

7.1.3 Duct testing shall be conducted in accordance with Appendix B Duct Leakage Testing Protocol.

7.1.4 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.5 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.5(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.6 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.7 To assess for this Duct Sealing and Duct Insulation as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.7(a) The form will determine if the measures will be installed in the Audit path or the Priority List (PL) path.

7.1.7(b) When assessing for this measure for the Audit path, measure feasibility will be decided by the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.7(b1) When a measure is feasible based on the audit, and the measure is categorized as a "Major" measure (i.e., Infiltration Reduction, Duct Sealing, Ceiling Insulation, Floor Insulation, and Wall Insulation), it shall be installed or the dwelling must be deferred.

7.1.7(c) When assessing for the Duct Sealing and Duct Insulation measures in the PL path, the feasibility will be based on building type and characteristics.

7.1.7(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.8 If a client refuses a feasible Major Audit path measure, Mandatory Priority List path measure, or Health & Safety measure, the entire dwelling shall be deferred.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP except as specified below.

TABLE 8-3: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
DUCT INSULATION					
5.0107.1f	Duct Wrap (Rigid Ducts Only)	When duct wrap is installed and paid for by DOE, completion of the form CSD 610 Insulation Certificate is required. A copy shall be provided to the client. The certificate shall be completed, dated, and signed by the contractor responsible for installing the insulation. Post a dated CSD 610 Insulation Certificate at the entry to the installation location that minimally includes: • Installed insulation type, coverage area, installed thickness, and installed R-value • If reflective exterior insulation is used the documentation must include the number and width of included air spaces	X	X	X

TABLE 8-3: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
DUCT SEALING, ALL HOUSING TYPES					
5.0106.1f	General Duct Sealing	Seal leaks less than 1/4" using fiberglass mesh and mastic. Mastic alone is acceptable for holes less than 1/8" in size that are more than 10' from the air handler when the static operating pressure is less than 1" of water column.	X	X	X
5.0106.1g	General Duct Sealing	Seal leaks between 1/4" and 3/4" using a two stage process: • Install temporary tape as a backing material. • Seal with fiberglass mesh and mastic that extends at least 1" past the temporary tape on all sides.	X	X	X
5.0106.1h	General Duct Sealing	Repair leaks larger than 3/4" using a rigid duct patch. Mechanically fasten the patch before applying mastic. Install fiberglass mesh and mastic over the seam, overlapping repair joint by at least 1" on all sides.	X	X	X
5.0106.1j	General Duct Sealing	Seal any joints, cracks, and holes that are not gasketed or weatherstripped, and are not needed for proper function or service of the unit using removable sealant (e.g., foil tape, gaskets, etc.).	X	X	X
5.0106.1k	General Duct Sealing	Seal the filter slot with a durable, client removable filter slot cover (e.g., magnetic strip).	X	X	X
NEW DUCT COMPONENTS (APPLIES WHEN A LARGE PORTION IS REPLACED OR A COMPLETE NEW SYSTEM IS INSTALLED)					
5.0104.1c	New Duct Components	Design new residential duct systems using friction charts and ANSI/ACCA Manual D (Residential Duct Systems) or equivalents. Do not use building cavities as ductwork under any situation. Route ducts so that standard service and repair to the building and its systems do not damage the ducts.	X		
5.0104.1c	New Duct Components	Design residential duct systems using friction charts, ANSI/ACCA Manual D (Residential Duct Systems), or ASHRAE equivalents.			X
5.0104.1d	New Duct Components	Design all terminations in accordance with ANSI/ACCA Manual T (Air Distribution Basics). Terminations must be capable of delivering air with proper speed and throw of 80-120% of the farthest wall, floor, or ceiling they serve, and must have a noise level less than 30 decibels. The return grille gross area will be equal to or larger than the return box.			X
5.0104.1d	New Duct Components	Design supply terminations to be capable of delivering air with the proper speed and throw to cover the entire space they serve and that do not produce noticeable flow noise when system is operating at full speed. Design the return grille gross area to be equal to or larger than the return box.	X		
5.0104.1g	New Duct Components	When a 90 degree turn is required in the plenum, use radius elbow fittings or square fittings with turning vanes. The supply plenum must be the same size or larger than the air handler supply opening. If equipment is installed on top of the return plenum, the plenum platform must independently support the weight of the equipment.	X		X
5.0104.1h	New Duct Components	Install reducers between sections of different size ducts in accordance with existing standards based on duct material (e.g., SMACNA, NAIMA).	X		X
5.0104.1j	New Duct Components	Install take-offs onto the trunk in accordance with duct construction standards (SMACNA). Install take-offs using mechanical fasteners for all applications. Take-offs that create high turbulence will not be used (e.g., elbows with integrated dampers, scoops).	X		X
5.0104.1k	New Duct Components	Do not bend flexible duct more than 45 degrees without using a rigid elbow. Use a rigid connector when joining two pieces of flexible duct together.	X		X

TABLE 8-3: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
5.0104.1l	New Duct Components	Use boots with a directional collar (e.g., 45 degree elbow) whenever ducting turns directly after the boot connection. If using straight boots, connect an elbow to the boot before connecting the duct. Do not connect flexible duct directly to a straight boot if it turns more than 15 degrees within 6' of boot connection.	X		X
5.0104.1m	New Duct Components	If required by the local jurisdiction, install smoke alarms inside duct plenums that convey more than 2500 cfm.	X		X
5.0104.1n	New Duct Components	Install accessible filter grills that have no air bypass around the filters. Install filter slot covers to prevent return air leakage. Avoid filters with high static pressure drop unless system is designed for them.	X		X
MECHANICAL FASTENERS					
5.0105.1d	Mechanical Fastening	Cut duct board edges to create an overlapping joint on all contact surfaces. Fasten joints with outward clinching (stitch) staples spaced every 2". Cover joint mastic embedded fiber tape and additional mastic that laps at least 1"" past the edges of the tape on all sides.	X	X	X
5.0105.1e	Mechanical Fastening	Install a metal take-off collar on the duct board specifically designed for the thickness of the duct board. Bend all finger tabs down securely so collar shank is firmly seated against the exterior surface.	X	X	X
5.0105.1f	Mechanical Fastening	Fasten duct board to metal duct using metal channel and mechanical fasteners spaced evenly on all sides. Cover connection joint with mastic embedded fiber tape and additional mastic that laps at least 1" past the edges of the tape on all sides.	X	X	X
5.0105.1g	Mechanical Fastening	Fasten duct board to air handler cabinet using metal channel fastened with screws spaced a maximum of 6" with the duct board sandwiched between the channel flanges. In upflow air handler connections, install a flexible connection between supply plenum and unit that does not reduce the inside dimensions of the duct.	X	X	X
5.0105.1j	Mechanical Fastening	Install a flexible connection between plenum and unit that does not reduce the inside dimensions of the duct. Fasten plenum on all sides with mechanical fasteners spaces no more than every 6".	X	X	X
MOBILE HOME (MH), DUCT BOOT REPAIR					
5.0105.5b	Replace MH Duct Boots	Build the boot 1/8" smaller in width than the opening in the main duct trunk, and a minimum of 2" longer than the distance between the top of the duct trunk and the top of the subfloor. Bend a 1/2" wide outward facing lip on all sides of the top facing end of the boot. Cut 1" wide tabs in the bottom 1-1/2" of the sheet metal boot that will fold under into the duct trunk.		X	
5.0105.5c	Replace MH Duct Boots	Install the boot into the subfloor register hole. Align sheetmetal tabs with the interior of the duct trunk register hole until the outward facing lip on the top of the boot is firmly in contact with the subfloor surface. Fold all tabs into the duct trunk so that the boot is firmly in contact on the top of the subfloor and inside top of the duct trunk line.		X	
MH BELLYBOARD REPAIR/REPLACEMENT					
3.0102.5a 3.0102.5d 3.0102.5e	Bellyboard - Soft Bottom Patching	Install patching material over all holes lapping a minimum of 3" over the surrounding material. Attach patches using outward clinch staples ("cinch staples") spaced no more than 2" apart.		X	

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TABLE 8-3: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
3.0102.6c 3.0102.6d 3.0102.6e	Bellyboard - Soft Bottom Replacement	Span each belly section with an uninterrupted section of belly material creating as few seams as possible Lap any seams in the belly material a minimum of 6", seal with a continuous bead of sealant, and mechanically fastened every 2". Attach belly material at opposite ends of spanned section using rigid support material (i.e., wooden furring strips). Attach belly material to rigid support material by wrapping it around the rigid support material a minimum of 2 times and mechanically fastening every 6". Attach rigid support material to belly at every joist or at a maximum of every 2' with mechanical fasteners that penetrate the substrate a minimum of 1-1/2".		X	
3.0102.7d 3.0102.7e 3.0102.7f	Bellyboard - Rigid Bottom Patching	Patch any hole larger than 1 square foot with patch material that laps over the sub-framing on at least two edges. Install rigid patching material over all holes lapping a minimum of 3" over the surrounding material.		X	
3.0102.8c 3.0102.8d 3.0102.8e	Bellyboard - Rigid Bottom Replacement	Install support material for spans wider than 24", except when air barrier material is rated to span greater distance under load (e.g., wind, insulation). Support material will support applied loads without sagging, bending, or failure. Cover entire area with as few pieces of rigid material as possible. Attach rigid belly material to sub-framing every 6" where possible with mechanical fasteners that penetrate sub-framing a minimum of 1-1/2". Use mechanical fasteners that incorporate washers/caps that prevent fasteners from being pulled through belly material.		X	

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Ensure the CSD 706 Duct Leakage Data Sheet is properly completed and duct sealing measures were properly performed.

8.1.2 Perform CAS testing in accordance with Appendix A Combustion Appliance Safety Protocol.

8.1.3 Retesting for duct leakage is required on a minimum of 20% of inspected units as part of the quality assurance post-inspection for LIHEAP units per Appendix B Duct Leakage Testing Protocol.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure-specific verbal and written instructions include:

8.2.2 (a) The importance of not blocking inlets

8.2.2 (b) The importance of cleaning dust and debris from return grilles

8.2.2 (c) Proper placement of interior furnishings with respect to registers

8.2.2 (d) Negative consequences of closing registers

8.3. Clean-Up and Disposal Requirements

8.3.1 Paint dust and chips, scraps, and other debris resulting from duct sealing and repair activities shall be cleaned up and removed from the premises utilizing lead-safe practices when applicable.

8.3.2 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

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8.3.3 Furniture and other household items moved for installation work shall be returned to their original positions.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 Duct Repair and Sealing

9.1.1(a) LIHEAP: 10 years

9.1.1(b) DOE: 10 years

9.1.2 Duct Insulation

9.1.2(a) LIHEAP: 10 years

9.1.2(b) DOE: 20 years

9.2 Ducts and Component Materials

9.2.1 Materials shall comply with:

9.2.1(a) Current Title 24 Residential Compliance Manual, Chapter 4

9.2.1(b) Current California Mechanical Code (CMC), Chapter 6

9.2.2 Flame-spread index not to exceed 25 when tested in accordance with ASTM E84 or UL 723.

9.2.3 Only exterior-rated ducts and components shall be used when installed outdoors or in weather-exposed areas.

9.2.4 Rigid Metal Duct and Sheet Metal Components

9.2.4(a) All rigid metal ducts, plenums, and metal components shall be of non-corrosive metal.

9.2.4(b) DOE: rigid ducts shall be 28 gauge or thicker.

9.2.5 All Flexible Duct

9.2.5(a) Ducts shall conform to National Fire Protection Association (NFPA) 90B and UL 181 (Class 1).

9.2.5(b) Non-metallic insulated ducts with air-permeable core not allowed.

9.2.5(c) The duct jacket (vapor barrier) shall be made of ultraviolet (UV)-resistant material (e.g., silver metalized polyester jacket).

9.2.5(d) New fittings shall be used with new flexible non-metallic duct

9.2.5(d1) All new fittings shall be beaded at each core connection (e.g., both ends of a sleeve).

9.2.5(d2) Starting collars must be 4" installed length and made of 26-gauge galvanized steel (up to 14" diameter).

9.2.5(d3) Splicing sleeves must be 6" in length and made of 26-gauge galvanized steel (up to 14" diameter).

9.2.6 Rigid fiberglass ducts shall conform with UL 181 and the current CMC.

9.2.7 Duct Board

9.2.7(a) High-density fiberglass duct board shall conform with American Society for Testing and Materials (ASTM) C726, NFPA 90B, or UL 181 (Class 1).

9.2.7(b) Foam board is not allowed as a barrier material in the repair or sealing of building cavities used as ducts, platforms, or other duct system components.

9.3 Sealants

9.3.1 Approved sealants shall

9.3.1(a) Be UL-listed and labeled per Table 8-4.

9.3.1(b) Allow for differential expansion and contraction between materials.

9.3.1(c) Contain low volatile organic compounds (VOCs).

9.3.2 Foam sealants shall not be allowed in the sealing of building cavities used as ducts, platforms, or other duct system components.

9.3.3 Mastics and Mesh

9.3.3(a) All approved mastics shall be UL-labeled and listed as identified in Table 8-4, non-toxic, water-resistant, and rated for exterior use.

9.3.3(a1) Outdoor applications must be rated for exterior applications.

9.3.3(b) At a minimum, mesh used to reinforce duct mastic shall be:

9.3.3(b1) Fiberglass material, 9 x 9 minimum weave per inch, and 0.006" thick

9.3.3(b2) 2" minimum width for use on flexible and rigid metal ducts

9.3.3(b3) 3" minimum width for use on rigid fiberglass ducts

TABLE 8-4: APPROVED DUCT SEALING MATERIALS

Duct Type	Sealing Material	UL Identification
Rigid metal and fiberglass duct and components	Metallic tape (pressure-sensitive)	Marked 181A-P or 181A-P/181B-FX
	Heat-activated tape	Marked 181A-H
	Mastic	Labeled 181A-M or 181A-M/181B-M
Flexible ducts	Metallic tape (pressure-sensitive)	Marked 181B-FX or 181A-P/181B-FX
	Mastic	Labeled 181A-M or 181A-M/181B-M

9.3.4 Metallic Tape

9.3.4(a) Cloth-backed rubber adhesive tapes are not permitted.

9.3.4(b) Approved metallic tapes shall be listed and marked in accordance with Table 8-4.

9.3.4(c) Other tapes may be used only for the specific applications described below:

9.3.4(c1) Flexible non-metallic and flexible metallic ducts

- Cloth-backed butyl-adhesive tapes may be allowed if California Electrical Code (CEC)–approved for use in California (i.e., indicated by "CA" in the product number).

9.3.4(c2) Rigid metal ducts and components

- Butyl tape without UL 181A-P or UL 181B-FX markings may be used to seal rigid metal-to-metal connections.

9.3.4(c3) Access panels

- Use metallic tapes with non-butyl (e.g., acrylic) adhesive.

9.3.4(c4) High-temperature applications

- Use metallic tapes with non-butyl (e.g., acrylic) adhesive and a service temperature rating of at least 265°F.

9.3.5 Caulking materials shall be:

9.3.5(a) Non-toxic

9.3.5(b) Selected and applied in accordance with Section 32 Infiltration Reduction

9.4 Mechanical Fastenings

9.4.1 Screws: #8 sheet metal screws shall be used.

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9.4.2 Drawbands and Clamps (Duct Ties)

9.4.2(a) Drawbands shall:

9.4.2(a1) Be weather- and UV-resistant nylon duct ties rated for outdoor use

9.4.2(a2) Have a tensile strength rating of 150 lb.

9.4.2(a3) Be marked UL 181B-C

9.4.2(b) Drawbands must be tightened with an adjustable tensioning tool in accordance with the duct manufacturer's instructions.

9.4.2(c) Clamps shall be stainless steel worm-drive clamps.

9.5 Duct Supports

9.5.1 All Ducts

9.5.1(a) Support materials shall be corrosion-resistant and shall conform to the duct manufacturer's installation instructions, Title 24 Standards, and CMC Chapter 6.

9.5.2 Flexible Ducts (Horizontal and Vertical)

9.5.2(a) Non-metallic support straps:

9.5.2(a1) Polypropylene monofilament, woven polyester, polyester scrim–reinforced vinyl laminate, or equivalent

9.5.2(a2) Minimum width: 1¾"

9.5.2(a3) Minimum tensile strength: 70 lb. per inch of width

9.5.2(b) Sheet metal support straps and saddles

9.5.2(b1) Width: 1½" minimum

9.5.2(b2) Thickness: 26-gauge minimum

9.5.3 Rigid Ducts (Horizontal and Vertical)

9.5.3(a) Horizontal rigid round metal ducts

9.5.3(a1) Up to 10" diameter

- Galvanized steel straps, same gauge as duct, 1" minimum width or
- 18-gauge galvanized steel wire

9.5.3(a2) 11"–40" diameter

- Galvanized steel straps, same gauge as duct, 1" minimum width or
- 8-gauge galvanized steel wire tied to a galvanized steel band, 1" minimum width, surrounding the duct

9.5.3(b) Vertical rigid round metal ducts

9.5.3(b1) Up to 10" diameter

- 18-gauge galvanized steel straps, 2" minimum width

9.5.3(b2) 11"–20" diameter

- 16-gauge galvanized steel straps, 2" minimum width

9.6 Duct Insulation

9.6.1 Flame-spread index not to exceed 25 and smoke-developed index not to exceed 450 where tested in accordance with ASTM E84 or UL 723.

9.6.2 R-value shall be as shown in Table 8-5, or greater if required by local code.

TABLE 8-5: DUCT INSULATION MINIMUM R-VALUES

Climate Zone	Minimum R-Value
3, 5, 6, 7	R-6
1, 2, 4, 9 – 16	R-8

9.6.3 DOE:

9.6.3(a) Select insulation that includes an exterior vapor retarder layer and weather and UV resistant.

9.6.3(b) Ducts installed outside of the thermal boundary: minimum of R-8.

9.6.3(c) Ducts exposed to the exterior of the building: minimum of R-12.

9.6.4 Approved Insulation Attachment Materials

9.6.4(a) Drawbands (duct ties)

9.6.4(b) Non-corrosive wire, 20-gauge minimum

9.6.4(c) Rust-resistant nails or staples

9.6.4(d) Metallic (pressure-sensitive) tape

9.7 Mobile Home–Specific Duct Materials

9.7.1 Where material specifications are not identified specifically for mobile homes, conventional home specifications shall apply.

9.7.2 The rodent barrier shall be composed of material equivalent or superior to the existing bellyboard.

9.7.3 When crawlspace ducts are accessible to animals, only internally insulated rigid metal ducts shall be used.

9.7.4 When crawlspace ducts are not accessible to animals, flexible ducts may be installed to:

9.7.4(a) Replace damaged or deteriorated ducts (e.g., crossover ducts)

9.7.4(b) Install a new ducted return system

9.7.5 All flexible ducts for mobile homes must:

9.7.5(a) Conform to NFPA 90B and UL 181 Class 1

9.7.5(b) Have duct insulation minimum thermal resistance (R-value) ≥4.2 (when required by local code)

9.7.5(c) Have vapor barrier material as described below:

9.7.5(c1) Rated for mobile home use (e.g., with HUD markings on the jacket)

9.7.5(c2) Minimum thickness of 3.5 mils

9.7.5(c3) Maximum permeance of 1.0 perm

9.7.6 Flexible Non-Metallic Ducts

9.7.6(a) Non-metallic flexible duct core shall be fabricated with a spring steel helix bonded within non-porous material (e.g., molded composite or two-ply lamination of polyester).

9.7.7 Flexible Metallic Ducts

9.7.7(a) Metallic flexible duct core shall be fabricated from minimum 0.0065" thick aluminum material or equivalent.

9.7.8 Rigid Metal Ducts

9.7.8(a) Only galvanized or aluminum ducts shall be allowed.

9.7.8(b) The gauge of any rigid metal duct patch shall equal or exceed the gauge of the existing duct.

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

9. Whole House Fans

Table of Contents

1. **MEASURE OBJECTIVES** **9-1**

2. **INSTALL THIS MEASURE WHEN:** **9-1**
   - 2.1. Repair 9-1
   - 2.2. Install 9-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **9-1**

4. **INSTALLATION GUIDELINES** **9-1**
   - 4.1. General Requirements 9-1
     - *4.1.3 Window Screens* *9-1*
     - *4.1.4 Structural Integrity* *9-2*
     - *4.1.5 Attic Exhaust Ventilation* *9-2*
     - *4.1.6 Access, Location, and Fit* *9-2*
     - *4.1.7 Electrical Requirements* *9-2*
   - 4.2. Installation Procedure 9-2
     - *4.2.1 Fan Mounting* *9-2*
     - *4.2.2 Fan Controls* *9-2*
     - *4.2.3 Safety Disconnects* *9-2*
     - *4.2.4 Insulation and Weatherstripping* *9-3*

5. **MOBILE HOME–SPECIFIC** **9-3**
   - 5.1. Installation Requirements 9-3

6. **MULTI-FAMILY–SPECIFIC** **9-3**
   - 6.1. Installation Requirements 9-3

7. **DOE-SPECIFIC** **9-3**
   - 7.1. Assessment Requirements 9-3

8. **POST-INSTALLATION GUIDELINES** **9-3**
   - 8.1. Quality Check 9-3
   - 8.2. Client Education 9-4
   - 8.3. Clean-Up and Disposal Requirements 9-4

9. **MATERIAL SPECIFICATIONS** **9-4**

10. **WARRANTY** **9-5**

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Whole House Fans

1. MEASURE OBJECTIVES

1.1 A whole house fan (WHF) brings in outside air through door and/or window openings and expels air through the attic vents to cool the living space.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 A functional central air conditioning system or a minimum of two window/wall air conditioning units exist in the home or

2.2.2 An existing WHF has one of the following operational issues:

2.2.2(a) Airflow is less than 1.5 cu. ft. per minute (CFM)/sq. ft. of conditioned floor area.

2.2.2(b) It has a hazard condition (such as an electrical hazard) that will be resolved by installing a new fan.

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 An existing WHF provides airflow of at least 1.5 CFM/sq. ft. of conditioned floor area

3.2 The required inlet air (open doors/windows) and/or exhaust air (attic venting net flow ventilation area) cannot be provided

3.3 An open combustion gas appliance with a standing pilot is in the house or attic, or other hazard per Appendix A Combustion Appliance Safety Protocol

3.4 Cutting of truss chord(s) or ceiling joists would be required for the installation

3.5 Attic access is not adequate and cannot be installed under Section 1 General Installation Guidelines, Limited Home Repair

3.6 No feasible location is available with sound structural framing and adequate clearances

3.7 A proper grounded electrical circuit is not present and cannot be installed

3.8 Installation would violate the Appendix E Health and Safety Requirements

3.9 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 The WHF shall be one of these three types:

4.1.1(a) Ceiling-mount with barometric shutter

4.1.1(b) Ducted remote fan

4.1.1(c) Ceiling-mount with insulated top cover

4.1.2 Combustion appliances that may be affected by the WHF shall be tested in accordance with Appendix A Combustion Appliance Safety Protocol to ensure proper operation.

4.1.3 Window Screens

4.1.3(a) Windows, sliding glass doors, and screen doors on entry doors used to provide ventilation during WHF operation shall have intact insect screens.

4.1.3(a1) Damaged or missing screens shall be repaired or replaced under Section 1 General Installation Guidelines, Limited Home Repair.

4.1.4 Structural Integrity

4.1.4(a) Framing members shall be structurally sound and suitable for the installation.

4.1.5 Attic Exhaust Ventilation

4.1.5(a) Exhaust ventilation net free ventilation area (NFVA) for WHF shall:

4.1.5(a1) Comply with the WHF manufacturer's specifications or

4.1.5(a2) Be 1 sq. ft. per 750 CFM of WHF rated airflow

- Exception: Does not apply to WHFs that vent directly to outside.

4.1.5(b) See Section 40 Attic Ventilation.

4.1.5(c) All vents shall be unobstructed and properly blocked from loose fill insulation.

4.1.6 Access, Location, and Fit

4.1.6(a) The WHF inlet shall be located:

4.1.6(a1) At least 3' horizontally away from carbon monoxide and smoke alarms

4.1.6(a2) Centrally in the home, when feasible

4.1.6(a3) In a ceiling area free of obstructions (e.g., pipes, wires, ducts)

4.1.6(a4) Where access to an acceptable electrical circuit is feasible

4.1.6(b) The WHF inlet shall not be located:

4.1.6(b1) In a bedroom, kitchen, or utility room

4.1.6(b2) Anywhere its air movement can adversely affect operation of an open combustion appliance (cause spillage or blow out a standing pilot)

- Note: A WHF may be installed in an attic that contains a closed combustion furnace or an open combustion furnace with electronic ignition.

4.1.7 Electrical Requirements

4.1.7(a) The circuit shall:

4.1.7(a1) Provide constant power to the fan controls (it must not be a switch leg)

4.1.7(a2) Be grounded with adequate overcurrent protection

4.2. Installation Procedure

4.2.1 Fan Mounting

4.2.1(a) Framing/blocks shall be installed between joists, when required, to provide proper mounting and stabilizing surfaces for the WHF.

4.2.1(b) The air path between the attic floor and fan housing shall be enclosed to form a plenum and sealed to prevent infiltration of attic air.

4.2.2 Fan Controls

4.2.2(a) Fan controls shall consist of an on/off feature and a timer.

4.2.2(b) The timer and on/off switch (when present) shall be installed in an electrical box at least 60" above the floor (i.e., higher than nearby light switches).

4.2.2(b1) Exception: Controls may be mounted as low as 48" above the floor when the occupant uses a wheelchair.

4.2.2(c) When the WHF has a pull-chain control (but no remote control), a wall-mounted controller must be installed.

4.2.2(d) Wiring shall be enclosed within a wall cavity whenever possible. When not possible, a raceway must be installed.

4.2.3 Safety Disconnects

4.2.3(a) A thermostatic safety switch to disconnect power to the fan in case of fire shall be installed above the fan in the air path (e.g., on a roof rafter) (Fig. 9-1).

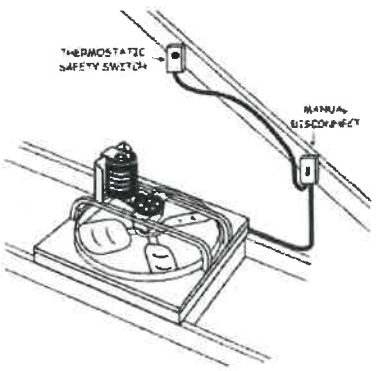

FIG. 9-1: SAFETY DISCONNECTIONS

4.2.3(b) A manual disconnect shall be installed in the attic near the fan (Fig. 9-1).

4.2.3(c) An on-off switch shall be wired into the fan circuit within sight of the motor so the unit can be disabled during maintenance.

4.2.4 Insulation and Weatherstripping

4.2.4(a) A fan insulation box will be constructed at a depth to protect the fan housing and motor from insulation (Fig. 9-2).

4.2.4(b) The sides of the fan insulation box assembly will be insulated to the same R-value as the adjoining insulated assembly.

4.2.4(c) Non-compressible insulation will be permanently attached in contact with the fan insulation box.

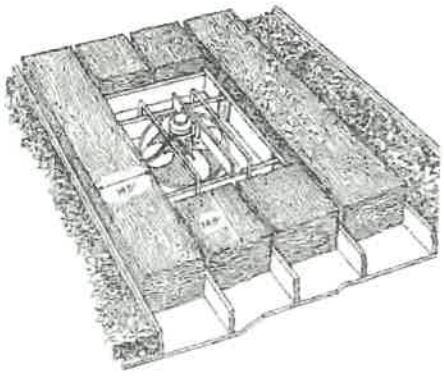

FIG. 9-2: WHOLE HOUSE FAN INSULATION BOX (BLOCKING)

4.2.4(d) The fan insulation box frame will be continuously weatherstripped to ensure a tight fit.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 This measure does not apply to mobile homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes except as specified below.

6.1.1(a) A WHF may not be installed in multi-family dwellings that share a common attic space.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a lobby, entertainment room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Installation shall be examined for:

8.1.1(a) Proper, secure attachment of the fan to the ceiling joists

8.1.1(b) Correct blocking of loose fill (when applicable)

8.1.1(c) Safe electrical wiring

8.1.2 The unit, including the power switch, speed control, and timer, shall be tested for proper operation.

8.1.3 When present, the hinged insulated lid, backdraft damper, shutter louvers, and separate winter cover shall operate without binding or misalignment.

8.1.4 Operation of the WHF at high speed shall not cause any combustion appliance to fail CAS testing.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure-specific verbal and written instructions include:

8.2.2(a) Demonstrate the fan operation and controls to the occupant.

8.2.2(b) Explain the need to open the required number of windows or doors before turning on the fan.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 20 years

9.1.2 DOE: Not applicable to this measure

9.2 WHF

9.2.1 All WHFs shall:

9.2.1(a) Be Underwriters Laboratories (UL)-listed (or equivalent) and compliant with UL 507

9.2.1(b) Have a thermally protected motor rated for 120-volt alternating current

9.2.1(c) Have a minimum of two speeds or a variable speed control

9.2.1(d) Have a minimum expected service life of 20 years

9.3 Fan Controls

9.3.1 WHF shall have:

9.3.1(a) A wall-mounted or remote-controlled manual-on/automatic-off timer or controller that allows timed operation

9.3.1(a1) The WHF control must not be activated by a device that turns it on automatically.

9.3.1(b) An attic-mounted thermostatic safety limit switch that turns off the WHF when the attic temperature is above 185°F

9.4 Fan Sizing

9.4.1 The appropriate fan CFM shall be determined based on the living space volume or the desired effect using 1.5 CFM/sq. ft. of conditioned floor area.

9.5 Fan System Design

9.5.1 Inline fan: A remote fan connected with a flexible duct to a damper-equipped, ceiling-mount intake assembly/plenum and grille.

9.5.1(a) The duct shall be UL 181 metallic flexible duct or the duct supplied with the fan.

9.5.1(b) The plenum and duct shall be sized in accordance with Building in California's "Field Duct Sizing Chart" (available at http://buildingincalifornia.com/wp-content/uploads/2014/03/duct-sizing-chart.pdf).

9.5.2 Standard fan: A recessed, ceiling-mounted fan with a barometric shutter.

10. WARRANTY

10.1 Manufacturer warranty—3 years minimum

10.2 Contractor warranty—1 year

10. Air Filters

Table of Contents

1. **MEASURE OBJECTIVES** **10-1**

2. **INSTALL THIS MEASURE WHEN:** **10-1**

2.1. Repair 10-1

2.2. Install 10-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **10-1**

3.1. Do Not Repair 10-1

3.2. Do Not Install 10-1

4. **INSTALLATION GUIDELINES** **10-1**

4.1. General Requirements 10-1

4.1.1 Filter Type *10-1*

4.1.2 Filter Sizing *10-1*

4.1.3 Filter Support *10-1*

4.1.3(c) 1" bonded fiber filters 10-2

4.1.3(d) A-shaped and V-shaped 1" bonded fiber filters 10-2

4.1.3(e) Horizontal and hammock-style 1" bonded fiber filters 10-2

4.1.3(f) Vertical 1" bonded fiber filters 10-2

4.1.3(g) Return intake grille applications 10-2

4.1.4 Two Filters *10-3*

4.1.4(a) One return 10-3

4.1.4(b) Two returns 10-3

4.1.5 Wall Furnaces *10-3*

4.1.6 Wall-/Window-Mount AC *10-3*

4.2. Installation Procedure 10-3

4.2.1 Repair *10-3*

4.2.2 Install *10-3*

5. **MOBILE HOME–SPECIFIC** **10-3**

5.1. Installation Requirements 10-3

5.1.2 All HVAC Units *10-3*

5.1.2(c) 1" bonded fiber filters 10-3

5.1.2(d) ½" bonded fiber and foam 10-4

5.1.3 Ducted Return Intakes *10-4*

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6. MULTI-FAMILY–SPECIFIC 10-4

6.1. Installation Requirements 10-4

6.1.1 Independent FAU 10-4

6.1.2 Common System (Serving Multiple Dwelling Units) 10-4

7. DOE-SPECIFIC 10-4

7.1. Assessment Requirements 10-4

7.2. Installation Requirements 10-5

8. POST-INSTALLATION GUIDELINES 10-5

8.1. Quality Check 10-5

8.2. Client Education 10-5

8.3. Clean-Up and Disposal Requirements 10-5

9. MATERIAL SPECIFICATIONS 10-5

10. WARRANTY 10-6

Air Filters

1. MEASURE OBJECTIVES

Clean and adequately supported air filters are necessary for the proper functioning of heating, ventilation, and air conditioning (HVAC) units.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Supports can be added to the existing filter to resolve inadequate performance

2.2. Install

2.2.1 The HVAC appliance or window/wall air conditioner (AC) is operable and

2.2.2 The filter is missing or

2.2.3 The existing filter is impacted by dirt and debris or

2.2.4 The existing filter does not meet the material specifications in this measure and the HVAC manufacturer's recommendations

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1. Do Not Repair

3.1.1 Filter support is adequate or cannot be provided when required

3.2. Do Not Install

3.2.1 The existing filter is serviceable, clean, and functions properly

3.2.2 The HVAC appliance or window/wall AC is inoperable and cannot be repaired

3.2.3 Filter replacement would require removal of a flue, duct, or pipe

3.2.4 The filter that complies with the program is specifically prohibited by the HVAC manufacturer

3.2.5 The filter is not available in the proper size or cannot be cut to size

3.2.6 Installation would violate the Appendix E Health and Safety Requirements

3.2.7 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Filter Type

4.1.1(a) Air filter selection shall comply with the HVAC unit manufacturer's specifications.

4.1.1(b) When a minimum efficiency reporting value (MERV) 6 filter is not specifically allowed by the manufacturer's specifications for the existing forced air appliance, a washable "hog hair," foam, or other specialty-type filter shall be installed (to prevent excessive static pressure and appliance failure.)

4.1.2 Filter Sizing

4.1.2(a) All filter types shall be sized, supported, and installed in accordance with appliance manufacturer and filter manufacturer specifications.

4.1.2(b) Unframed filters shall be cut for a snug fit with maximum ¼" tolerance.

4.1.2(c) Framed filters shall fit within the filter housing without crimping or buckling.

4.1.3 Filter Support

4.1.3(a) Materials thinner than 1" shall be secured externally.

4.1.3(b) All unframed filters shall be supported as needed to prevent being drawn toward the air handler, in accordance with manufacturer's instructions.

4.1.3(c) 1" bonded fiber filters

4.1.3(c1) When not in conflict with the appliance manufacturer's or filter manufacturer's instructions, steel rods shall be installed internally as needed to stiffen filters that are 20" or longer in either direction.

4.1.3(c2) Support rods shall be:

- Spaced a maximum of 20" on center
- Sized to fully extend from one edge of the filter to the other
- Inserted in the center of the filter medium, or per manufacturer's instructions

4.1.3(c3) At least one rod shall be positioned so that both ends are supported by a solid surface.

4.1.3(d) A-shaped and V-shaped 1" bonded fiber filters

4.1.3(d1) The HVAC unit shall have:

- Filter access that does not require the removal of any duct or vent pipe
- Both upper and lower support devices (A-shaped filters)
- A bottom support for the filter (V-shaped filters)

4.1.3(d2) Unframed filters:

- One-piece unframed bonded fiber filters shall be cut and installed per the manufacturer's instructions.
- When a single large piece cannot be installed, two pieces of material shall be used.

4.1.3(d3) Framed filters:

- Two framed filters of the correct size shall be installed.
- Large filters shall not be modified to fit by cutting or folding.

4.1.3(e) Horizontal and hammock-style 1" bonded fiber filters

4.1.3(e1) Horizontal unframed filters: Internal support shall be installed as needed.

4.1.3(e2) Horizontal framed filters: Internal support is not required.

4.1.3(e3) Hammock-style filters:

- Unframed filters shall be used.
- The filter shall be secured with the wire mesh hammock.

4.1.3(f) Vertical 1" bonded fiber filters

4.1.3(f1) Unframed filters: Internal support shall be installed as needed.

4.1.3(f2) Framed filters: Internal support is not required.

4.1.3(f3) See Fig. 10-1.

4.1.3(f4) Vertical filter cover:

- When the filter access opening is not sealed by a cover, one shall be provided that blocks leakage.
- Fabricated covers shall be:
  - Made from minimum 26-gauge non-corrosive metal (e.g., galvanized sheet metal)
  - Mechanically secured with metal turn clips or other means that allows easy removal

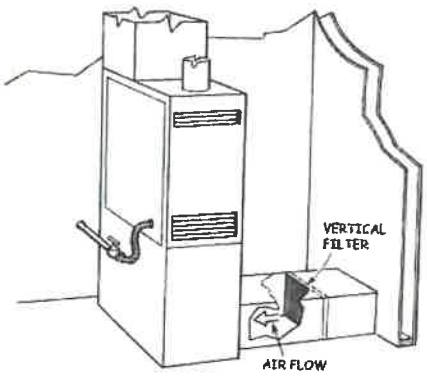

FIG. 10-1: A VERTICAL FILTER IN PLACE

4.1.3(g) Return intake grille applications

4.1.3(g1) All 1" bonded fiber filters

- Unframed filters: Internal support shall be installed as needed.

- Framed filters: Internal support is not required.

4.1.4 Two Filters

4.1.4(a) One return

4.1.4(a1) Eliminate the less accessible filter (if air is filtered twice).

4.1.4(b) Two returns

4.1.4(b1) Each return shall be treated separately as one return.

4.1.4(b2) See Fig. 10-2.

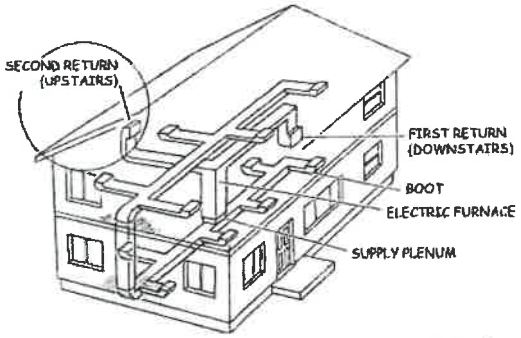

FIG. 10-2: AN EXAMPLE OF A HOME WITH TWO RETURNS

4.1.5 Wall Furnaces

4.1.5(a) Filters shall not be installed on wall furnaces, including models with circulating fans.

4.1.6 Wall-/Window-Mount AC

4.1.6(a) All replacement filters shall comply with the manufacturer's specifications.

4.1.6(b) A ½" bonded fiber unframed filter shall be used when not prohibited by the appliance manufacturer.

4.1.6(c) A foam unframed filter shall be installed only when a ½" bonded fiber filter will not fit properly or is prohibited by the appliance manufacturer.

4.1.6(d) See Fig. 10-3.

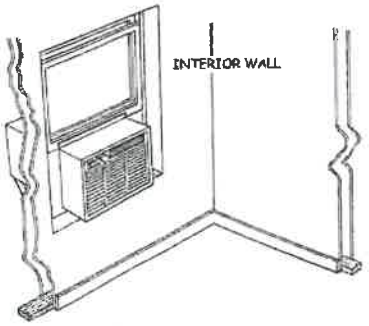

FIG. 10-3: WALL- AND WINDOW-MOUNT AC MAY USE FOAM OR ½" BONDED FIBER FILTERS

4.2. Installation Procedure

4.2.1 Repair

4.2.1(a) If the existing filter does not qualify for replacement but requires supports, install supports per the manufacturer's instructions.

4.2.2 Install

4.2.2(a) Replace the filter per the manufacturer's instructions.

4.2.2(b) Install supports per the manufacturer's instructions when the criteria in Filter Support are met.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.2 All HVAC Units

5.1.2(a) A reusable filter shall not be installed.

5.1.2(b) Some mobile home manufacturers do not allow the installation of an air filter (e.g., Coleman 8600 "Solar Pack," International, Intertherm, etc.). A filter shall only be installed when the HVAC manufacturer's specifications allow it.

5.1.2(c) 1" bonded fiber filters

5.1.2(c1) A filter shall be installed only on:

- Gas or oil upflow furnaces equipped with AC
- Electric furnaces and heat pumps

5.1.2(c2) The return shall accommodate a 1" filter that can be properly secured with standard retainers.

5.1.2(d) ½" bonded fiber and foam

5.1.2(d1) This filter type (Fig. 10-4) is recommended for downflow units when:

- The return can accommodate the material
- It can be properly secured with standard retainers

5.1.2(d2) Foam shall be installed when:

- The return will not accommodate ½" bonded fiber or
- Bonded fiber is prohibited by the manufacturer

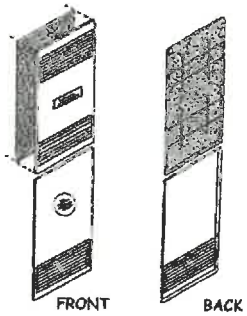

FIG. 10-4: ½" BONDED FIBER OR FOAM FILTER

5.1.3 Ducted Return Intakes

5.1.3(a) See Fig. 10-5.

5.1.3(b) Unframed filters: Internal support shall be installed as needed.

5.1.3(c) Framed filters: Internal support is not required.

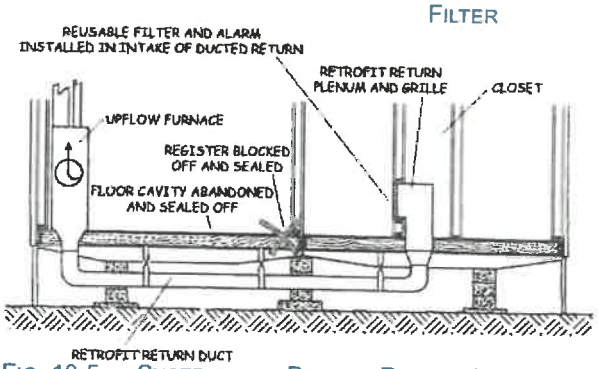

FIG. 10-5: SYSTEM WITH DUCTED RETURN INTAKE

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Independent FAU

6.1.1(a) When an individual dwelling unit has an independently-operating FAU in a multi-family building, installation requirements for this measure are the same as those for conventional homes.

6.1.2 Common System (Serving Multiple Dwelling Units)

6.1.2(a) The installation of this measure is allowed when the air filter is accessible from the dwelling unit.

6.1.2(b) When the measure will be included in a multi-family whole-building project:

6.1.2(b1) Installation requirements are the same as those for conventional homes.

6.1.2(b2) The installation will apply only within the dwelling units.

6.1.2(b3) Common area installation for this measure is not allowed.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is a DOE Audit path General Heat Waste measure.

7.1.2 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.4 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.5 When installing this measure as part of the Audit path work scope, a Measure SIR and Dwelling SIR are not required.

7.1.6 The maximum installed cost for all Audit path, GHW measures is $250.

7.1.6(a) When this measure is paid for by LIHEAP, or is cost-shared with LIHEAP, and other dwelling costs are billed to DOE, DOE-specific assessment and installation policies will apply. For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Ensure that filters, supports, and covers are installed properly.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure-specific verbal and written instructions include:

8.2.2(a) Occupants shall be shown how to remove and reinstall the filter.

8.2.2(b) The importance of timely replacement of the filters for occupant health and appliance operation shall be emphasized.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 4 years

9.1.2 DOE: Not applicable to this measure.

9.2 Filters for Existing Forced Air Systems

9.2.1 A MERV 6–type filter shall be used when specifically allowed by the manufacturer of the existing system.

9.2.2 "Hog Hair" Type and Other Bonded Filters

9.2.2(a) 1" thickness shall be used in central HVAC systems.

9.2.2(b) ½" thickness shall be used in a window/wall AC.

9.2.3 Foam Filter

9.2.3(a) The filter shall be ¼" single-layer foam, 20–30 pores per inch.

9.2.3(b) A foam filter shall be installed only when a bonded fiber filter is not feasible or is prohibited by the appliance manufacturer.

9.2.4 Other Materials

9.2.4(a) "Sock"-type foam and other specialty materials shall only be installed when specified by the appliance manufacturer.

9.3 Filters for New Forced Air Systems

9.3.1 Filters shall:

9.3.1(a) Be minimum efficiency reporting value (MERV) 6 or better when installed in a new/replacement forced air unit (FAU) or filter grille

9.3.1(b) Be Underwriters Laboratories (UL)–listed Class 2 filter material

9.3.1(c) Conform to Air-Conditioning, Heating, and Refrigeration Institute (AHRI) 680 or 681 (SI) and UL-900

9.4 Support Rods and Filter Supports for Unframed Air Filters

9.4.1 Support rods shall be corrosion-resistant.

9.4.1(a) Steel rods must be galvanized.

10. WARRANTY

10.1 Manufacturer—90 days

10.2 Contractor—90 days

11. Kitchen Exhaust

Table of Contents

1. **MEASURE OBJECTIVES** **11-1**

2. **INSTALL THIS MEASURE WHEN:** **11-1**

2.1. Repair 11-1

2.2. Install 11-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **11-1**

3.1. Do Not Repair/Install 11-1

3.2. Do Not Install 11-1

4. **INSTALLATION GUIDELINES** **11-1**

4.1. General Requirements 11-1

4.1.2 Repair/Install *11-1*

4.1.2(b) Passive vent 11-2

4.1.3 Repair *11-2*

4.1.3(a) Kitchen exhaust duct extension 11-2

4.2. Repair Procedure 11-2

4.2.1 Ducted Wall and Ceiling Fan Units *11-2*

4.2.2 Damper Correction *11-2*

4.2.3 Repairs to Exhaust Duct and Termination *11-2*

4.2.4 Chain-Operated Wall-Mount Units *11-3*

4.3. Installation Procedure 11-3

4.3.1 Kitchen Exhaust Replacement *11-3*

4.3.2 Required location and clearances *11-3*

4.3.3 Electrical Requirements *11-3*

4.3.3(c) Wiring 11-3

4.3.4 Exhaust Duct *11-4*

4.3.4(b) Duct location 11-4

4.3.4(c) Configuration and joints 11-4

4.3.4(d) Vertical ducts 11-4

4.3.4(f) Termination 11-4

4.3.5 Ducted Wall- and Ceiling-Mount Exhaust Fans *11-5*

4.3.5(a) Size 11-5

4.3.5(b) Ceiling/wall penetration 11-5

4.3.5(c) Attachment of exhaust fan 11-5

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5. MOBILE HOME–SPECIFIC 11-5

5.1.3 Installation of a Wall-Mount Exhaust Fan 11-5

5.1.3(a) Framing 11-5

6. MULTI-FAMILY–SPECIFIC 11-6

6.1. Installation Requirements 11-6

7. DOE-SPECIFIC 11-6

7.1. Assessment Requirements 11-6

7.2. Installation Requirements 11-6

8. POST-INSTALLATION GUIDELINES 11-7

8.1. Quality Check 11-7

8.2. Client Education 11-7

8.3. Clean-Up and Disposal Requirements 11-7

9. MATERIAL SPECIFICATIONS 11-7

10. WARRANTY 11-9

Kitchen Exhaust

1. MEASURE OBJECTIVES

1.1 A functional kitchen exhaust unit with a duct to the outdoors removes airborne grease, combustion by-products, fumes, smoke, heat, and moisture from the living space.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 An existing unit provides local exhaust for the dwelling unit kitchen and

2.1.2 Agency assessment identifies a performance issue (e.g., electrical connections, switch, filter, etc.) and a qualified technician has determined the unit qualifies for repair or

2.1.3 The kitchen exhaust duct is missing, defective, or disconnected and requires repair

2.2. Install

2.2.1 An existing kitchen exhaust unit is inoperable and cannot be repaired

2.2.2 Optional: A recirculating fan is present and is inoperable. The existing unit can be replaced with a ducted kitchen exhaust that vents to the outdoors.

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1. Do Not Repair/Install

3.1.1 Roof access is required and the roof appears unsafe or repair/installation is likely to cause damage or water leaks

3.1.2 A proper electrical circuit is not available and cannot be provided

3.1.3 Repair or installation would violate the Appendix E Health and Safety Requirements

3.1.4 The client refuses after measure benefits have been explained by the assessor

3.2. Do Not Install

3.2.1 No suitable location for proper mounting is available

3.2.2 The existing kitchen exhaust unit is a down-draft or combined microwave/exhaust unit

3.2.2(a) Exception: These exhaust unit types are eligible for replacement by CSD waiver only.

3.2.3 Structural degradation exists that prevents proper installation

3.2.4 Vertical discharge units: Lack of roof access prevents proper installation of a water-tight flashing and roof cap assembly

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Repair or replacement of a vented range hood using an existing duct does not require HERS verification. However, if an entirely new vented range hood is installed, and new or complete replacement duct is also installed, it will require HERS rater verification.

4.1.2 Repair/Install

4.1.2(a) For electrical and grounding requirements and knob-and-tube (K&T) wiring requirements, refer to the manufacturer's instructions and Section 1 General Installation Guidelines, Electrical Guidelines.

4.1.2(b) Passive vent

4.1.2(b1) If a passive vent is present above the cooking appliance as an exhaust unit for the kitchen (typically a metal duct venting outdoors without a fan or damper):

- If local code permits and a program waiver is obtained, a kitchen exhaust fan with a damper may be installed in its place.
- If an exhaust fan will not be installed to a vent terminating in the attic and ceiling insulation will be installed, ¼" mesh shall be added to the vent.

4.1.3 Repair

4.1.3(a) Kitchen exhaust duct extension

4.1.3(a1) Non-conforming kitchen exhaust units shall be ducted to the outdoors with a code-compliant terminal (hood with a backdraft damper and no mesh) when the duct is missing or damaged.

- When venting to the outdoors is not feasible:
  - Ceiling insulation is not feasible
  - The home shall be limited to non-infiltration measures only (the home shall be NIM)
  - Mechanical ventilation (MV) shall be assessed

4.2. Repair Procedure

4.2.1 Ducted Wall and Ceiling Fan Units

4.2.1(a) A defective fan switch, light switch, and/or lamp holder shall be replaced with the manufacturer's replacement part, when possible, or with a compatible retrofit replacement part.

4.2.1(b) All splices shall be secured with new splicing connectors and housed in a junction box.

4.2.1(c) Filter

4.2.1(c1) Damaged, defective, dirty, missing, or non-functioning filters shall be replaced.

4.2.2 Damper Correction

4.2.2(a) The damper shall be cleaned so it operates freely.

4.2.2(b) When feasible, damaged dampers shall be repaired.

4.2.2(c) If the existing damper cannot be made to operate freely, it shall be replaced with the manufacturer's replacement or a compatible damper.

4.2.2(d) If a ducted kitchen exhaust unit is missing a damper, the damper shall be installed as catastrophic leakage under Section 32 Infiltration Reduction.

4.2.2(d1) If damper replacement is not available or feasible, the duct section shall be replaced (including the damper).

4.2.2(d2) Gaps shall be sealed in accordance with Section 32 Infiltration Reduction.

4.2.3 Repairs to Exhaust Duct and Termination

4.2.3(a) All installed ductwork shall conform to Section 8 Ducting, Repair, Sealing, and Insulation.

4.2.3(b) Exhaust ducts shall terminate outdoors in an approved termination device (Fig. 11-1).

4.2.3(c) Existing ducts shall be examined for loose or disconnected joints.

4.2.3(d) Accessible loose joints shall be:

4.2.3(d1) Secured with a clamp or short screws and

4.2.3(d2) Sealed with Underwriters Laboratories (UL)-listed metallic or butyl tape, duct mastic, or mesh tape and mastic

4.2.3(e) When defective ducts cannot be repaired, they shall be replaced.

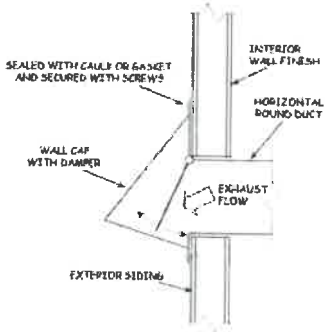

FIG. 11-1: KITCHEN EXHAUST DUCT REPAIR

4.2.3(f) When a kitchen exhaust terminates in an attic or is missing the duct, the duct shall be installed or extended to the outdoors as a part of this measure.

4.2.4 Chain-Operated Wall-Mount Units

4.2.4(a) Broken/defective chains shall be replaced (Fig. 11-2).

4.2.4(b) The interior grille shall be removed, and the fan shall be cleaned (e.g., with a vacuum cleaner and crevice tool).

4.2.4(c) Dirt and grease shall be removed from the fan blade.

4.2.4(d) If the spring-loaded outer cover does not lift when chain is released:

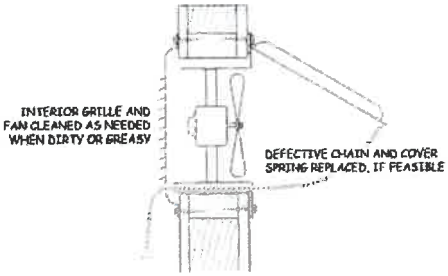

FIG. 11-2: CHAIN-OPERATED KITCHEN EXHAUST

4.2.4(d1) Defective springs shall be repaired/replaced if feasible

4.2.4(d2) The entire fan unit shall be replaced if normal cover function cannot be restored.

4.3. Installation Procedure

4.3.1 Kitchen Exhaust Replacement

4.3.1(a) Verify that the minimum airflow is available before removing the existing unit.

4.3.1(b) The replacement exhaust unit shall be oriented correctly to exhaust air through the duct system, terminating outdoors.

4.3.1(c) Mount the fan securely so that it does not shake, rattle, or vibrate during operation.

4.3.1(d) The finished installation shall have a neat, clean appearance, including sealing any gap around the fan housing where air can leak to the outside of the pressure boundary.

4.3.1(e) For wall- and ceiling-mount fans, the interior grille shall completely cover the hole cut for the duct/unit.

4.3.2 Required location and clearances

4.3.2(a) The location shall be assessed to determine whether a new exhaust unit, including electrical wiring and the exhaust duct, can be properly installed before a hole is cut in the ceiling, roof, or wall.

4.3.2(b) If needed, repairs to the mounting location shall be made prior to fan installation.

4.3.2(c) The range hood shall be:

4.3.2(c1) Within 10' of the appliance and

4.3.2(c2) Centered over the cooktop and

4.3.2(c3) At least as wide as the cooktop surface

4.3.2(c4) Located a minimum of 24" above the cooking surface, or as specified by the hood manufacturer

4.3.2(c5) Installed with clearances per manufacturer specifications (e.g., with minimum ¼" clearance between the hood and the underside of combustible material or metal cabinet above)

4.3.3 Electrical Requirements

4.3.3(a) An acceptable power source and electrical circuit that meets the manufacturer's specifications shall be located and verified prior to installation.

4.3.3(b) The power to the fan circuit shall be turned off prior to working with exposed conductors.

4.3.3(c) Wiring

4.3.3(c1) The new fan shall be hard-wired.

- Exception: Plug-in installation is allowed under the following conditions:
  - The existing fan unit plugs into an existing receptacle (e.g., in the cabinet above).

  - The receptacle is properly installed in an electrical box, is safe, and has a proper cover plate.
  - Plug-in installation is approved by fan manufacturer (e.g., unit has a factory-supplied plug-in line cord).
  - Excess cord is secured out of the way and protected from damage.
- Extension cords may be used if approved by manufacturer.

4.3.3(c2) The exhaust fan shall be controlled by a switch dedicated to the fan.

4.3.4 Exhaust Duct

4.3.4(a) Duct airflow capacity shall conform to manufacturer's instructions.

4.3.4(a1) Installed ducts shall be sealed in accordance with duct type as in Section 8 Duct Sealing and Repairs, with Duct Supports for supported and Duct Insulation for insulated.

4.3.4(b) Duct location

4.3.4(b1) Ducts shall not interfere with structural members, plumbing, or electrical wiring.

4.3.4(b2) The straightest and most direct route for the duct run shall be used (e.g., through the wall for a range hood located on an outside wall).

4.3.4(b3) Unless otherwise stated in manufacturer's specifications, sidewall exhaust ducts shall terminate at least:

- 3' from openable windows, doors, and other openings into the home (Fig. 11-3)
- 10' from an evaporative cooler or other forced air inlet

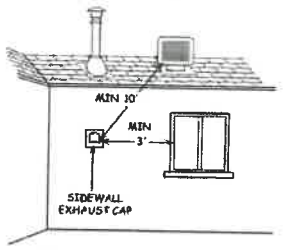

FIG. 11-3: DUCT LOCATION REQUIREMENTS

4.3.4(c) Configuration and joints

4.3.4(c1) The maximum duct length and maximum number of offsets shall be in accordance with manufacturer's instructions.

4.3.4(c2) Joints and connections shall be secured (e.g., with clamps or short screws) and sealed with elastomeric caulk, or with UL-listed metallic or butyl tape, mastic, or mesh tape and mastic.

4.3.4(d) Vertical ducts

4.3.4(d1) Vertical ducts (Fig. 11-4) shall:

- Extend above the roof a minimum of ¾" and terminate in an approved roof cap with flashing
- Be mechanically secured to roof sheathing or framing with a minimum of two #8 sheet metal screws that penetrate solid wood by at least ⅝"
- Be sealed to the roof surface (e.g., with elastomeric caulk or roofing cement)

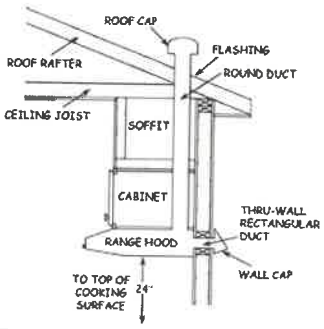

FIG. 11-4: VERTICAL DUCT REQUIREMENTS

4.3.4(e) Sidewall ducts

4.3.4(e1) Sidewall ducts shall:

- Extend beyond the wall surface approximately ¾" and terminate in an approved wall cap
- Be mechanically secured as needed with #8 sheet metal screws
- Be sealed to the wall surface (e.g., with elastomeric caulk)

4.3.4(f) Termination

4.3.4(f1) The exhaust shall discharge outside the home (to the outdoors, not underneath the dwelling).

4.3.4(f2) Cut hole no larger than 1/4" greater than the termination fitting.

4.3.4(f3) The termination shall be flashed and/or caulked around the exterior opening to ensure a weather-tight and waterproof seal.

4.3.4(f4) Terminations shall include a backdraft damper if a damper is not integral to the kitchen exhaust/range hood.

4.3.4(f5) Sidewall terminations shall include a hood to prevent moisture intrusion.

4.3.4(f6) Roof terminations shall include flashing and a roof cap.

4.3.4(f7) Above the snow-line.

4.3.4(f8) If the termination is at the soffit, seal all soffit vents within 6' of the termination.

4.3.5 Ducted Wall- and Ceiling-Mount Exhaust Fans

4.3.5(a) Size

4.3.5(a1) The replacement fan shall fit the existing location.

4.3.5(b) Ceiling/wall penetration

4.3.5(b1) The hole for the duct shall be large enough to accommodate the duct but smaller than the mounting plate or fan assembly.

4.3.5(b2) The hole for an attic-located fan shall be large enough to install the fan but smaller than the grille/trim.

4.3.5(b3) If the hole must be enlarged, a maximum of 25% of the framing member thickness may be removed.

4.3.5(c) Attachment of exhaust fan

4.3.5(c1) The fan assembly, or mounting plate when used, shall be securely attached to solid wood or metal with minimum #8 screws (Fig. 11-5).

4.3.5(c2) Screws shall penetrate at least ⅝" into the wood.

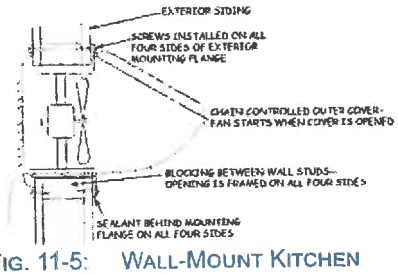

FIG. 11-5: WALL-MOUNT KITCHEN EXHAUST FAN

4.3.5(d) Gaps around the duct shall be sealed where the mounting plate meets the wall (e.g., by applying foam weatherstripping tape to the plate or duct, or by using caulk or tape sealant).

4.3.5(e) Fans located in the attic above the ceiling shall be protected from loose-fill insulation by permanent blocking, in accordance with Section 37 Attic and Ceiling Insulation.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.2 When a gas cooking appliance is present and a functional kitchen exhaust unit ducted to the outdoors is not present, one shall be installed.

5.1.2(a) If the exhaust fan unit is not feasible to install, the home shall be NIM.

5.1.2(b) The fan inlet shall be installed above, and no more than 10' horizontally from the vertical front of the cooking appliance (range or separate cooktop and oven).

5.1.2(c) Unless otherwise stated in manufacturer's specifications, sidewall exhaust ducts shall terminate at least 3' from:

5.1.2(c1) An openable window, door, and other passive opening into the home

5.1.2(c2) An evaporative cooler inlet or other forced air inlet (e.g., a supply ventilator) into the home

5.1.3 Installation of a Wall-Mount Exhaust Fan

5.1.3(a) Framing

5.1.3(a1) The opening shall be framed on all four sides by lumber equal to or larger than the full-dimensional framing in the wall.

5.1.3(a2) The exterior hole shall be cut large enough to install the fan assembly, leaving adequate exterior wall surface to create a watertight seal.

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6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for individual multi-family buildings are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a shared kitchen, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is a DOE Health & Safety (H&S) measure.

7.1.1(a) DOE H&S measures must be installed when feasible. If the client refuses the measure, or it cannot be physically installed due to a dwelling condition, the dwelling must be deferred.

7.1.2 DOE H&S measures must be installed when feasible, regardless of the funding source. If the client refuses the measure, or it cannot be physically installed due to a dwelling condition, the dwelling must be deferred.

7.1.3 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.4 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.4(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.5 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.6 When installing this measure as part of the Audit path work scope, a Measure SIR and Dwelling SIR are not required.

7.1.7 When installing this measure as part of the Priority List (PL) path work scope, this measure must be addressed before other PL measures are possible.

7.1.7(a) Mandatory PL H&S measures include: carbon monoxide (CO) alarms, CVA venting, kitchen exhaust, lead-safe weatherization, LHR-H&S support, mechanical ventilation, and smoke alarms.

7.1.8 When kitchen exhaust venting to the outdoors is not feasible, the dwelling shall be deferred.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP except as specified below.

TABLE 11-1: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
6.0201.2c	Kitchen Range Hoods	Install the fan within at least 5' of the primary cooking surface (e.g., range, oven, stove).	X	X	X
6.0201.2j	Kitchen Range Hoods	Provide make-up air if the range hood operation interferes with combustion appliance operation.	X	X	X
6.0201.2j	Kitchen Range Hoods	Provide make-up air if the fan exhausts more than 200 CFM.			X

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Combustion appliance safety (CAS) testing

8.1.1(a) If CAS or combustion appliance zone (CAZ) testing is required, a post-test shall be conducted after kitchen exhaust installation, repair, or replacement is performed. Follow the procedure outlined in Appendix A Combustion Appliance Safety Protocol.

8.1.1(b) Test all natural draft appliances as prescribed in Appendix A Combustion Appliance Safety Protocol in all locations that can be depressurized by the operating kitchen exhaust unit.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Decommissioning Existing Ventilation Systems

8.3.1(a) Power supply/conductors shall be disconnected and properly terminated in a visible junction box.

8.3.1(b) Permanently remove all ventilation components (i.e., fans, ducts, terminations) from the dwelling, and decommission old parts as required in Section 1 Decommissioning.

8.3.1(c) Seal and insulate all openings and voids left by the removal of the ventilation system including exterior terminations.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 10 years

9.1.2 DOE: Not applicable to this measure

9.2 Duct Materials and Insulation

9.2.1 All ducts shall comply with manufacturer's instructions and local code (e.g., for flame spread rating).

9.2.2 Rigid duct:

9.2.2(a) Galvanized steel: Minimum 26-gauge

9.2.2(b) Aluminum: Minimum 24-gauge

9.2.2(c) PVC smooth plastic pipe: Minimum Schedule 80

9.2.2(d) DOE: Minimum 28-gauge

9.2.3 Flexible duct:

9.2.3(a) Semi-rigid metallic aluminum: Minimum 0.0065" thick and UL-listed 181B

9.2.4 Duct materials and insulation shall have a maximum flame-spread index of 25 and smoke-developed index of 50 per American Society of Testing and Materials (ASTM) E84, UL 723, or National Fire Protection Association (NFPA) 255

9.2.5 R-value:

9.2.5(a) The minimum R-value for duct insulation shall be in accordance with Title 24, by California Energy Commission (CEC) climate zone:

9.2.5(a1) Climate zones 3, 5, 6, 7: Minimum R-value of R-6

9.2.5(a2) Climate zones 1, 2, 4, 8 – 16: Minimum R-value of R-8

9.2.5(b) DOE:

9.2.5(b1) Ducts installed outside of the thermal boundary: minimum of R-8

9.2.5(b2) Ducts exposed to the exterior of the building: minimum of R-12

9.2.6 Duct sealants shall comply with Section 32 Infiltration Reduction, Material Specifications.

9.3 Motor Repair and Other Component Repairs

9.3.1 The motor shall be UL-listed or a UL-recognized component.

9.3.2 The motor and components shall be replaced with a manufacturer's replacement motor or, if necessary, a compatible model that fits without altering the motor or fan housing.

9.3.3 All exhaust fans/hoods shall be:

9.3.3(a) Listed and labeled for kitchen ventilation by a recognized laboratory, such as UL, European Testing Laboratory, or Canadian Standards Association

9.3.3(b) 100 CFM minimum intermittently, or 5 air changes per hour (ACH), as required per sizing calculations

9.3.3(c) Rated with a noise level of ≤3.0 sones at one or more airflow settings ≥100 CFM, in accordance with American Society of Heating, Refrigeration, and Air-Conditioning Engineers (ASHRAE) 62.2

9.3.3(c1) Exception: Fans with a minimum airflow setting >400 CFM need not comply with the sone requirement.

9.3.3(c2) DOE: Has a minimum efficacy of 2.8 cfm/watt.

9.4 Range Hood

9.4.1 Range hood/kitchen exhaust shall:

9.4.1(a) Be as wide as the cooktop and constructed of metal at least 0.0122" thick

9.4.1(b) Have a light and a multi- or variable-speed fan

9.4.1(c) Be equipped with a removable interior grille for wall- and ceiling-mount fans

9.4.1(d) Have exhaust ducts of metal with a smooth interior surface

9.4.1(e) Include a roof flashing system and roof cap for vertical ducts that provide a watertight seal

9.4.1(f) Have durable and waterproof exterior wall components and siding attachments

9.5 Exhaust Terminal

9.5.1 The terminal shall be constructed of aluminum, sheet metal, or ultraviolet (UV)-protected plastic and equipped with maximum ½" weave rodent or insect screen.

9.5.1(a) DOE only: The terminal shall be made from galvanized steel, stainless steel, or copper. The rodent or insect screen specification above also applies.

9.6 Backdraft Damper

9.6.1 A metal gravity-type backdraft damper, that opens in the direction of desired flow and closes when the system is off, shall be located in the fan housing, in the vent duct, or in the wall or roof termination assembly.

9.7 Mobile Home Sidewall Exhaust Fans

9.7.1 The unit shall be designed to fit the wall thickness at the mounting location.

9.8 Kitchen Exhaust Serving as Mechanical Ventilation

9.8.1 When the kitchen exhaust model will be used for dwelling mechanical ventilation, the unit must conform with the sone, fan size limits, and other mechanical requirements in Section 12 Mechanical Ventilation.

9.8.1(a) The maximum fan size for an MV system installed in the kitchen exhaust location is 90 CFM.

9.8.1 (b) Intermittent MV units in a kitchen exhaust location shall be certified by the manufacturer to comply with Title 24.

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

12. Mechanical Ventilation

Table of Contents

1. **MEASURE OBJECTIVES** **12-1**

2. **INSTALL THIS MEASURE WHEN:** **12-1**

2.1. Repair 12-1

2.2. Install 12-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **12-1**

4. **INSTALLATION GUIDELINES** **12-1**

4.1. General Requirements 12-1

4.1.1 Assessments 12-1

4.1.2 Accessibility and Clearances 12-2

4.1.3 Knob-and-Tube (K&T) Wiring 12-2

4.1.4 Vermiculite Insulation 12-2

4.2. Installation Procedure 12-2

4.2.1 Fan Location 12-2

4.2.2 Hardware 12-2

4.2.3 Fan Orientation 12-2

4.2.4 Fan Type 12-2

4.2.5 Existing Fans 12-4

4.2.6 MV Bathroom and Kitchen Exhaust Installation. 12-4

4.2.7 Sealing the Fan 12-4

4.2.8 In-Ceiling Fan Installation 12-4

4.2.9 In-Line Fan Installation 12-5

4.2.10 In-Wall Fan Installation 12-5

4.2.11 Duct Installation 12-5

4.2.12 Backdraft Damper Installation 12-5

4.2.13 Controller Installation and Programming 12-5

4.2.14 Balanced Ventilators—Heat Recovery Ventilators (HRVs) and Energy Recovery Ventilators (ERVs) 12-5

4.2.15 Ducts 12-6

4.2.15(b) Existing ducts 12-7

4.2.15(c) New ducts 12-7

4.2.16 Backdraft Dampers 12-8

4.2.17 Wall Openings 12-9

4.2.18 Roof and Wall Cap Assembly (Termination) 12-9

4.2.19 Clearances for Roof and Wall Cap Terminations 12-9

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4.2.20 Air Filters 12-9
4.2.21 Fan Controllers 12-10
4.2.22 Electrical Wiring 12-10
4.2.23 Pressure Balancing 12-10
4.2.24 CAS/Combustion Appliance Zone (CAZ) Testing 12-10
4.2.25 Passive Inlet Vents (Make-Up Air) 12-10
4.2.26 Transfer Grilles, Jump Ducts, and Door Undercuts 12-12

5. MOBILE HOME–SPECIFIC 12-12
5.1. Installation Requirements 12-12

6. MULTI-FAMILY–SPECIFIC 12-12
6.1. Installation Requirements 12-12

7. DOE-SPECIFIC 12-13
7.1. Assessment Requirements 12-13
7.2. Installation Requirements 12-13

8. POST-INSTALLATION GUIDELINES 12-14
8.1. Quality Check 12-14
8.1.1 Installers 12-14
8.1.2 Inspectors 12-15
8.2. Client Education 12-15
8.3. Clean-Up and Disposal Requirements 12-15

9. MATERIAL SPECIFICATIONS 12-16

10. WARRANTY 12-18

Mechanical Ventilation

1. MEASURE OBJECTIVES

1.1 Mechanical ventilation (MV) actively introduces fresh air to maintain indoor air quality (IAQ).

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 Assessment of an existing or non-existing MV system (using the CSD 540C Whole-Dwelling Ventilation Calculation Worksheet.) determines mechanical ventilation of ≥16 cu. ft. per minute (CFM) is required

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 An existing MV system is functioning properly and provides the required CFM

3.2 Installation of the MV fan, ducting, or proper termination is unfeasible due to structural issues that cannot be corrected

3.3 A combustion appliance safety (CAS) hazard or CAS fail exists and cannot be corrected per Appendix A Combustion Appliance Safety Protocol

3.4 A required electrical circuit does not exist and cannot be provided

3.5 Installation would violate the Appendix E Health and Safety Requirements

3.6 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Assessments

4.1.1 (a) For dwellings where shell leakage testing is conducted and the blower door test results are utilized to determine if MV must be assessed under the Low Income Home Energy Assistance Program (LIHEAP), refer to CSD Form 704 Shell Leakage Data Sheet.

4.1.1 (b) When blower door testing will be used to calculate the infiltration credit, refer to Appendix C Shell Leakage Testing Protocol.

4.1.1 (b1) Dwellings in which shell leakage testing is not conducted may still be assessed for MV.

4.1.1 (c) Where the installation of MV is required by program guidelines:

4.1.1 (c1) The assessor shall discuss with client that if it is determined that MV is required, but refused, or not feasible to install, the dwelling will be limited to non-infiltration measures only (dwelling will be NIM)

4.1.1 (c2) Air sealing activities shall be performed per Section 32 Infiltration Reduction prior to installation of MV

4.1.1 (c3) If an existing MV is present but is either non-operable or does not meet the MV requirements in the CSD Technical Reference Manual (TRM), the MV will be replaced

4.1.1(d) When a bathroom or dryer vent exhausts into the crawlspace or attic, extension of the venting is required under Section 1 General Installation Guidelines, Limited Home Repair or kitchen exhaust vent under Section 11 Kitchen Exhaust.

4.1.1(d1) If exhaust fan vent extension is not feasible, the exhaust fan may be removed completely and the hole patched only when:

- Allowed by the local jurisdiction (with proof in the client file), AND
- MV is feasible and will be installed.
- Note: If MV cannot be installed, the dwelling is NIM.

4.1.2 Accessibility and Clearances

4.1.2(a) The attic or crawlspace shall be accessible, when required, in accordance with the clearance requirements identified in Section 1 General Installation Guidelines, Attic and Crawlspace Accessibility.

4.1.3 Knob-and-Tube (K&T) Wiring

4.1.3(a) Field personnel, including weatherization crews, must follow Section 1 General Installation Guidelines, Knob-and-Tube (K&T) Wiring Guidelines when K&T is present in the attic, crawlspace, or walls.

4.1.4 Vermiculite Insulation

4.1.4(a) When vermiculite (presumed asbestos-containing material [PACM]) is present:

4.1.4(a1) MV shall be evaluated and, when feasible, installed in accordance with the Appendix E Health and Safety Requirements

4.1.4(a2) It is acceptable to install a supply or balanced ventilator if no asbestos-containing material (ACM) will be disturbed. Exhaust ventilators shall not be installed.

4.2. Installation Procedure

4.2.1 Fan Location

4.2.1(a) The whole house ventilation fan will be installed in a central location within the main body of the house.

4.2.1(b) Ensure the fan, fan components, and service disconnect switch are accessible for maintenance.

4.2.2 Hardware

4.2.2(a) When the fan housing is attached to solid wood, use #8 screws and penetrate solid wood at least ⅝".

4.2.2(b) When the fan housing is not attached to solid wood, use compatible and appropriate fasteners (drywall anchors, molly bolts, toggle bolts, etc.).

4.2.3 Fan Orientation

4.2.3(a) Orient the fan so that it is serviceable and duct runs are as short as possible.

4.2.4 Fan Type

4.2.4(a) Based on client preference, an MV fan may employ continuous or intermittent operation.

4.2.4(a1) The fan type shall be selected after continuous and intermittent operation have been explained to the occupant.

4.2.4(b) Continuous Operation

4.2.4(b1) The "final whole-house ventilation airflow requirement" is the minimum continuous fan airflow required for the whole-house MV system and should be no less than the final ventilation air requirement identified in the CSD 540C Whole-Dwelling Ventilation Calculation Worksheet.

4.2.4(c) Intermittent Operation

4.2.4(c1) Intermittent ventilation requires a greater fan airflow than continuous ventilation. The higher the fan airflow, the shorter the runtime.

4.2.4 (c2)

Intermittent operation is specified as:

- The number of minutes of fan operation during every hour of the day or
- The number of hours of fan operation during the day
  - Minutes-per-hour
    - Intermittent minutes-per-hour fan airflow shall be determined using Table 12-1.
    - The fan shall operate once every hour for the minutes-per-hour runtime (in minutes) from Table 12-1.
  - Hours-per-day
    - Intermittent hours-per-day fan airflow shall be determined using Table 12-2.
    - The fan shall cycle on at least 1 hour in every 3 hours and operate a minimum of 8 hours per day.

TABLE 12-1: MINUTES-PER-HOUR RUNTIME

Continuous Fan CFM	Intermittent Fan CFM and Minutes-per-Hour Runtime													
	30	40	50	60	70	80	90	100	110	120	130	140	150	160
30	60	45	36	30	26	23	20	18	16	15	14	13	12	11
35	NA	53	42	35	30	26	23	21	19	18	16	15	14	13
40	NA	60	48	40	34	30	27	24	22	20	18	17	16	15
45	NA	NA	54	45	39	34	30	27	25	23	21	19	18	17
50	NA	NA	60	50	43	38	33	30	27	25	23	21	20	19
55	NA	NA	NA	55	47	41	37	33	30	28	25	24	22	21
60	NA	NA	NA	60	51	45	40	36	33	30	28	26	24	23
65	NA	NA	NA	NA	56	49	43	39	35	33	30	28	26	24
70	NA	NA	NA	NA	60	53	47	42	38	35	32	30	28	26
75	NA	NA	NA	NA	NA	56	50	45	41	38	35	32	30	28
80	NA	NA	NA	NA	NA	60	53	48	44	40	37	34	32	30
85	NA	NA	NA	NA	NA	NA	57	51	46	43	39	36	34	32
90	NA	NA	NA	NA	NA	NA	60	54	49	45	41	39	36	34
95	NA	NA	NA	NA	NA	NA	NA	57	52	48	44	41	38	36
100	NA	NA	NA	NA	NA	NA	NA	60	55	50	46	43	40	38

*The fan must operate once every hour for the number of minutes shown in the body of the table. NA = Not allowed.

TABLE 12-2: HOUR-PER-DAY RUNTIME

Continuous Fan CFM	Intermittent Fan CFM and Hours-per-Day Runtime*												
	40	50	60	70	80	90	100	110	120	130	140	150	160
30	18	14	12	10	9	8	8	8	8	8	8	8	8
35	21	17	14	12	11	9	8	8	8	8	8	8	8
40	24	19	16	14	12	11	10	9	8	8	8	8	8
45	NA	22	18	15	14	12	11	10	9	8	8	8	8
50	NA	24	20	17	15	13	12	11	10	9	9	8	8
55	NA	NA	22	19	17	15	13	12	11	10	9	9	8
60	NA	NA	24	21	18	16	14	13	12	11	10	10	9
65	NA	NA	NA	22	20	17	16	14	13	12	11	10	10
70	NA	NA	NA	24	21	19	17	15	14	13	12	11	11
75	NA	NA	NA	NA	23	20	18	16	15	14	13	12	11
80	NA	NA	NA	NA	24	21	19	17	16	15	14	13	12
85	NA	NA	NA	NA	NA	23	20	19	17	16	15	14	13
90	NA	NA	NA	NA	NA	24	22	20	18	17	15	14	14
95	NA	NA	NA	NA	NA	NA	23	21	19	18	16	15	14
100	NA	NA	NA	NA	NA	NA	24	22	20	18	17	16	15

*The fan must operate at least 1 hour every 3 hours, and the daily total shall equal the number of hours shown in the body of the table (minimum 8 hours per day). NA = Not allowed.

4.2.5 Existing Fans

4.2.5(a) An existing fan may be used as a whole-house ventilator only when it conforms to Material Specifications.

4.2.5(b) The measured CFM of an existing exhaust fan shall be used for the local ventilation adjustment only when the fan is operable and ducted outdoors.

4.2.6 MV Bathroom and Kitchen Exhaust Installation.

4.2.6(a) Refer to Section 11 Kitchen Exhaust for complete kitchen exhaust requirements.

4.2.6(b) Title 24 requires that, when a new fan is installed in a bathroom or kitchen, it must operate at a minimum of:

4.2.6(b1) 50 CFM when the bathroom is occupied

4.2.6(b2) 100 CFM for a kitchen

4.2.6(c) To replace an existing local exhaust in a bathroom or kitchen with MV, use the CSD 540C Whole-Dwelling Ventilation Calculation Worksheet to determine the size of the fan to be installed.

4.2.7 Sealing the Fan

4.2.7(a) Seal exterior gaps between the terminal device and the mounting surface (roof or wall) to be watertight using weather-resistant materials (e.g., elastomeric caulk).

4.2.7(b) Seal interior gaps between the register/grille and the interior surface.

4.2.7(c) Wet the gypsum edge before applying water-based sealant to the gypsum board.

4.2.8 In-Ceiling Fan Installation

4.2.8(a) Flange mount

4.2.8(a1) Mount the fan:

- Directly to the ceiling joists when spacing is appropriate or
- To block framing installed to accommodate the fan's dimensions

4.2.8(b) Bracket mount

4.2.8(b1) Mount the fan to the ceiling joists using the supplied mounting brackets, rough-in adapter, etc.

4.2.8(b2) Use spacers when required to ensure that the fan assembly is mounted parallel to the joist.

4.2.9 In-Line Fan Installation

4.2.9(a) Isolate the fan from the building framing unless it is designed to be directly attached.

4.2.9(b) Mount the fan with appropriate mounting brackets or spring-equipped hangers.

4.2.9(c) Install the duct to connect with the supply/exhaust register or grille.

4.2.10 In-Wall Fan Installation

4.2.10(a) Flange mount

4.2.10(a1) Mount the fan:

- Directly to wall studs when spacing is appropriate or
- To block framing installed to accommodate the fan's dimensions

4.2.10(b) Bracket mount

4.2.10(b1) Mount the fan to the wall studs using the supplied mounting brackets, a rough-in adapter, etc.

4.2.10(b2) Use spacers when required to ensure that the fan assembly is mounted parallel to the stud.

4.2.11 Duct Installation

4.2.11(a) Install ducts as straight as possible, fully extended, with the shortest possible run.

4.2.11(b) Mechanically secure, seal, and support all joints, seams, transitions, and terminations in accordance with Section 8 Ducting Repair, Sealing, and Insulation.

4.2.11(c) In addition to mechanical fasteners, duct connections will be sealed with approved tape or mastic.

4.2.12 Backdraft Damper Installation

4.2.12(a) If not integral to the fan, install a backdraft damper to open in the desired flow direction.

4.2.12(b) For exhaust systems, install a gravity-controlled damper at the exterior wall or roof cap assembly so it blows open when the fan is operating and falls closed when the fan is off.

4.2.12(c) For supply systems, install a spring-loaded butterfly damper that fits into the duct on the inlet side of the fan so it pulls open when the fan is operating and falls closed when the fan is off.

4.2.13 Controller Installation and Programming

4.2.13(a) Install the fan controller if it is not built into the fan.

4.2.13(b) Program the controller to achieve the required CFM of airflow for continuous or intermittent operation (minutes-per-hour or hours-per-day).

4.2.14 Balanced Ventilators—Heat Recovery Ventilators (HRVs) and Energy Recovery Ventilators (ERVs)

4.2.14(a) Installation location

4.2.14(a1) Units shall not be installed in the kitchen or bathroom.

4.2.14(a2) Fans, service switches, filters, drains, and drain pans shall be accessible for maintenance (Fig. 12-1).

4.2.14(a3) HRV location shall accommodate a condensate drain (if required).

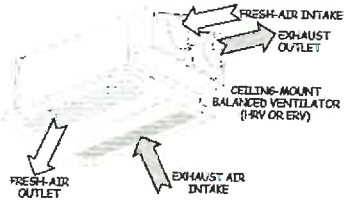

FIG. 12-1: BALANCED VENTILATOR

4.2.14(a4) Attic-mount units are allowed only when the fan can be located next to the attic access opening in a manner that allows easy access for required maintenance.

4.2.14(a5) When there are multiple intakes/outlets, terminals shall be installed in separate areas of the living space.

4.2.14(a6) Separate outlet/inlet terminals shall be a minimum of 3' apart.

4.2.14(a7) In-ceiling units shall be placed in a central location (e.g., hallway) or living area (e.g., living room).

4.2.14(a8) Wall-mount units shall be located in a living area (e.g., living room).

4.2.14(b) Fan mounting

4.2.14(b1) The fan shall be oriented so the equivalent length of the duct run is as short as possible.

- Calculate "equivalent length" in accordance with Table 12-3.

4.2.14(b2) The fan shall be isolated from the building framing unless specifically designed to be directly attached.

4.2.14(c) Duct connections

4.2.14(c1) Ducts shall be properly connected and secured to applicable registers or grilles, collector boxes, HRVs or ERVs, intake fittings, and termination fittings.

4.2.14(c2) Fittings shall be appropriate for regional weather conditions and the installation location on the house so as not to be rendered inoperable.

4.2.14(c3) A backdraft damper will be installed between the HRV or ERV and the exterior, unless the system operates continuously.

4.2.14(d) Duct layout when connected to a forced air system

4.2.14(d1) Air to be exhausted to the outdoors shall not be taken directly from the forced air system.

4.2.14(d2) Supply ducts attached to the return side of forced air systems shall be:

- Attached as close to the forced air fan as possible using a mechanically fastened start collar.
- Set up to provide filtration of outdoor ventilation air before reaching the heating, ventilation, and air conditioning (HVAC) system with an air filter with a minimum efficiency reporting value (MERV) of 6 or better.

4.2.14(e) Balance and flow

4.2.14(e1) Airflow shall be measured and adjusted to match to the system's intent.

4.2.15 Ducts

4.2.15(a) Duct diameter (or rectangular cross-sectional area), number of elbows, and maximum length shall be as specified in Table 12-3, or by the fan manufacturer's specifications if more stringent.

TABLE 12-3: MAXIMUM DUCT LENGTH (FT.) WITH NO ELBOWS[1, 3, 4, 5, 6]

Minimum Duct Diameter[2]	Fan CFM	Flex Metal Duct								Rigid Metal and PVC Duct							
		50	80	100	125	150	200	250	300	50	80	100	125	150	200	250	300
	3"	NA	NA	NA	NA	NA	NA	NA	NA	5'	NA	NA	NA	NA	NA	NA	NA
	4"	56'	4'	NA	NA	NA	NA	NA	NA	114'	31'	10'	NA	NA	NA	NA	NA
	5"	No limit	81'	42'	16'	2'	NA	NA	NA	No limit	152'	91'	51'	28'	4'	NA	NA
	6"	No limit	No limit	158'	91'	55'	18'	1'	NA	No limit	No limit	No limit	168'	112'	53'	25'	9'
	7"	No limit	No limit	No limit	No limit	161'	78'	40'	19'	No limit	No limit	No limit	No limit	No limit	148'	88'	54'
	≥8"	No limit	No limit	No limit	No limit	No limit	189'	111'	69'	No limit	No limit	No limit	No limit	No limit	No limit	198'	133'

[1] The table assumes no elbows. Make the following deductions:
- Subtract 15 ft. for each 90° elbow.
- Subtract 7.5 ft. for each 45° offset.

[2] For non-circular ducts, calculate the diameter as four times the cross-sectional area divided by the perimeter.
[3] For these components, use the manufacturer's specifications. If not available, use these guidelines:
- Subtract 30 ft. for a wall cap with bird screen and damper.
- Subtract 35 ft. for a low-profile soffit vent with bird screen and damper.
- Subtract 60 ft. for a low-profile roof cap for round duct with bird screen and damper.

[4] NA = Not allowed
[5] No limit = At this duct diameter, there is no limit on the maximum duct length.
[6] For airflow values not listed, use the next highest value (e.g., for 60 CFM, use the columns for 80 CFM).

4.2.15(b) Existing ducts

4.2.15(b1) Duct used for whole-house MV shall be:
- Replaced or repaired if damaged
- Repaired and sealed as needed
- Replaced if undersized

4.2.15(c) New ducts

4.2.15(c1) All ducts shall:
- Terminate outside the building in an approved wall or roof cap termination
- Slope downward toward the exterior, when possible, to remove condensation to the outdoors
- Installed ducts shall be sealed in accordance with duct type as in Section 8 Duct Sealing, Repair, and Insulation, supported in accordance with Duct Supports requirements of that section, and insulated following the Duct Insulation requirements.

4.2.15(d) Airflow characteristics:

4.2.15(d1) Rigid metal or polyvinyl chloride (PVC) ducts have the best airflow characteristics (Fig. 12-2).

4.2.15(d2) Flexible metal ducts have the next-best airflow.

4.2.15(e) Insulation

4.2.15(e1) Ducting located outside of the thermal envelope shall be insulated in accordance with Material Specifications.

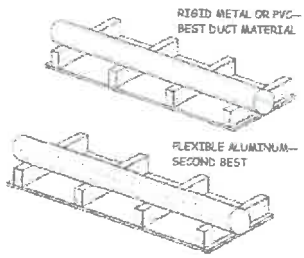

FIG. 12-2: PROPER DUCT MATERIALS FOR BEST AIRFLOW

4.2.15(f) Bends and elbows

4.2.15(f1) Ducts shall be installed with the shortest possible length and fewest possible bends or elbows.

4.2.15(f2) A straight duct shall extend 24"–36" from the fan before the first bend or elbow.

4.2.15(f3) Bends and 45° offsets shall be used instead of 90° elbows, when possible, to create long-radius bends (Fig. 12-3).

4.2.15(f4) Turns will be made so the radius at the centerline is no less than one duct diameter.

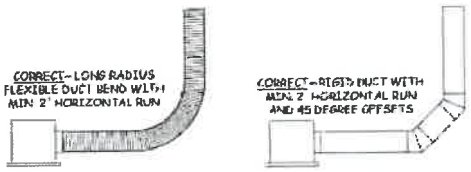

FIG. 12-3: CORRECT INSTALLATION OF BENDS AND ELBOWS

4.2.15(f5) When determining diameter and length requirements, bends of ≤45° constitute the equivalent of half a 90° elbow (two of them count as one elbow).

- Each bend >45° constitutes the equivalent of one 90° elbow.

4.2.15(f6) Duct elbows shall:

- Be a maximum of 90°
- Be limited to three elbows for duct diameters 4" or larger
- Not be used in 3" diameter duct

4.2.15(g) Transitions

4.2.15(g1) Ventilation ducts shall not be smaller than the connections to which they are attached. When duct (exhaust fan outlet) and collar diameters do not match, a properly sized rigid metal transition (reducer or increaser) shall be used to join the two components.

4.2.15(h) Duct terminations

4.2.15(h1) Horizontal ducts shall terminate outside the building in a wall termination assembly (Fig. 12-4).

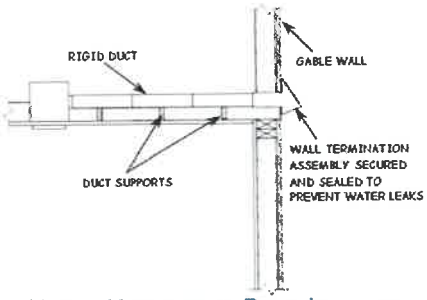

FIG. 12-4: HORIZONTAL DUCT INSTALLATION AND TERMINATION

4.2.15(h2) Vertical ducts shall terminate outside the building in a roof cap assembly (Fig. 12-5).

4.2.15(i) Supports

4.2.15(i1) Support materials shall not crimp the ductwork or cause the interior dimensions of the ductwork to be less than specified.

4.2.15(i2) At a minimum, metal ducts shall be supported by ½" or wider 18-gauge strapping, or 12-gauge or thicker galvanized wire, no more than 10' apart.

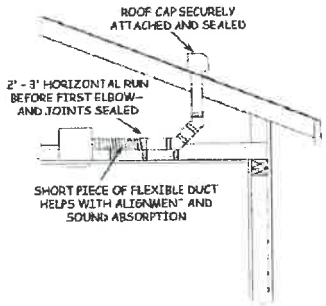

FIG. 12-5: VERTICAL DUCT INSTALLATION AND TERMINATION

4.2.16 Backdraft Dampers

4.2.16(a) Outdoor air intakes and exhausts shall be equipped with automatic or gravity dampers that close when the ventilation system is not operating.

4.2.16(a1) In very cold climates, use dampers that resist freezing.

4.2.16(b) The damper may be integral (part of the fan unit) or included in the termination (wall or roof cap assembly).

4.2.16(c) Multi-branch duct systems

4.2.16(c1) When the fan is intermittent, each branch shall be equipped with a backdraft damper to prevent movement of air from one room to another when the fan is not operating.

4.2.16(d) It is acceptable for the damper to be located in the branch duct or in the inlet/outlet location.

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4.2.17 Wall Openings

4.2.17(a) Wall opening shall be:

4.2.17(a1) Adjacent to one stud so that one edge of the housing can be secured to solid wood (Fig. 12-6)

4.2.17(a2) Free of obstructions (wiring, pipes, etc.)

4.2.17(a3) No larger than ¼" greater than the duct diameter or fitting so the fan housing and duct can be properly installed

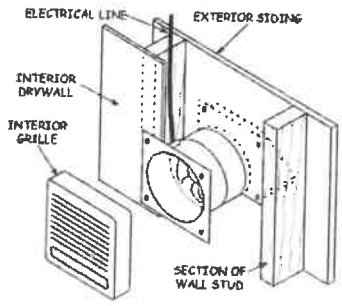

FIG. 12-6: WALL VENT OPENING ADJACENT TO STUD

4.2.18 Roof and Wall Cap Assembly (Termination)

4.2.18(a) Existing whole-house MV systems shall be vented to the outdoors with a code-compliant terminal (a hood with a backdraft damper and covered with a screen).

4.2.18(b) The terminal shall be screened with mesh that has a weave of ¼" minimum and ½" maximum.

4.2.18(c) The termination shall be secured and sealed to prevent water leaks.

4.2.18(d) Installation fasteners and screening shall not inhibit damper operation.

4.2.18(e) The exterior termination fitting will be flashed or weather-sealed to direct water away from penetrations.

4.2.18(f) The termination fitting shall have an integrated collar at least the same diameter as the exhaust fan outlet.

4.2.18(g) If the collar is larger than the exhaust fan outlet, a rigid metal transition (increaser/reducer) shall be used.

4.2.18(h) The termination shall be appropriate for regional weather conditions and located so that it is not obstructed by snow, vegetation, or other material.

4.2.19 Clearances for Roof and Wall Cap Terminations

4.2.19(a) The following roof and wall termination guidelines apply unless superseded by manufacturer or local code.

4.2.19(a1) The inlet for a mechanical system shall be at least:

- 10' from or 3' below a gas vent pipe or a solid-fuel chimney
- 10' from a bathroom or kitchen exhaust, plumbing vent, clothes dryer exhaust, vehicle exhaust source, or other source of toxic contamination
- 3' from an attic vent or gas meter set assembly

4.2.19(a2) The outlet for a mechanical system shall be at least:

- 10' from an evaporative cooler or mechanical air inlet
- 3' from an operable door or window into the building
- 3' from a property line
- Above the snow-line and local flood line
- If the termination is at the soffit, seal soffit vents within 6' of the termination

4.2.20 Air Filters

4.2.20(a) Balanced or supply-type MV ventilators

4.2.20(a1) When required by the manufacturer, the filter shall be located and installed in a manner that facilitates easy access and regular service by the occupant.

4.2.20(a2) For in-line or remote supply fans, a filter grille or similar device shall be installed at the supply outlet.

4.2.20(a3) A filter or air cleaning system that intentionally produces ozone is not allowed.

4.2.20(b) Passive inlet vents

4.2.20(b1) A factory-installed filter shall be present.

4.2.21 Fan Controllers

4.2.21(a) Controller installation guidelines

4.2.21(a1) Bathroom fan controls and switches (Fig. 12-7) shall not be reachable from a tub or shower.

4.2.21(b) Manual override control

4.2.21(b1) Each installation shall have a readily accessible override control for the occupants, which can be any of the following:

- A labeled wall switch (Fig. 12-8)
- A control on the fan unit that can easily be accessed by removal of a cover plate or grille without the use of tools
- A labeled breaker dedicated to operation of the ventilator

4.2.21(b2) Accessible controls shall have a durable label informing occupants that the fan should be turned on whenever the home is occupied, using wording such as:

- "Ventilation Control: Keep On When Home Is Occupied" or
- "Ventilation Control: Keep On When Anyone Is Home"

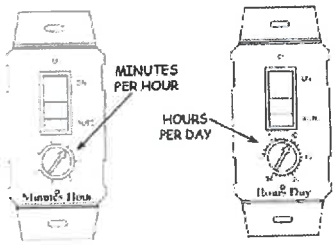

FIG. 12-7: INTERMITTENT PROGRAMMING FAN CONTROLLERS

FIG. 12-8: LABELED SWITCH FOR MECHANICAL VENTILATION OVERRIDE CONTROL

4.2.22 Electrical Wiring

4.2.22(a) Turn off power at its source (breaker or fuse) prior to working with electrical components (fan, controller, etc.).

4.2.22(b) The fan power circuit shall be protected by a ground fault circuit interrupter (GFCI).

4.2.23 Pressure Balancing

4.2.23(a) When shell leakage testing is not performed, complete prescriptive sealing in accordance with the CSD 704 Shell Leakage Data Sheet prior to pressure balance testing.

4.2.23(b) When an MV system is installed, perform pressure balance testing using the following procedure:

4.2.23(b1) Close exterior doors and windows.

4.2.23(b2) Close interior doors.

4.2.23(b3) Turn on the MV system and other exhaust fans and devices.

4.2.23(b4) Using a digital gauge, extend the tubing from the reference tap to the outdoors.

4.2.23(b5) Extend tubing from the input tap under each interior door in the dwelling individually to measure room pressure with reference to the outdoors.

4.2.23(c) If any room exceeds ±3 pascals (Pa) with reference to the outdoors, install an appropriate means of pressure balancing (e.g., passive inlet vents, transfer grilles, door undercuts, jump ducts, individual room returns, etc.).

4.2.24 CAS/Combustion Appliance Zone (CAZ) Testing

4.2.24(a) Mechanical ventilation shall not cause any vented open combustion appliance in the living space to draft improperly or spill.

4.2.24(b) If CAS or CAZ testing is required, it shall be conducted in accordance with the following procedure (Fig. 12-9) after the MV system is installed.

4.2.24(c) Pressure in any CAZ shall not be more negative than the house depressurization limit (HDL) per guidelines in Appendix A Combustion Appliance Safety Protocol.

4.2.25 Passive Inlet Vents (Make-Up Air)

4.2.25(a) A passive vent is used to provide make-up air from the outdoors to minimize or prevent house depressurization (Fig. 12-10).

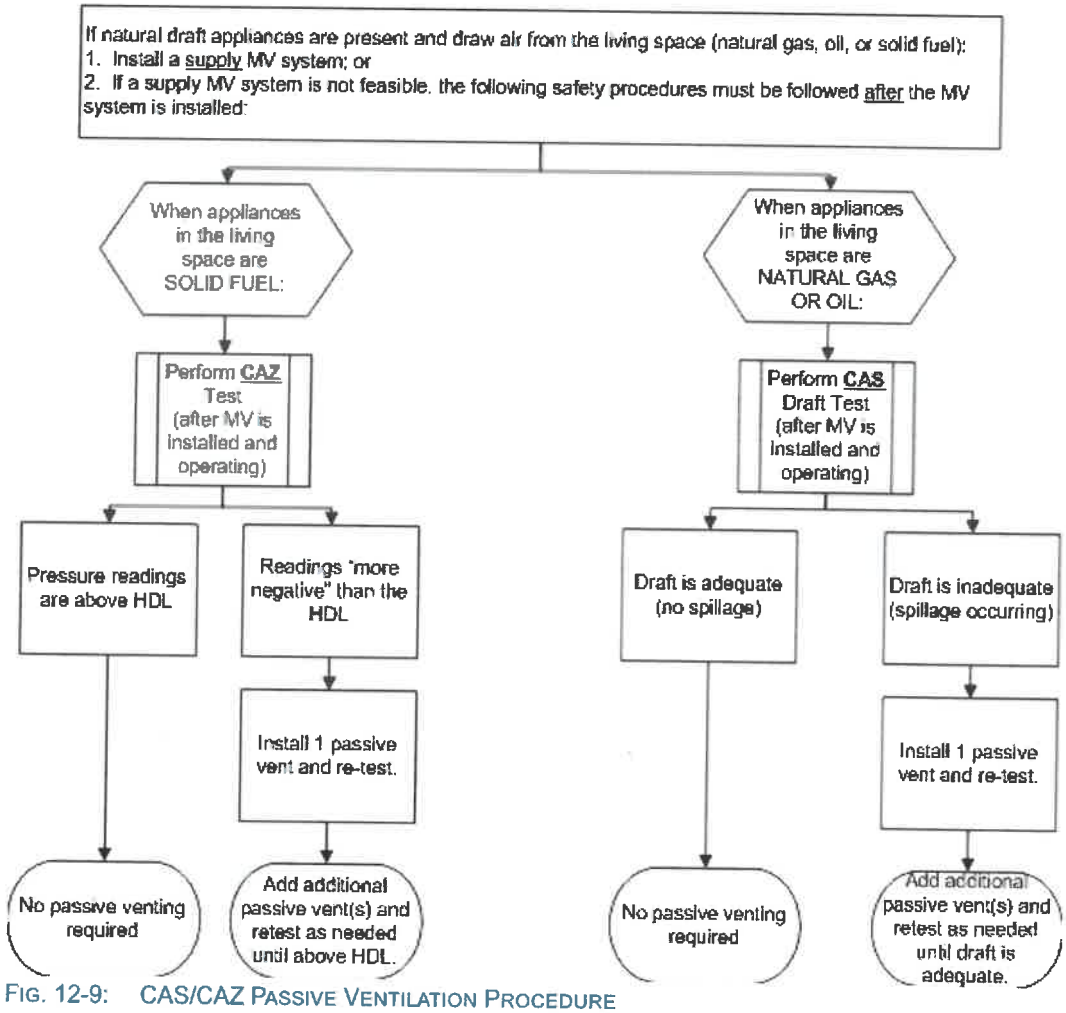

FIG. 12-9: CAS/CAZ PASSIVE VENTILATION PROCEDURE

4.2.25(b) Passive inlet vents are not applicable to meet code requirements for combustion ventilation air (CVA) vents; however, by relieving house depressurization, they help resolve backdrafting problems of natural draft appliances. To use this option, CVA must be calculated using Appendix A Combustion Appliance Safety Protocol.

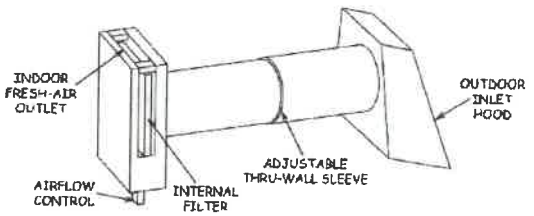

FIG. 12-10: PASSIVE INLET VENT

4.2.25(c) Installation/location

4.2.25(c1) The vent shall be installed on an outside wall in a location that does not produce a draft that would cause occupant discomfort, such as:

- High on a wall and away from seating areas or
- Inside a closet or enclosure that is vented to the living space

4.2.25(c2) The passive inlet vent shall be located and installed:

- With a maximum ¼" insect/rodent screen at the air inlet to prevent pest intrusion and
- With approved clearances from sources of contamination

4.2.25(c3) The outdoor inlet shall be sealed against the wall to prevent water leakage.

4.2.26 Transfer Grilles, Jump Ducts, and Door Undercuts

4.2.26(a) When the MV fan is in a bathroom (or other room with a solid door), an air path into the main body of the home shall be present that provides airflow at least equal to the fan CFM.

4.2.26(a1) A transfer grille or jump duct may be installed, or the door may be undercut.

4.2.26(a2) When a transfer grille is installed:

- Its net free ventilation area (NFVA) shall equal or exceed the NFVA of the required door undercut (see Table 12-4) or
- The net opening square inches of the transfer grille (e.g., louvered metal vent) shall equal or exceed the net opening square inches of the MV fan's intake grille

TABLE 12-4: DOOR UNDERCUT GUIDELINES

Fan Airflow	Up to 80 CFM	>80–100 CFM	>100–120 CFM	>120–140 CFM	>140–180 CFM
Gap Size	⅜"	½"	⅝"	¾"	⅞"
NFVA Sq. In.	[Door opening width (in.)] x [Undercut height (in.)]				

4.2.26(a3) When a jump duct is installed:

- The interior cross-sectional area of the duct shall equal or exceed the NFVA of the required door undercut (see Table 12-4) and
- The NFVA of the jump duct inlet and outlet registers shall equal or exceed the NFVA of the required door undercut

4.2.26(a4) When a door undercut is used to provide the required air path:

- The guidelines in Table 12-4 shall be followed
- The client shall be made aware that, if a thicker floor covering (e.g., carpet) is installed, the gap must be maintained, which may require enlargement of the undercut

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.2 When a gas or solid-fuel open-combustion appliance draws combustion air from the living space, combustion appliance zone (CAZ) testing shall be performed following MV installation to determine that MV does not cause depressurization beyond the house depressurization limit. See Appendix A Combustion Appliance Safety Protocol.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for individual multi-family buildings are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a lobby, entertainment room, hallway, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 The program goals are to seal the dwelling to the maximum amount allowable within the shell sealing policy and to install MV to provide adequate air changes/ventilation when needed.

7.1.2 100% of the dwellings utilizing any amount of DOE funds shall be assessed for MV.

7.1.3 This measure is a DOE Health & Safety measure.

7.1.3(a) DOE H&S measures must be installed when feasible. If the client refuses the measure, or it cannot be physically installed due to a dwelling condition, the dwelling must be deferred.

7.1.4 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.5 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.5(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.6 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.7 When installing this measure as part of the Audit path work scope, a Measure SIR and Dwelling SIR are not required.

7.1.8 When installing this measure as part of the Priority List (PL) path work scope, this measure must be addressed before other PL measures are possible.

7.1.8(a) Mandatory PL H&S measures include: carbon monoxide (CO) alarms, CVA venting, kitchen exhaust, lead-safe weatherization, LHR-H&S support, mechanical ventilation, and smoke alarms.

7.1.9 When venting to the outdoors for local exhaust sources and/or a dryer moisture exhaust is not feasible, and correction is not possible as described in item 4.1.1d, then the dwelling shall be deferred.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP except as specified below.

TABLE 12-5: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
EXHAUST VENTILATION (WHOLE-HOUSE)					
6.0302.1a	Fan Selection	Select a fan that: • Uses an ECM motor designed for continuous operation. • Has an efficacy of 2.8 cfm/watt or more.	X	X	X
6.0302.1l	Insulate Housing	Insulate the fan housing located outside the thermal boundary to a minimum of R-8.	X	X	X
EXHAUST FAN CLIMATE RESTRICTIONS					
6.0302.1p	Fan Type	In hot-humid climates, exhaust ventilation will not rely on make-up air from common corridors.			X
EXTERIOR INTAKES					
6.0101.3c, 6.0303.1d	Exterior Intakes	Install the intake to pull air from the outdoors, which does not include unconditioned spaces: • A minimum of 6" from grade; • A minimum of 18" above an asphalt based roof; • Never on a flat roof	X	X	X
6.0101.3f	Exterior Intakes	Label intake fitting: "Ventilation Air Intake"	X	X	X

TABLE 12-5: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
FAN CONTROLS					
6.0101.4b	Fan Controls	Occupancy sensors/humidistat: Install an occupancy sensor and/or humidistat designed to function with the chosen fan. Carbon dioxide sensors (demand control): Only use CO2 sensors with VFD or multispeed fans.	X	X	X
HRV / ERV INSTALLATIONS					
6.0303.1f	Interior Intake location	Install interior intakes a minimum of 10' from interior fresh air supplies, cooking surfaces, or combustion appliances.	X	X	X
6.0303.1g	Interior Supply Location	Install interior fresh air supply near high traffic areas and occupied spaces (e.g., living rooms, hallways, bedrooms), but not within 10' of interior exhaust intakes.	X	X	X
6.0303.1i	Backdraft Prevention	Design one or more ventilation fans located upstream of all the exhaust inlets to run continuously, or install a system of one or more backdraft dampers to isolate each dwelling unit from the common duct when the fan is not running.	X	X	X
6.0303.1j	Fresh Air Filtration	All outdoor air brought into the home through the supply-side must pass through a filter before combining with conditioned air. The filter must be MERV 8 or better. Filters that intentionally produce ozone are not allowed.	X	X	X
6.0303.1m	Condensate Drain	If the unit has a condensate drain, connect the drain according to manufacturer specifications. Insulate all condensate lines outside the thermal boundary to a minimum of R-4.	X	X	X
6.0303.1o	Fire Dampers	If required by the local jurisdiction, install fire dampers in the fresh air supply duct. Fire dampers must be accessible for inspection and/or testing. Sealants must not interfere with the operation of fire dampers, balancing dampers, or backdraft dampers.	X	X	X
6.0303.1p	System Balancing	Test and adjust fan speed, dampers, and registers until the incoming air volume is equal to the outgoing air volume. If the HRV/ERV is ducted to the air handler, balance it with the air handler running.	X	X	X
6.0303.1q	Climate Considerations	In very cold climate zones 6B (Alpine and Mono Counties), do not install ERVs unless they are equipped with frost controls.	X	X	X
INLINE FANS					
6.0201.3a	Inline Fans	Select a fan that: • Has an electronically commutated motor. • Has an efficacy of 3.8 cfm/watt or more.	X	X	X
6.0201.3g	Inline Fans	Cut hole for intakes leaving no more than a 1/8" gap on each side.	X	X	X
VENTILATION DUCTS					
6.0101.1c, 6.0303.1h	Ventilation Ducts, Combining air streams	If combining ducts, combine them on the upstream side of fan using "Y" fittings or collection boxes. Do not combine dryer, kitchen, or garage exhausts streams with any other exhaust stream.	X	X	X

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Installers

8.1.1(a) Final testing of the system shall be performed by field personnel to ensure proper operation and performance of all functions, including acceptable system airflow CFM (in accordance with ASHRAE 62.2).

8.1.1(b) Airflow shall be checked on all installed whole-house MV systems and new/ replacement kitchen exhaust systems using an approved device. (See Material Specifications.)

8.1.1(c) Visual inspection

8.1.1(c1) Visual inspection shall be performed and documented.

8.1.1(c2) The termination shall be checked for proper clearances, attachment, support, and water sealing.

8.1.1(d) Ensure fan does not shake, rattle, or vibrate when operating.

8.1.1(e) All non-conforming conditions shall be corrected.

8.1.2 Inspectors

8.1.2(a) Fan airflow verification

8.1.2(a1) Assessors, crews, and inspectors are required to measure airflow for existing fans and for the installed MV fan.

8.1.2(a2) Airflow measurements for whole-house and local ventilators (new and existing) shall be conducted using an appropriate airflow measuring device, as prescribed in Material Specifications.

8.1.2(a3) The measuring device must be appropriate for the airflow (CFM) and air pressure (pascals [Pa]) being measured and for appropriate airflow type (exhaust, supply, or balanced).

8.1.2(b) Verify proper damper operation.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure-specific verbal and written instructions include:

8.2.2(a) The purpose of an MV system

8.2.2(b) The air quality benefits of the system

8.2.2(c) Manual override

8.2.2(d) For an HRV or ERV, emphasize regular cleaning of the filter and core to maintain the required airflow.required

8.2.3 Mandatory operation guide/label:

8.2.3(a) A system operation guide designed for occupants (non-professionals) shall be provided to the client to explain how and why to operate the MV system.

8.2.3(b) The system operation guide or a label indicating the presence and purpose of the MV system shall be permanently posted:

8.2.3(b1) At the indoor electrical panel (or subpanel), when present, or

8.2.3(b2) When there is no indoor electrical panel, in full sight elsewhere indoors in a location approved by client

8.2.3(c) The operation guide/label format shown in Fig. 12-11 shall be utilized.

8.3. Clean-Up and Disposal Requirements

8.3.1 Decommissioning Existing Mechanical Ventilation Systems

8.3.1(a) Power supply/conductors shall be disconnected and properly terminated in a visible junction box.

8.3.1(b) Permanently remove all ventilation components (i.e., fans, ducts, terminations) from the dwelling, and decommission old parts as required in Section 1 Decommissioning.

8.3.1(c) Seal and insulate all openings and voids left by the removal of the ventilation system including exterior terminations.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 10 years

9.1.2 DOE: Not applicable to this measure

9.2 Airflow Measuring Device

9.2.1 The device shall:

9.2.1(a) Measure airflow in CFM with a range of 10–120 CFM

9.2.1(b) Have a resolution of at least 1.0 CFM or exhaust fan flow measurement accuracy of 10%

9.2.2 Acceptable devices include:

9.2.2(a) An exhaust fan flow meter with a digital gauge (up to 124 CFM, exhaust only)

9.2.2(b) A flow capture hood

9.2.2(c) The Minneapolis Duct Blaster® with a powered capture hood (exhaust or supply with a range of 10–300 CFM)

9.2.2(d) A large vane anemometer with averaging or snapshot capability and with a display showing airflow in CFM

9.2.2(d1) Multiple readings across the fan are required without a funnel/hood; a single reading is acceptable with a funnel/hood.

9.3 MV System Components (Fans, Controllers, and Ducts)

9.3.1 General Specifications:

9.3.1(a) Components shall be:

9.3.1(a1) ASHRAE 62.2 2016–compliant for whole-house MV use

9.3.1(a2) Underwriters Laboratories (UL)–listed or equivalent

9.3.2 Fans:

9.3.2(a) Fans shall be rated for continuous operation at the required CFM.

9.3.2(b) Certification for specific fan types:

9.3.2(b1) Ceiling-mount exhaust or inline exhaust: ENERGY STAR®–certified

9.3.2(b2) Wall-mount exhaust or supply: ENERGY STAR - Home Ventilating Institute (HVI)–certified

9.3.2(b3) Inline supply: ENERGY STAR– or HVI-certified

9.3.2(b4) HRV or ERV: ENERGY STAR - HVI-certified

9.3.2(b5) Whole-house ventilation/kitchen exhaust combination unit: ENERGY STAR–certified

9.3.2(c) Sound (sone) level:

9.3.2(c1) Sone level certification for a continuously operating whole-house MV system shall not exceed 1.0 sone, in accordance with ASHRAE 62.2.

- Exception: The 1.0-sone limit does not apply to an in-line or remote fan with at least 4' of ducting between the fan unit and the indoor termination/grille.

9.3.3 Fan controllers shall be rated for:

9.3.3(a) Automatic, continuous, and intermittent operation

9.3.3(b) An amperage that meets or exceeds the fan load

9.3.4 Duct Materials and Insulation

9.3.4(a) All ducts shall comply with manufacturer's instructions and local code (e.g., for flame spread rating).

9.3.4(b) Rigid duct:

9.3.4(b1) Galvanized steel: Minimum 26-gauge

9.3.4(b2) Aluminum: Minimum 24-gauge

9.3.4(b3) PVC smooth plastic pipe: Minimum Schedule 80, with approved PVC primer and cement

9.3.4(b4) DOE: Minimum 28-gauge

9.3.4(c) Flexible duct:

9.3.4(c1) Semi-rigid metallic aluminum: Minimum 0.0065" thick and UL-listed 181B

Information about Your Whole-House Mechanical Ventilation System and Maintenance Requirements			
Installer	Contractor Best CSD Agency	Phone 916-916-9169	Address 123 Good St., Goodtown 91919
System Type	❑ Supply Ventilator ❑ Exhaust Ventilator ❑ Exhaust with Passive Inlet ❑ Heat Recovery Ventilator (HRV) ❑ Energy Recovery Ventilator (ERV)		
Purpose	• The purpose of mechanical ventilation is to provide adequate fresh air inside the home. • System size (airflow) is based on the size of your home and the number of occupants. • There is a manual override switch; however, it should be switched on whenever anyone is at home. Too little ventilation can cause moisture and health problems.		

Ventilator Unit (Fan)	Brand	Model #	Required Airflow (cfm)	Total Installed Airflow (cfm)	
				Normal	Bathroom Boost
	Acme FanCo	AV-1234567	40 cfm	45 cfm	50 cfm

Controller ❑ Built into Fan	Brand	Model #	Function (Constant Speed, Multi-speed, intermitten:)
	Acme Controls (If separate)	AC-1234567 (If separate)	40 cfm constant, with 60 cfm boost

System Function and Operation	Low-speed continuous operation at 45 cfm, increases to 50 when bathroom is occupied
Required Maintenance	Vacuum fan intake monthly.

FIG. 12-11: SAMPLE COMPLETED OPERATION GUIDE/LABEL

9.3.4(d) Duct materials and insulation shall have a maximum flame-spread index of 25 and smoke-developed index of 450 per American Society of Testing and Materials (ASTM) E84, UL 723, or National Fire Protection Association (NFPA) 255

9.3.4(e) R-value

9.3.4(e1) The minimum R-value for duct insulation shall be in accordance with Title 24, by California Energy Commission (CEC) climate zone:

- Climate zones 3, 5, 6, 7: Minimum R-value of R-6
- Climate zones 1, 2, 4, 8 – 16: Minimum R-value of R-8

9.3.4(e2) DOE:

- Ducts installed outside of the thermal boundary: minimum of R-8
- Ducts exposed to the exterior of the building: minimum of R-12

9.3.5 Duct Intakes,Terminations, and Dampers

9.3.5(a) Intakes and terminations shall be constructed of aluminum, sheet metal, or ultraviolet (UV)-protected plastic and equipped with corrosion-resistant ¼"–½" weave insect/ rodent screen.

9.3.5(b) A compatible metal or plastic damper shall be present in the system.

9.3.6 MV Air Filters

9.3.6(a) All air filters shall be tested to an efficiency of MERV 6 in accordance with American National Standards Institute (ANSI)/ASHRAE Standard 52.2.

9.3.6(b) Pressure drop across filter will match equipment capabilities.

9.3.7 Passive inlet vents shall have:

9.3.7(a) An indoor fresh air inlet with:

9.3.7(a1) A replaceable or washable filter for incoming air

9.3.7(a2) Manual flow control (e.g., shutter or louver) to control incoming air

9.3.7(a3) A through-the-wall sleeve/duct that is adjustable to the wall thickness

9.3.7(b) An outdoor inlet that:

9.3.7(b1) Protects from wind and precipitation (e.g., with hood and/or louvers)

9.3.7(b2) Has an insect/rodent screen

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

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13. Water Heaters—Gas, Electric, and Heat Pump

Table of Contents

1. **MEASURE OBJECTIVES** **13-1**

2. **INSTALL THIS MEASURE WHEN:** **13-1**
   - 2.1. Repair 13-1
   - 2.2. Install—Electric and Gas Water Heater Types 13-1
   - 2.3. Install—Heat Pump Water Heater (HPWH) 13-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **13-1**
   - 3.1. Do Not Repair 13-1
   - 3.2. Do Not Install—All Water Heater Types 13-1
   - 3.3. Do Not Install—HPWH 13-2

4. **INSTALLATION GUIDELINES** **13-2**
   - 4.1. General Requirements 13-2
     - *4.1.7 LIHEAP Weatherization Repair and Replacement Policy 13-2*
     - *4.1.8 Energy Crisis Intervention Program (ECIP) Repair and Replacement Policy 13-3*
     - *4.1.9 Fuel Switching 13-3*
     - *4.1.10 Water Heater Platform 13-3*
   - 4.2. Repair Procedure 13-3
   - 4.3. Installation Procedure (All Types) 13-4
     - *4.3.1 Access, Location, and Fit 13-4*
     - *4.3.2 Seismic Bracing 13-4*
     - *4.3.3 Plumbing 13-4*
     - *4.3.4 TPV 13-5*
     - *4.3.5 Drain Pan 13-5*
     - *4.3.6 Pipe Insulation 13-5*
     - *4.3.7 Water Heater Insulation 13-5*
   - 4.4. Installation Procedure (Gas Storage) 13-5
     - *4.4.1 Location Limitations 13-5*
     - *4.4.2 Gas Lines, Fittings, and Valves 13-5*
     - *4.4.3 Combustion and Ventilation Air (CVA) Requirements 13-6*
     - *4.4.4 Gas Vent Pipe Systems 13-6*
   - 4.5. Installation Procedure (Electric Storage and HPWH) 13-6
     - *4.5.1 Electrical Supply 13-6*
     - *4.5.2 Electric Water Heater Timer 13-6*

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4.6. Installation Procedure (HPWH) 13-6
4.6.1 Installation Location Requirements *13-6*
4.6.2 Room Volume *13-7*
4.6.3 Condensate Control *13-7*

5. MOBILE HOME–SPECIFIC 13-7
5.1. Installation Requirements 13-7

6. MULTI-FAMILY–SPECIFIC 13-8
6.1. Installation Requirements 13-8

7. DOE-SPECIFIC 13-8
7.1. Assessment Requirements 13-8
7.1.11 Mobile Home Combustion Appliances *13-9*
7.2. Installation Requirements 13-9

8. POST-INSTALLATION GUIDELINES 13-10
8.1. Quality Check 13-10
8.1.3 Gas Water Heaters *13-10*
8.2. Client Education 13-10
8.3. Clean-Up and Disposal Requirements 13-11

9. MATERIAL SPECIFICATIONS 13-11

10. WARRANTY 13-14

Water Heaters—Gas, Electric, and Heat Pump

1. MEASURE OBJECTIVES

1.1 A properly functioning, efficient, primary water heater provides economical hot water for the household.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Assessment identifies a health and safety (H&S) condition or a performance issue with the primary appliance providing heated water for the dwelling unit and

2.1.2 A qualified technician has determined the unit is repairable for <50% of the replacement cost

2.2. Install—Electric and Gas Water Heater Types

2.2.1 The dwelling does not have a primary water heater or

2.2.2 The unit is the primary water heater for the dwelling and

2.2.2(a) Does not operate as intended (e.g., it is not heating water to at least 120°F) and repair is not feasible or

2.2.2(b) Has defects that compromise its efficiency (e.g., mineral build-up or a leaking tank) and cannot be corrected or

2.2.2(c) Has an H&S condition (e.g., an electrical hazard or high carbon monoxide [CO] output) that will be resolved by installing a new water heater and repair is not feasible

2.2.2(d) A replacement water heater (e.g., for fuel switching, Energy Efficiency Upgrade, etc.) is justified in accordance with Appendix D Energy Audit/Priority List Protocol proven by energy audit with a savings-to-investment ratio (SIR) ≥1.0

2.3. Install—Heat Pump Water Heater (HPWH)

2.3.1 The primary unit is an electric resistance water heater and is ≥10 years old and

2.3.2 Does not operate as intended (e.g., it is not heating water to at least 120°F) and repair is not feasible or

2.3.3 Has defects that compromise its efficiency (e.g., mineral build-up or a leaking tank) and cannot be corrected or

2.3.4 Has an H&S condition (e.g., an electrical hazard or water leak) that will be resolved by installing a new water heater

2.3.5 A replacement water heater (e.g.,for fuel switching, Energy Efficiency Upgrade, etc.) is justified in accordance with Appendix D Energy Audit/Priority List Protocol proven by energy audit with an SIR ≥1.0

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1. Do Not Repair

3.1.1 Any combustion appliance safety (CAS) hazard or CAS fail cannot be corrected per Appendix A Combustion Appliance Safety Protocol

3.1.2 The appliance platform or enclosure floor under the tank is not structurally sound (see Water Heater Platform) and cannot be corrected per Section 1 General Installation Guidelines, Limited Home Repair

3.1.3 Repair would violate the Appendix E Health and Safety Requirements

3.1.4 The client refuses after measure benefits have been explained by the assessor

3.2. Do Not Install—All Water Heater Types

3.2.1 No water heater is existing in the dwelling

3.2.2 Major structural alteration, concrete work, painting, or hazardous material abatement would be required to bring the appliance to code

3.2.3 The installation guidelines for a new gas, electric, or HPWH cannot be met

3.2.4 The natural gas or propane water heater is open-combustion and located in a bedroom

3.2.4 (a) Exception: The water heater may be removed and relocated to an approved location with an approved CSD waiver.

3.2.5 Installation would violate the Appendix E Health and Safety Requirements

3.2.6 The client refuses after measure benefits have been explained by the assessor

3.3. Do Not Install—HPWH

3.3.1 The unit will be located:

3.3.1 (a) Where the ambient temperature is frequently outside of the temperature range recommended by the manufacturer.

3.3.1 (b) In a mobile home or attic

3.3.1 (c) In an enclosure where the room height and volume are less than the manufacturer's recommended minimum and correction is not feasible

3.3.1 (d) In a space where cooling and noise will be an issue

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Replacement, repair, or installation of a primary water heater type is permitted when an existing primary water heater is unsafe, inoperable, or nonexistent.

4.1.1 (a) Documentation justifying any appliance replacement with a cost comparison between replacement and repair must be maintained in the client file.

4.1.2 When enclosure size limitations restrict the replacement unit's capacity, sizing for a smaller unit requires a program waiver and documentation in the client file.

4.1.3 Equipment must be freeze-resistant, protected from freezing, or installed in a conditioned space.

4.1.4 The installation of a tankless water heater requires a CSD waiver.

4.1.5 When an existing water heater is not present, then the measure may be installed under Health and Safety.

4.1.6 Audited Measures

4.1.6 (a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.6 (b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.7 LIHEAP Weatherization Repair and Replacement Policy

4.1.7 (a) An existing primary water heater:

4.1.7 (a1) Qualifies for repair when it has an H&S hazard or a performance issue that can be repaired

4.1.7 (a2) Qualifies for replacement when it has an H&S hazard or performance issue that cannot be repaired, mineral build-up, or a tank that is leaking water

4.1.7 (b) An existing primary water heater that is "red tagged," has a qualifying CAS issue, or is inoperable may qualify for repair or replacement.

4.1.7 (c) A home with no existing water heater may qualify for appliance installation.

4.1.8 Energy Crisis Intervention Program (ECIP) Repair and Replacement Policy

4.1.8(a) Appliance repair/replacement criteria

4.1.8(a1) A water heating appliance qualifies for repair or replacement of under ECIP if it has a hazardous condition that poses a direct risk of fire or dangerous indoor air quality, including:

- High CO levels or gas leak, per the Appendix A Combustion Appliance Safety Protocol
- A condition that violates a significant state or local building code including improper clearances, inadequate combustion ventilation air, or non-conforming location and/or venting
- A ruptured tank and/or excessive water leakage from water heaters located within conditioned living areas. (Note: This does not authorize the use of ECIP funds to repair or replace leaking water heaters located in unconditioned areas, e.g., garage, exterior water heater closets.)
- Another hazardous condition, upon the pre-approval of CSD

4.1.8(b) Non-existent or inoperable appliances

4.1.8(b1) A non-existent or wholly inoperable water heater may be repaired, replaced, or installed when the applicant meets at least one of the following requirements:

- An occupant has a qualifying "medical condition" that requires temperature control. The condition must be verified by a doctor's recommendation or other objective evidence gathered at the time of application.
- An occupant is a member of a vulnerable population as identified in the LIHEAP Local Plan, and the absence of water heating creates an emergency H&S need.

4.1.9 Fuel Switching

4.1.9(a) Fuel conversion from a non-electric to an electric appliance is allowed when an energy audit is conducted per Appendix D Energy Audit/Priority List Protocol and Section 1 General Installation Guidelines, Fuel Switching Policy.

4.1.9(a1) For more detail, refer to the Section 1 General Installation Guidelines, Fuel Switching Policy.

4.1.9(b) An unused appliance gas line valve shall be capped.

4.1.10 Water Heater Platform

4.1.10(a) If water heater repair or replacement is required per this TRM section and the water heater platform or enclosure floor is not structurally sound, repairs to the flooring must be completed under Section 1 General Installation Guidelines, Limited Home Repair before this measure is installed.

4.1.11 When repair or replacement of a gas water heater is beyond the scope of the program, a waiver shall be sought before appliance abandonment will be offered to the client, per Appendix A Combustion Appliance Safety Protocol.

4.2. Repair Procedure

4.2.1 When a temperature and pressure valve (TPV) or drain line or automatic gas shut-off valve (AGSV) is not present or is non-conforming, a new valve and drain line must be installed when feasible.

4.2.2 When a seismic strap is not present or was not installed properly, a new strap must be installed when feasible. (See Seismic Bracing.)

4.2.3 Gas connectors shall be checked and replaced per Appendix A Combustion Appliance Safety Protocol.

4.2.4 Repair or extension of an appliance vent shall comply with Appendix A Combustion Appliance Safety Protocol.

4.3. Installation Procedure (All Types)

4.3.1 Access, Location, and Fit

4.3.1 (a) Install the tank and plumbing to allow for inspection, maintenance, and replacement of the appliance and its components (including the anode rod), without disturbing other installed equipment, controls, piping, and components, other than what requires repair/ replacement.

4.3.1 (b) Ensure the tank and plumbing fit in the installation space with required clearances.

4.3.1 (c) Ensure the tank is installed plumb, level, and stable with information labels and controls facing outward.

4.3.1 (d) Bottom support shall be structurally sized/constructed to safely support the weight of the filled appliance.

4.3.1 (e) Water heaters located in garages shall be installed behind protective barriers or elevated/located out of the path of vehicles (Fig. 13-1).

4.3.1 (e1) Water heaters that are not flammable vapor ignition–resistant (FVIR) units must be elevated not less than 18" above the floor or as specified by local code.

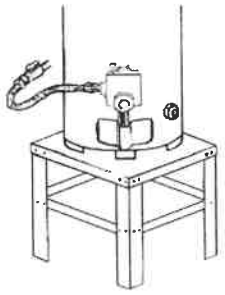

FIG. 13-1: WATER HEATER ELEVATED ABOVE THE GARAGE FLOOR

4.3.1 (f) An enclosure access door shall allow replacement of the appliance.

4.3.1 (g) Units installed in an attic and crawlspace will have a minimum access opening of 22" x 30" with an unobstructed passageway and a minimum working platform of 30" x 30" on the front service side of the water heater.

4.3.2 Seismic Bracing

4.3.2 (a) Bracing must:

4.3.2 (a1) Allow for required spacing around the water heater

4.3.2 (a2) Be securely attached to structural framing or ledger board

4.3.2 (a3) Not be installed over a water heater blanket

4.3.2 (b) For tanks ≤52 gallons, two straps will be installed (Fig. 13-2):

4.3.2 (b1) One within the upper third of the tank and

4.3.2 (b2) One within the lower third of the tank

4.3.2 (c) For tanks >52 gallons, three straps will be installed.

4.3.2 (d) On gas water heaters, the lower strap shall be at least 4" above the gas control valve.

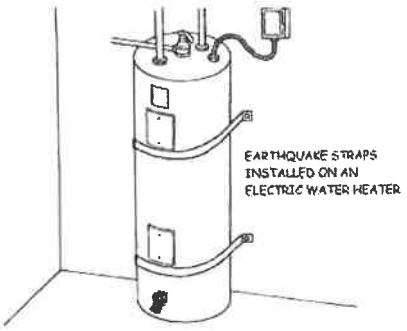

FIG. 13-2: SEISMIC BRACING ON AN ELECTRIC WATER HEATER ≤52 GALLONS

4.3.3 Plumbing

4.3.3 (a) Verify current plumbing infrastructure is sufficient and any existing water leaks will be repaired before installation begins.

4.3.3 (b) All installed fittings and valves must be new. (Re-used materials are not allowed.)

4.3.3 (c) Cross-linked polyethylene (PEX) tubing must not be installed within the first 18" of piping connected to the water heater.

4.3.3 (d) Threaded fittings must be sealed with plumber's tape or non-toxic pipe joint compound.

4.3.3 (e) A cold water supply shut-off valve must be installed if one is not present.

4.3.3 (f) Flexible connectors must be used to connect the appliance to the rigid hot and cold water lines.

4.3.3 (g) When required, install:

4.3.3 (g1) Dielectric insulators on water piping connections to the tank when connecting copper to galvanized steel piping

4.3.3(g2) Expansion tanks

- Expansion tanks will be installed when a water heater is replaced/installed and the water heater is supplied with cold water that passes through a check valve, pressure reducing valve, or backflow preventer or if required by the local code.
- Connect the tank to the cold water supply line at a point that is downstream of all check valves, pressure reducing valves and backflow preventers.
- Support expansion tank so that it does not move or sag using rigid support material that is able to support twice the weight of the tank filled with water.
- Set the pressure in the expansion tank to match the incoming water pressure.

4.3.3(g3) A backflow prevention valve

4.3.3(g4) Heat traps on the inlet and outlet piping where not provided by the manufacturer

4.3.4 TPV

4.3.4(a) A TPV (Fig. 13-3) must be installed in with a drain line that is unthreaded, points downward, does not contain valves or tees, and ends <24" and >6" above the surface in a readily observable location.

4.3.4(a1) Exception: An AGSV and pressure relief valve may be used when a TPV and temperature drain line are not possible.

4.3.4(a2) The internal diameter of the line and fittings must equal or exceed the diameter of the relief valve outlet that drains fully by gravity and discharges into (but it is not directly connected to) the dwelling's drainage system or to the outdoors.

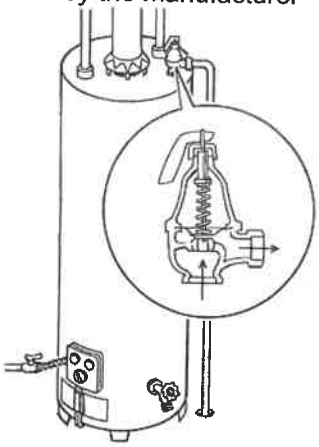

FIG. 13-3: A TPV ON A GAS WATER HEATER

4.3.5 Drain Pan

4.3.5(a) Where damage to the dwelling would result from a leak, or when required by the local jurisdiction, a watertight pan shall be installed beneath the appliance (Fig. 13-4).

4.3.5(b) The drain pan shall have a ≥¾" drain that slopes downward to an approved location (exterior of the building).

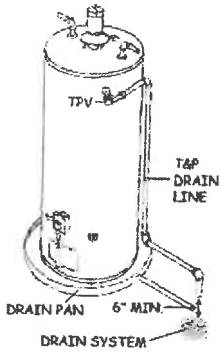

FIG. 13-4: DRAIN PAN REQUIREMENTS

4.3.6 Pipe Insulation

4.3.6(a) Pipe insulation shall be installed on hot and cold water pipes in accordance with Section 15 Pipe Insulation—Water Heater and Exterior.

4.3.7 Water Heater Insulation

4.3.7(a) External water heater insulation shall not be installed on new water heaters unless required in accordance with Section 14 Water Heater Insulation.

4.4. Installation Procedure (Gas Storage)

4.4.1 Location Limitations

4.4.1(a) Only a direct vent water heater may be installed in an attic with a whole house fan that exhausts into the attic.

4.4.1(b) An open-combustion water heater shall not be installed in a bedroom, bathroom, or garage used as a sleeping area unless the water heater is inside a dedicated sealed closet.

4.4.2 Gas Lines, Fittings, and Valves

4.4.2(a) Non-conforming items, such as a rigid or flexible copper connector, will be replaced with code-compliant materials.

4.4.2(b) A manual gas shut-off valve will be within 6' of the appliance and in the same room in which the appliance is located.

4.4.2(c) A flexible gas connector will be located between the gas control valve and the shut-off valve.

4.4.2(d) When required by local code, a sediment trap (drip leg) will be located just ahead of the flexible gas connector.

4.4.2(e) All gas lines, flexible gas connectors, fittings, and valves will be checked for gas leaks (Fig. 13-5).

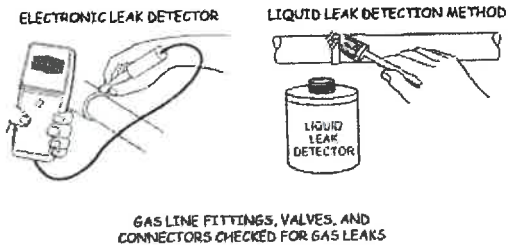

FIG. 13-5: METHODS FOR DETECTING LEAKS IN GAS LINES, CONNECTORS, FITTINGS, AND VALVES

4.4.3 Combustion and Ventilation Air (CVA) Requirements

4.4.3(a) Required CVA shall be assessed and supplied as specified in Appendix A Combustion Appliance Safety Protocol.

4.4.4 Gas Vent Pipe Systems

4.4.4(a) New and existing gas venting must comply with Appendix A Combustion Appliance Safety Protocol.

4.4.4(b) Vent dampers are not allowed.

4.4.4(c) Use of Underwriters Laboratories (UL)-181 tape is not allowed as a method to seal appliance vent joints.

4.5. Installation Procedure (Electric Storage and HPWH)

4.5.1 Electrical Supply

4.5.1(a) The water heater must have:

4.5.1(a1) A dedicated, grounded electrical circuit with disconnect

4.5.1(a2) An amperage capacity of at least 125% of the nameplate rating of the water heater

4.5.1(a3) Protection by a fuse or circuit breaker of the proper amperage rating and type

4.5.1(a4) Ground-fault protection where required by code

4.5.1(b) Exposed wiring shall be enclosed in a conduit.

4.5.2 Electric Water Heater Timer

4.5.2(a) An electric water heater timer may be installed in conjunction with the new water heater per Section 16 Electric Water Heater Timers.

4.6. Installation Procedure (HPWH)

4.6.1 Installation Location Requirements

4.6.1(a) All units

4.6.1(a1) The installation location shall be free from moisture, freezing, and high temperatures, with an ambient temperature range of ≥45°F and ≤120°F, or per manufacturer specifications.

4.6.1(b) Split units—The heat pump shall be:

4.6.1(b1) Within 50' of the tank, including 16' vertical separation or per manufacturer recommendations

4.6.1(b2) Secured to a solid level pad

4.6.1(b3) Be a minimum of 3" above the adjoining ground level

4.6.1(b4) Elevated above the pad when required per manufacturer instructions

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4.6.2 Room Volume

4.6.2(a) Monolithic ("stand-alone") units

4.6.2(a1) The room/space containing the HPWH shall be ≥700 cu. ft. or meet the manufacturer's required minimum room volume.

4.6.2(a2) Insufficient volume may be compensated for by venting ducting to adjacent spaces or ducting the air intake and/or cold air exhaust to unconditioned space or the outdoors.

- The following methods may be used to compensate for inadequate room volume:
  - A louvered door
  - Upper and lower louvered vents
  - An upper vent and a gap ≥18 sq. in. under the door
  - In small rooms (<200 cu. ft.): An upper louvered vent (the same height as the air exhaust or within 12" of it) plus a gap ≥18 sq. in. under the door or a lower vent
- When the HPWH is ducted outdoors, the ducts shall:
  - Be sized properly
  - End in a weatherproof terminal
  - Be insulated to prevent condensation
- When both the air intake and the exhaust outlet are properly ducted, minimum room venting is not required.

4.6.2(b) Split units

4.6.2(b1) The installation location shall provide the heat pump with the larger of the minimum required room volumes with unrestricted airflow:

- 800 cu. ft. minimum or
- Manufacturer's recommendations

4.6.3 Condensate Control

4.6.3(a) Condensate shall be collected and discharged above grade with a downward-sloping line to an approved drain or directly outdoors.

4.6.3(b) If a gravity drain is not possible, a condensate pump is required.

4.6.3(c) Where damage from condensate overflow is possible, install additional protection per California Plumbing Code (CPC) 814.2.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as conventional home, except as specified below.

5.1.2 Repaired/installed water heaters shall be compliant with the Department of Housing and Community Development (HCD) water heater requirements.

5.1.3 A HPWH shall not be installed in a mobile home.

5.1.4 All other requirements listed in this section apply to natural gas and propane storage water heater types. Requirements are included only where they differ from those for conventional home installation.

5.1.5 All CAS requirements unique to mobile homes shall comply with Appendix A Combustion Appliance Safety Protocol, including but not limited to the following requirements:

5.1.5(a) Combustion appliance zone (CAZ) testing

5.1.5(a1) If a water heater draws combustion air from the living space, CAZ testing shall be conducted to ensure that depressurization is not beyond the house depressurization limit.

5.1.5(b) Isolation of return air

5.1.5(b1) A permanent "isolation barrier" that provides an air-tight separation between appliance enclosures (e.g., forced air unit and water heater) must be present when a gas water heater is repaired or replaced per Appendix A Combustion Appliance Safety Protocol (Fig. 13-6).

- A non-metal water heater enclosure shall be finished with limited combustible material (e.g., 5/16" gypsum board or other material with flame spread rating no greater than 25).

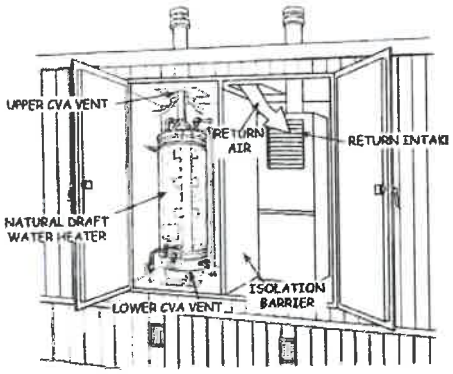

FIG. 13-6: ISOLATION OF RETURN AIR IN A MOBILE HOME SIDE-BY-SIDE APPLIANCE ENCLOSURE

5.1.5(c) A replacement water heater shall have under it a corrosion-resistant drip pan that drains to the exterior or into a plumbed drain.

5.1.5(d) If a moisture-resistant overlay (such as linoleum) is not present on the floor under the water heater, the floor shall be made moisture-resistant in accordance with HCD requirements.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (i.e., individual unit and whole-building) are the same as those for conventional homes.

6.1.2 Installation of a water heater for an individual unit or a common system serving multiple units is allowable due to Health & Safety (H&S) or as an energy efficiency upgrade as allowed by Appendix D Energy Audit/Priority List Protocol.

6.1.3 Common area installation is allowed when justified by an energy audit for a multi-family whole-building project (e.g., in a bathroom, utility room, etc. within the same thermal boundary as dwelling units). See Appendix D Energy Audit/Priority List Protocol.

6.1.3(a) Common area installation is not allowed when only an individual unit will be served.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure may be a DOE Health & Safety measure or an Audit path, audit driven measure.

7.1.1(a) DOE H&S measures must be installed when feasible, regardless of the funding source. If the client refuses the measure, or it cannot be physically installed due to a dwelling condition, the dwelling must be deferred.

7.1.2 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.4 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.5 To assess for this measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.5(a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.5(b) When assessing this measure for the Audit path, measure feasibility will be decided by the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.5(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.5(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.5(c2) If an energy conservation measure is not present on the PL for a specific building type, a site-specific energy audit with all feasible measures shall be conducted.

7.1.6 For the Priority List Path:

7.1.6(a) If an energy conservation measure is not present on the PL for a specific building type, a site-specific energy audit with all feasible measures shall be conducted.

7.1.6(b) All Health & Safety-related water heating repairs and replacements must be fully leveraged to an alternative funding source.

7.1.7 For the Energy Audit Path:

7.1.7(a) To install this measure with DOE funding, a site-specific energy audit is required to determine if it will be an energy conservation measure or a H&S measure.

7.1.7(b) Measure feasibility will be determined through the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.7(b1) When the Measure SIR ≥1.0, the energy conservation measure may be paid for with DOE funds.

7.1.7(b2) When the Measure SIR <1.0 and a H&S condition exists, it is a H&S measure.

7.1.8 If a client refuses a feasible Major Audit path measure, Mandatory Priority List path measure, or Health & Safety measure, the entire dwelling shall be deferred.

7.1.9 When an existing water heater is not present and an energy audit does not show that installation would be a cost-effective, then the measure may be installed under Health and Safety.

7.1.10 A cost benefit analysis is required to determine the optimal water heater type.

7.1.11 Mobile Home Combustion Appliances

7.1.11(a) All combustion water heaters installed or left in place after weatherization in mobile homes must meet the Manufactured Home Construction and Safety Standards, which mandates that:

7.1.11(a1) Combustion appliances must be installed to provide for the complete separation of the combustion system from the interior atmosphere of the mobile home (i.e., to draw their combustion air from outside), and be vented to outside the dwelling. See Appendix A Combustion Appliance Safety Protocol.

7.1.11(a2) Repair or replacement of combustion gas venting shall be performed when necessary to ensure proper combustion gas venting to outside the dwelling for all combustion appliances, including but not limited to gas dryers and refrigerators, furnaces, vented space heaters, and water heaters.

7.1.11(a3) Nonconformance with this requirement will require correction or removal of the appliance.

7.1.11(a4) If a client will not allow removal of an unsafe combustion appliance (primary or secondary) from the home, deferral is required.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP except as specified below.

TABLE 13-1: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
ACCESS, INSTALLED APPLIANCES					
3.0104.2f	Installing New Crawlspace Access	If the depth of the crawlspace passageway or the appliance service space exceeds 12" below the adjoining grade, the walls of the passageway will be lined with concrete or masonry extending 4" above the adjoining grade in accordance with Chapter 4 IRC.	X		X
GENERAL INSTALLATION REQUIREMENTS					
2.0103.1a and 2.0103.1b	Temperature and Pressure Relief Valve	Select and intall a temperature and pressure relief valve in accordance with the International Residential Code (IRC).	X	X	X
7.0302.1g and 7.0302.2g and 7.0302.3g	Electric, Fuel-fired, and Heat Pump Storage Tank Water Heater	If appliance is installed in or above conditioned space or in a location where water damage could occur, install a drain pan according to the requirements of the IRC	X	X	X
7.0302.1h and 7.0302.2e and 7.0302.3h	Electric, Fuel-fired, and Heat Pump Storage Tank Water Heater	Install a separate water cut-off valve for both the hot and cold water lines.	X	X	X
7.0302.1m and 7.0302.2n	Electric and Fuel-fired Tank Water Heaters	In multi-tank systems, install valves to isolate each tank from the water heating system. Install bypass piping.			X
7.0302.3c	Heat Pump Storage Tank Water Heater	Install appliance where it: • Will not affect indoor thermostat readings or blow directly on occupants	X	X	X

7.2.2 If weatherization installs an appliance where the existing appliance was vented into a masonry chimney, the chimney must be lined in compliance with the International Fuel Gas Code (IFGC), California Mechanical Code, and local code (if more stringent).

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 The water heater shall be tested to ensure it performs properly and safely in compliance with the manufacturer's specifications and relevant industry standards.

8.1.2 The thermostat shall be set at 120°F or as prescribed by local code.

8.1.3 Gas Water Heaters

8.1.3(a) Post-CAS appliance repair and replacement testing will be conducted in accordance with Appendix A Combustion Appliance Safety Protocol.

8.1.3(b) Appliances turned off during the installation of the water heater will be returned to standard operating condition (i.e., pilot lights will be re-lit).

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure-specific verbal and written instructions include:

8.2.2(a) Adjustment of the water temperature and the target temperature

8.2.2(b) Periodic draining and flushing

8.2.2(c) The expansion tank and backflow preventer (no occupant maintenance required)

8.2.2(d) Air filter cleaning for HPWHs

8.2.2(e) Where combustion equipment is present, information on how to recognize depressurization and the dangers of CO poisoning associated with combustion appliance use

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced appliance, parts, and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 Water Heater Repair

9.1.1(a) LIHEAP: 4 years

9.1.1(b) DOE: Not applicable to this measure

9.1.2 Water Heater Replacement/Energy Efficiency Upgrade

9.1.2(a) LIHEAP: 10 years

9.1.2(b) DOE: 13 years

9.2 Component Parts (All Water Heater Types)

9.2.1 Drain pan: Corrosion-resistant metal pan not less than 1½" in depth with a ¾" drain

9.2.2 Water Pipes

9.2.2(a) Installed water lines and valves must be lead-free.

9.2.2(b) Flexible metallic (copper and stainless steel), reinforced flexible, braided stainless steel, or polymer braided with ethylene propylene dimonomer core connectors that connect a water heater to the piping system shall comply with American Society of Mechanical Engineers (ASME) A112.18.6/Canadian Standards Association (CSA) B125.6.

9.2.2(c) Copper, copper alloy, or stainless steel flexible connectors shall not exceed 24".

9.2.3 Seismic strap kit shall:

9.2.3(a) Be an approved bracing system (strap kit) certified by the California Division of the State Architect (will have the stamp of approval on the box) and comply with California Health and Safety Code §19211

9.2.3(b) Meet or exceed the bracing requirements for the tank size

9.2.4 TPV

9.2.4(a) The line must be galvanized steel, hard drawn copper, or chlorinated polyvinyl chloride (CPVC).

9.2.4(b) The valve shall:

9.2.4(b1) Be listed and manufactured to American National Standards Institute (ANSI) Z21.22

9.2.4(b2) Meet the sizing/pressure requirements of the water heater listing

9.2.5 Expansion Tank: Shall be sized in accordance with the tank manufacturer's instructions.

9.2.6 Water Heater Vent Systems

9.2.6(a) Vents and terminals shall be heating, ventilation, and air conditioning–quality sheet metal ducts or UL-listed flexible metal ducts with terminals designed to protect against moisture entry and pest intrusion (i.e., screened).

9.2.6(b) Gas Water Heater Vents

9.2.6(b1) Will be composed of UL-listed vent connectors, components, and Type B vent pipes.

9.2.6(c) Gas Pipes

9.2.6(c1) All valves and flexible connectors must be new.

9.2.6(c2) Gas valves will be UL-listed (or equivalent) and American Gas Association (AGA)- or CSA-certified.

9.2.6(c3) Flexible connectors will be listed (e.g., by the International Association of Plumbing and Mechanical Officials [IAPMO]) epoxy-coated or stainless steel units.

9.2.6(c4) Fuel gas piping will comply with latest adopted California Mechanical Code (CMC).

9.2.6(c5) Copper gas lines and butt-soldered joints are not allowed.

9.3 All Water Heating Units

9.3.1 Installed water heaters shall:

9.3.1(a) Meet or exceed California Energy Commission (CEC) efficiency standards and be listed in the CEC's database of certified appliances

9.3.1(b) Be listed and labeled in accordance with local code

9.3.1(c) Provide sufficient hot water for the dwelling and occupants based on Sizing and Efficiency requirements stated below.

9.3.1(d) All installed natural gas or propane storage-type water heaters must:

9.3.1(d1) Be low–nitrogen oxide (NOx) burner systems

9.3.1(d2) Have an FVIR combustion chamber when the unit to be replaced is an open-combustion unit

9.3.2 Sizing Requirements (All Water Heater Types)

9.3.2(a) All installed water heater unit capacities must be no less than the 2022 CPC minimum "First Hour Rating" (FHR) guidelines, as shown in Table 13-2 except as defined for DOE replacements in 9.3.2(b).

TABLE 13-2: MINIMUM CAPACITY FOR WATER HEATERS (FHR)

Number of Bathrooms	1–1.5			2–2.5				3–3.5			
Number of Bedrooms	1	2	3	2	3	4	5	3	4	5	6
FHR*	38	49	49	49	62	62	74	62	74	74	74

*FHR is the water heater capacity expressed in gallons on the yellow EnergyGuide label. It is the amount of hot water the heater can supply per hour (starting with a tank full of hot water).

9.3.2(b) DOE Replacements: Shall be ENERGY STAR®–certified or equivalent have a FHR to align with Energy Star as follows:

9.3.2(b1) Natural Gas: ≥ 51

9.3.2(b2) Heat Pump Water Heaters: ≥ 45

9.3.2(b3) Electric: Not specified

9.3.2(b4) Tankless water heaters shall be replaced with LIHEAP funding, and by CSD waiver approval only.

9.3.3 Efficiency Requirements

9.3.3(a) Storage water heater replacements and installations shall have a minimum uniform energy factor (UEF) as shown in Table 13-3 (Electric) and Table 13-4 (Gas) below, except as defined for DOE replacements in Table 13-5.

TABLE 13-3: MINIMUM UEF FOR STORAGE ELECTRIC WATER HEATERS, BASED ON FHR*

Tank Volume (Gallons)	FHR 18–<51	FHR 51–<75	FHR ≥75
30	0.92	0.92	0.93
40	0.91	0.92	0.93
50	0.91	0.92	0.93
55	0.91	0.92	0.93
*Based on Table F-2 from the CEC, Title 20, January 2020			

TABLE 13-4: MINIMUM UEF FOR STORAGE GAS WATER HEATERS, BASED ON FHR*

Tank Volume (Gallons)	FHR 18–<51	FHR 51–<75	FHR ≥75
30	0.54	0.60	0.65
40S	0.52	0.58	0.64
50	0.50	0.56	0.63
55	0.49	0.55	0.62
60	0.74	0.77	0.79
*Title 24 prescriptive requirement published in Water Heater Efficiency Guide, CEC, October 2022			

9.3.3(b) DOE Water Heater Replacements

9.3.3(b1) DOE water heater replacements shall have a UEF to align with Energy Star requirements as shown in Table 13-5:

TABLE 13-5: MINIMUM UEF FOR DOE REPLACEMENTS (ALL WATER HEATER TYPES), BASED ON ENERGY STAR*

Water Heater Type	Criteria	Uniform Energy Factor (UEF)
Heat Pump Water Heaters	Integrated HPWH	≥ 3.30
	Integrated HPWH, 120 Volt, 15-Amp Circuit	≥ 2.20
	Split System HPWH	≥ 2.20
Storage Gas	Tank Volume:	Medium Draw: ≥ 0.81
	>20 gallons and ≤ 55 gallons	High Draw: ≥ 0.86
	Tank Volume: > 55 gallons	0.86
*Source: EnergyStar.gov		

9.3.4 Additional Efficiency Requirements, Based on Dwelling Type

9.3.4(b1) Mobile Home – All Water Heater Types

- A gas water heater is required to be direct vent type when located inside the living space.
- A water heater shall have a maximum standby loss of 7% (25–35 gallons) or 8% (>35 gallons).

9.3.4 (b2) All Dwelling Types–DOE Replacements

- Installed storage electric water heaters shall have an Uniform Energy Factor (UEF) of 0.93 or better.

9.3.4 (b3) Conventional Homes

- Heat Pump Water Heaters (HPWH):
  - HPWH shall be compliant with Northwest Energy Efficiency Alliance Advanced (NEEA) Water Heater Specification Tier 3 or higher.
  - Have a minimum UEF according to the corresponding climate zone as listed in Table 13-6, except as defined for DOE replacements in Table 13-5.

TABLE 13-6: MINIMUM UEF BY CLIMATE ZONE*

Climate Zone	Minimum UEF
1	2.82
2	2.82
3	2.82
4	2.87
5	2.82
6	2.47
7	2.61
8	2.47
9	2.47
10	2.47
11	2.61
12	2.87
13	2.61
14	2.61
15	2.47
16	≥3.00 plus a solar water heating system with solar saving fraction ≥0.4
*Title 24 prescriptive requirement published in Water Heater Efficiency Guide, California Energy Commission, October 2022	

10. WARRANTY

10.1 Repair—All Water Heater Types

10.1.1 Parts—90 days

10.1.2 Contractor—1 year

10.2 Replacement/Installation—Gas and Electric Water Heaters

10.2.1 Manufacturer—5 years (tank) / 1 year (other)

10.2.2 Contractor—1 year

10.3 Installation—HPWH

10.3.1 Manufacturer—6 years

10.3.2 Contractor—1 year

14. Water Heater Insulation

Table of Contents

1. **MEASURE OBJECTIVES** **14-1**

2. **INSTALL THIS MEASURE WHEN:** **14-1**
   - 2.1. Repair 14-1
   - 2.2. Install 14-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **14-1**
   - 3.1. All Water Heater Types 14-1
   - 3.2. Electric Water Heaters 14-1

4. **INSTALLATION GUIDELINES** **14-2**
   - 4.1. General Requirements 14-2
     - 4.1.2 Seismic (Earthquake) Bracing 14-2
     - 4.1.3 Clearance 14-2
     - 4.1.4 Coverage 14-2
     - 4.1.5 Top Seams and Edges 14-3
     - 4.1.6 Side Seams and Bottom Edge 14-4
     - 4.1.7 Blanket Straps and Buckles 14-4
     - 4.1.8 Temperature and Pressure Protection 14-4
     - 4.1.9 Tank Drain Valve 14-5

5. **MOBILE HOME–SPECIFIC** **14-5**
   - 5.1. Installation Requirements 14-5

6. **MULTI-FAMILY–SPECIFIC** **14-5**
   - 6.1. Installation Requirements 14-5
     - 6.1.2 Common Water Heater System (Serving Multiple Dwelling Units) 14-5
     - 6.1.3 Common Area Water Heaters 14-5

7. **DOE-SPECIFIC** **14-5**
   - 7.1. Assessment Requirements 14-5
   - 7.2. Installation Requirements 14-6

8. **POST-INSTALLATION GUIDELINES** **14-6**
   - 8.1. Quality Check 14-6
   - 8.2. Client Education 14-6
   - 8.3. Clean-Up and Disposal Requirements 14-6

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9. MATERIAL SPECIFICATIONS 14-7

10. WARRANTY 14-7

Water Heater Insulation

1. MEASURE OBJECTIVES

1.1 Water heater tank insulation reduces standby heat loss.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable for this measure.

2.2. Install

2.2.1 A single-family or multi-family central water heater supplies hot water to the dwelling unit(s) to be served and

2.2.2 No insulation is present, or insulation is substantially damaged and not effectively insulating the heater and

2.2.3 External insulation is not prohibited by the manufacturer and

2.2.4 The internal insulation R-value is:

2.2.4(a) <R-12 for a gas water heater or

2.2.4(b) <R-16 for an electric water heater

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1. All Water Heater Types

3.1.1 Prohibited by the tank manufacturer

3.1.2 Any combustion appliance safety (CAS) hazard, CAS fail, or electrical hazard cannot be corrected per Appendix A Combustion Appliance Safety Protocol

3.1.3 The water heater is the tankless type

3.1.4 A water line leak or electrical hazard is present, or the water heater requires repair or replacement and cannot be corrected under Section 13 Water Heaters—Gas, Electric, and Heat Pump

3.1.5 The temperature and pressure relief valve (TPV) is non-compliant and cannot be corrected under Section 13 Water Heaters—Gas, Electric, and Heat Pump

3.1.6 The tank is located in an unprotected area that is exposed to the weather

3.1.7 The appliance platform or enclosure floor under the tank is not structurally sound (see Section 13 Water Heaters—Gas, Electric, and Heat Pump) and cannot be corrected per Section 1 General Installation Guidelines, Limited Home Repair

3.1.8 Three insulation blanket straps physically cannot be installed

3.1.9 Polyvinyl chloride (PVC) piping is present on the cold or hot water line to or from the tank

3.1.10 Installation would violate the Appendix E Health and Safety Requirements

3.1.11 The client refuses after measure benefits have been explained by the assessor

3.2. Electric Water Heaters

3.2.1 Hazardous electrical wiring is present

3.2.2 The overcurrent protection is inadequate

3.2.3 A thermostat cover plate is missing

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 The internal insulation R-value shall be determined, if possible.

4.1.1(a) If the R-value is not printed on the identification (ID) label, the model number shall be used to check it (e.g., in the owner's manual or on the manufacturer's website).

4.1.2 Seismic (Earthquake) Bracing

4.1.2(a) Seismic bracing, if added, shall be done prior to installing water heater insulation. (See Section 13 Water Heaters—Gas, Electric, and Heat Pump.)

4.1.2(b) Seismic straps and braces shall not be installed over insulation.

4.1.2(c) Braces shall fit tightly to the body of the tank.

4.1.2(d) The blanket shall be slit to fit around the straps and braces.

4.1.2(e) All slits shall be securely taped closed.

4.1.3 Clearance

4.1.3(a) All water heaters:

4.1.3(a1) The tank must be more than 12" from a stove, range, or cooktop.

4.1.3(a2) The front clearance shall be sufficient to allow the enclosure door to close freely with the blanket installed.

4.1.3(b) Gas water heaters:

4.1.3(b1) Front clearance shall be at least 4" between the door and the tank prior to insulation installation (Fig. 14-1).

- Exception: 3" of front clearance is acceptable in induced-draft and closed-combustion water heaters when allowed by the manufacturer.

4.1.3(b2) At least 3" of clearance is required from the blanket and tape to the edge of:

- The burner access opening
- The draft hood opening

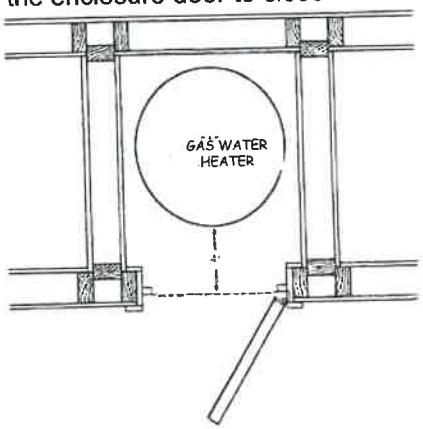

FIG. 14-1: GAS WATER HEATER CLEARANCE REQUIREMENT

4.1.4 Coverage

4.1.4(a) Gas water heaters:

4.1.4(a1) The top of the tank shall not be insulated on natural draft units (Fig. 14-2).

4.1.4(a2) A top cover shall be installed on closed combustion and induced draft/power-vented units, with 3" of clearance from flue system and inducer fan.

4.1.4(a3) Side insulation shall:

- Completely surround the tank to provide 100% coverage
- Extend from the top of the tank to the bottom of the drain valve neck
- Not extend beyond the bottom of the tank or restrict combustion air access in any way

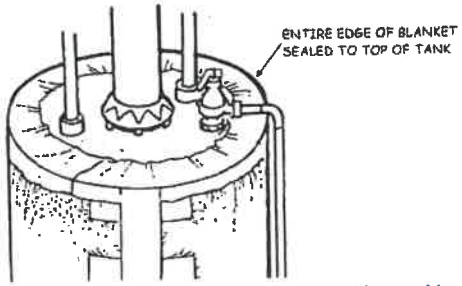

FIG. 14-2: NATURAL DRAFT GAS UNIT—NO TOP COVER

4.1.4(a4) The gas control valve and other components (Fig. 14-3) shall not be covered by a blanket, tape, or a strap.

4.1.4(a5) Combustion air supply (intake)

- Combustion and ventilation air must be adequate, and inlets must be unobstructed.

- When the tank is located in an attic with loose-fill insulation present, blocking shall be installed to comply with Section 37 Attic and Ceiling Insulation.

4.1.4(a6) The identification label, safety information, and lighting instructions shall be identified and made easily accessible.

- A flap (top-hinged when possible) shall be cut in the blanket to provide access (Fig. 14-3).
- Flaps shall be held closed with tape.
  - A minimum of one tape strip shall be installed along the slit opposite the flap hinge.
  - All slits longer than 12" shall be secured with tape installed lengthwise along the slit.
- Flaps shall be labeled in permanent ink to identify what is underneath. (e.g., safety instructions).

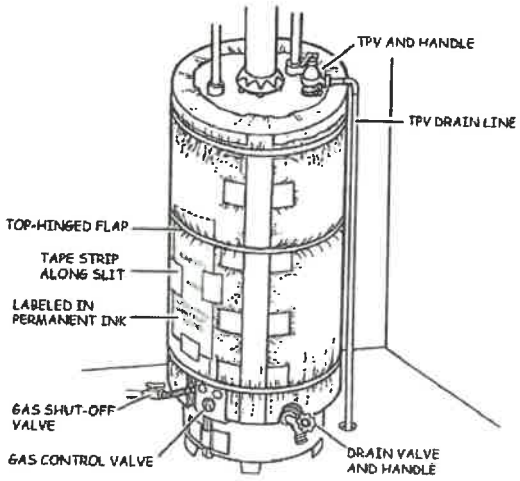

FIG. 14-3: GAS WATER HEATER COVERAGE

4.1.4(b) Electric water heaters:

4.1.4(b1) The top of tank shall be completely covered with insulation (Fig. 14-4).

4.1.4(b2) Side insulation shall:

- Completely surround the tank to provide 100% coverage
- Extend down to the bottom of the drain valve neck

4.1.4(b3) The locations of the upper and lower thermostats and ID labels will be marked and made easily accessible.

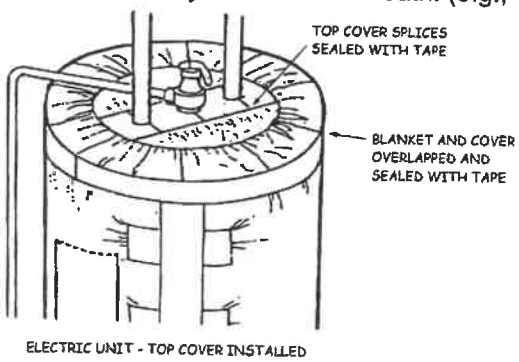

FIG. 14-4: ELECTRIC UNIT—TOP OF TANK COVERED

- The blanket shall be cut on the sides and bottom to create a top-hinged flap over the ID label and each thermostat cover plate.
- Each flap shall be labeled in permanent ink to identify what is underneath (e.g., thermostat or ID label) (Fig. 14-5).
- A minimum of one tape strip shall be installed along the slit opposite the flap hinge.
- All slits longer than 12" shall be secured with tape installed lengthwise along the slit.

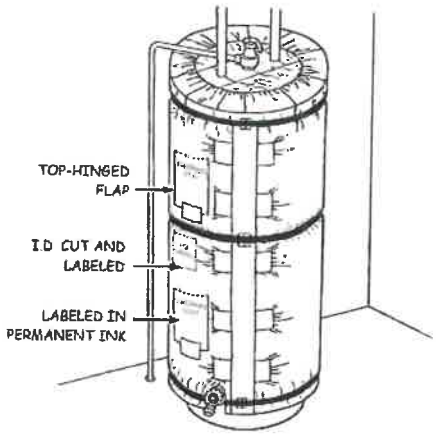

FIG. 14-5: ELECTRIC WATER HEATER SAFETY INSTRUCTIONS

4.1.5 Top Seams and Edges

4.1.5(a) Gas water heaters:

4.1.5(a1) The top edge of the blanket shall be sealed to the top of the tank with tape around the entire perimeter of the tank (Fig. 14-2).

4.1.5(b) Electric water heaters:

4.1.5(b1) The perimeter of the top cover shall be sealed to the top edge of the blanket with tape (Fig. 14-4).

4.1.5(b2) All seams and slits in the cover shall be sealed with tape.

4.1.6 Side Seams and Bottom Edge

4.1.6(a) Cross straps:

4.1.6(a1) All splices shall be reinforced with cross straps of tape at least 10" long and be located a maximum of 18" apart (Fig. 14-6).

4.1.6(b) Splices with flaps of facing material:

4.1.6(b1) Flaps shall be at least 2" wide.

4.1.6(b2) Pieces shall be joined securely and sealed with tape the full length of the flap.

4.1.6(c) Splices without flaps:

4.1.6(c1) The blanket shall be overlapped at least 2".

4.1.6(c2) Seams shall be sealed with tape the full length of the splice.

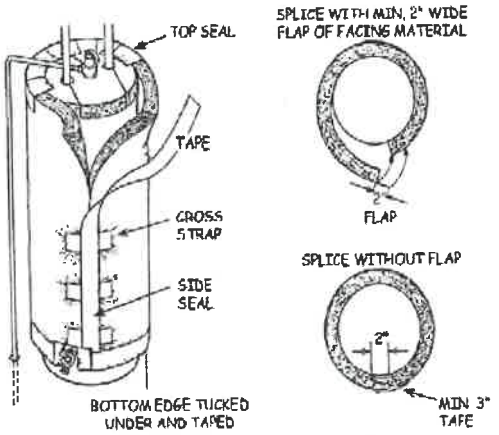

FIG. 14-6: TOP, SIDES, AND FLAPS SEALED WITH TAPE

4.1.6(d) Bottom edge on water heaters within the living space (not in an enclosure):

4.1.6(d1) The bottom edge of the fiberglass shall not be left exposed.

- The bottom edge shall be sealed to the tank with tape, or
- The facing shall be tucked under and permanently taped in place

4.1.7 Blanket Straps and Buckles

4.1.7(a) A minimum of three blanket straps shall be installed in addition to tape (Fig. 14-7).

4.1.7(b) Straps shall be secured with buckles or other mechanical strap locks; tying of straps is not allowed.

4.1.7(c) Straps shall be installed as follows:

4.1.7(c1) One strap within the top ⅓ of the blanket

4.1.7(c2) One strap within the bottom ⅓ of the blanket

4.1.7(c3) One strap midway on the blanket

4.1.7(d) Straps shall not be placed over thermostat cover plates, controls, valves, or the burner access door.

4.1.7(e) Straps shall provide a snug fit with minimum compression of the blanket under the straps only.

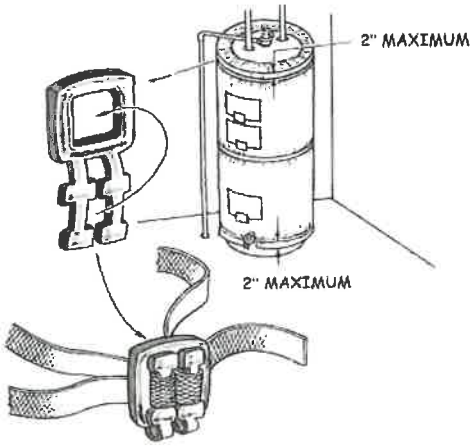

FIG. 14-7: WATER HEATER BLANKET STRAP AND BUCKLE

4.1.8 Temperature and Pressure Protection

4.1.8(a) For all water heaters:

4.1.8(a1) A TPV shall be present and located within 6" of the tank.

4.1.8(a2) Valves shall not be covered by the blanket

4.1.8(a3) The end of the TPV drain line shall:

- Be open and unobstructed (not capped or plugged)
- Not be covered or obstructed by the blanket

4.1.8(a4) If a TPV drain line is not present and cannot be corrected under Section 13 Water Heaters—Gas, Electric, and Heat Pump, insulation can be installed but shall not obstruct the valve outlet.

4.1.8(b) For gas water heaters:

4.1.8(b1) The tank shall be protected by a TPV or automatic gas shutoff valve (AGSV) located within 6" of the tank.

4.1.8(b2) The AGSV (if present) and gas pipe/flex to/from the AGSV shall not be covered.

4.1.9 Tank Drain Valve

4.1.9(a) For all water heaters:

4.1.9(a1) The tank drain valve shall not be covered by the blanket.

4.1.9(a2) A minimum ½" clearance is required between the blanket and the valve.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Independent Water Heaters

6.1.1(a) Independent (in-unit) water heater insulation installation requirements are the same as those for conventional homes.

6.1.2 Common Water Heater System (Serving Multiple Dwelling Units)

6.1.2(a) When a water heater serves multiple-units, the conventional home standards apply.

6.1.2(b) Installation of insulation on a common water heater is not allowed when only an individual unit will be served.

6.1.3 Common Area Water Heaters

6.1.3(a) Common area installation is allowed when justified by the DOE Priority List or as an Audit path, general heat waste measure for a multi-family whole-building project (e.g., installation on a water heater located in a kitchen, laundry room, hallway, etc. within the same thermal boundary as the dwelling units). See Appendix D Energy Audit/Priority List Protocol.

6.1.3(b) Installation is not allowed when only an individual unit will be served.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure may be a DOE Audit path, General Heat Waste measure, or Priority List path, Optional measure.

7.1.2 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.4 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.5 To assess for this measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.5(a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.5(b) When assessing for this measure for the Audit path, this measure is a DOE Audit path, General Heat Waste (GHW) measure. The measures in this category include air filters, faucet aerators, low-flow showerheads, thermostatic showerheads, water heater insulation (blankets), and water heater pipe insulation.

7.1.5(b1) When installing this measure as part of the Audit path work scope, a Measure SIR and Dwelling SIR are not required.

7.1.5(b2) The maximum installed cost for all Audit path, GHW measures is $250.

7.1.5(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.5(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.5(c2) This measure is a PL path Optional water measure. The measures in this category include faucet aerators, low-flow showerheads, thermostatic shower heads, water heater blankets, and water heater pipe insulation.

7.1.5(c3) When installing this measure as part of the PL path work scope, a Measure SIR and Dwelling SIR are not required.

7.1.5(c4) The maximum installed cost for all PL water measures is $250.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP except as specified below.

TABLE 14-1: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
7.0301.2d	Tank Insulation	Maintain a minimum clearance of 6" between combustible tank insulation and fuel-fired water heater draft hood and/or single wall metal vent materials.	X	X	X

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Ensure water heater blanket:

8.1.1(a) Is installed securely and properly

8.1.1(b) Does not impede safe operation of the water heater

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

8.3.2 Furniture and other household items moved for installation work shall be returned to their original positions.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 4 years

9.1.2 DOE: 13 years

9.2 Blanket Material

9.2.1 Maximum flame-spread index of 25 and maximum smoke-developed index of 450, per American Society for Testing and Materials (ASTM) E84, or Underwriters Laboratories (UL) 723, or National Fire Protection Association (NFPA) 255

9.2.2 Mineral fiber only, with vinyl or fiber-reinforced foil facing

9.2.3 LIHEAP minimum R-value: R-6

9.2.4 DOE storage water heaters: Minimum R-10 (must be clearly labeled with R-value)

9.2.5 DOE non-fired central units: Minimum R-12.5 (must be clearly labeled with R-value)

9.3 Straps and Buckles

9.3.1 Maximum flame-spread index of 25 and maximum smoke-developed index of 50 per ASTM E84, or UL 723, or NFPA 255

9.3.2 Polypropylene blanket straps and compatible buckles or other mechanical strap locks

9.4 Tape

9.4.1 Maximum flame-spread index of 25 and maximum smoke-developed index of 50 per ASTM E84, UL 723, or NFPA 255

9.4.2 Vinyl or fiber-reinforced foil compatible with or the same material as the facing. (See Blanket Material.)

9.4.3 Minimum width 3"

9.4.4 Duct tape is not allowed

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

15. Pipe Insulation—Water Heater and Exterior

Table of Contents

1. **MEASURE OBJECTIVES** **15-1**

2. **INSTALL THIS MEASURE WHEN:** **15-1**
   - 2.1. Repair 15-1
   - 2.2. Install 15-1
     - *2.2.1 Water Heater Pipe Insulation* *15-1*
     - *2.2.2 Exterior Pipe Insulation* *15-1*

3. **DO NOT INSTALL THIS MEASURE WHEN:** **15-1**
   - 3.1. Do Not Repair or Install 15-1
     - *3.1.1 Water Heater Pipe Insulation* *15-1*
     - *3.1.2 Exterior Pipe Insulation* *15-1*

4. **INSTALLATION GUIDELINES** **15-2**
   - 4.1. General Requirements 15-2
     - *4.1.1 Water Heater Pipe Insulation* *15-2*
   - 4.2. Installation Procedure 15-2
     - *4.2.1 Water Heater Pipe Insulation* *15-2*
     - *4.2.2 Exterior Pipe Insulation* *15-3*

5. **MOBILE HOME–SPECIFIC** **15-3**
   - 5.1. Installation Requirements 15-3

6. **MULTI-FAMILY–SPECIFIC** **15-4**
   - 6.1. Installation Requirements 15-4
     - *6.1.1 Water Heater Pipe Insulation* *15-4*
     - *6.1.2 Exterior Pipe Insulation* *15-4*

7. **DOE-SPECIFIC** **15-4**
   - 7.1. Assessment Requirements 15-4
     - *7.1.1 Water Heater Pipe Insulation* *15-4*
     - *7.1.7 Exterior Pipe Insulation* *15-5*
   - 7.2. Installation Requirements 15-5
     - *7.2.1 Water Heater Pipe Insulation* *15-5*

8. **POST-INSTALLATION GUIDELINES** **15-5**
   - 8.1. Quality Check 15-5
   - 8.2. Client Education 15-5

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8.3. Clean-Up and Disposal Requirements 15-5

9. MATERIAL SPECIFICATIONS 15-5

10. WARRANTY 15-6

Pipe Insulation—Water Heater and Exterior

1. MEASURE OBJECTIVES

1.1 Water heater pipe insulation saves energy by reducing the heat loss from water pipes.

1.2 Exterior pipe insulation protects exterior water entrance pipe and valves from freeze damage.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Trimming and/or securing of existing water pipe insulation to prevent a fire hazard is required if adequate clearances are not met and the client is not physically capable of making the corrections. Refer to Section 1 General Installation Guidelines, Limited Home Repair.

2.2. Install

2.2.1 Water Heater Pipe Insulation

2.2.1 (a) The water heater is a storage or tankless unit and

2.2.1 (b) Exposed hot and cold water piping from the water heater is present or

2.2.1 (c) The existing insulation is substandard, e.g. with gaps, reduced R-value, water damage, or physical damage

2.2.2 Exterior Pipe Insulation

2.2.2 (a) Water entrance pipe is not insulated, or existing insulation is not serviceable (e.g., degraded, damaged, lacking in integrity, etc.)

2.2.2 (b) The piping is free from water leaks and properly secured

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1. Do Not Repair or Install

3.1.1 Water Heater Pipe Insulation

3.1.1 (a) The water heater or piping does not provide hot water to the dwelling being served

3.1.1 (b) The cold or hot water pipe is inaccessible

3.1.1 (c) Less than 1' of continuous insulation would be installed

3.1.1 (d) Pipe configuration does not allow proper installation

3.1.1 (e) Any combustion appliance safety (CAS) hazard or CAS fail cannot be corrected per Appendix A Combustion Appliance Safety Protocol

3.1.1 (f) A water line leak or electrical hazard is present, or the water heater requires repair or replacement that cannot be corrected per Section 13 Water Heaters—Gas, Electric, and Heat Pump.

3.1.1 (g) Polyvinyl chloride (PVC) piping is present on the cold or hot water line to or from the tank

3.1.1 (h) The appliance platform or enclosure floor under the tank is not structurally sound (see Section 13 Water Heaters—Gas, Electric, and Heat Pump) and cannot be corrected per Section 1 General Installation Guidelines, Limited Home Repair

3.1.1 (i) The tank piping is located in an unprotected area that is exposed to the weather

3.1.1 (j) Installation would violate the Appendix E Health and Safety Requirements

3.1.1 (k) The client refuses after measure benefits have been explained by the assessor

3.1.2 Exterior Pipe Insulation

3.1.2 (a) The water entrance pipe has serviceable pipe insulation already in place

3.1.2 (b) The water entrance pipe is leaking or is in substandard condition

3.1.2 (c) Installation would violate the Appendix E Health and Safety Requirements

3.1.2 (d) The client refuses after measure benefits have been explained by the assessor

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Pipe Insulation—Water Heater and Exterior

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Water Heater Pipe Insulation

4.1.1 (a) Existing water heater repair and replacement or correction of a CAS hazard, CAS fail, or electrical fail shall be completed before water heater pipe insulation is installed.

4.2. Installation Procedure

4.2.1 Water Heater Pipe Insulation

4.2.1 (a) Insulation shall be installed on hot and cold water pipes that are:

4.2.1 (a1) Connected to the water heater (including tankless)

4.2.1 (a2) Rigid or flexible lines

4.2.1 (a3) Free of leaks

4.2.1 (a4) Under continuous water pressure

4.2.1 (b) Coverage

4.2.1 (b1) Insulation shall cover all accessible portions of the first 5' of the cold water pipe, all accessible hot water pipe, and all pipe subject to freezing.(e.g., exterior split-system heat pump pipes) (Fig. 15-1).

4.2.1 (b2) Insulation shall begin at the tank unless prevented by the clearance requirement. (See Clearances and Coverage Restrictions.)

4.2.1 (b3) Elbows and curves shall be covered without gaps.

4.2.1 (b4) Valves shall be covered, but handles shall be left clear and unobstructed.

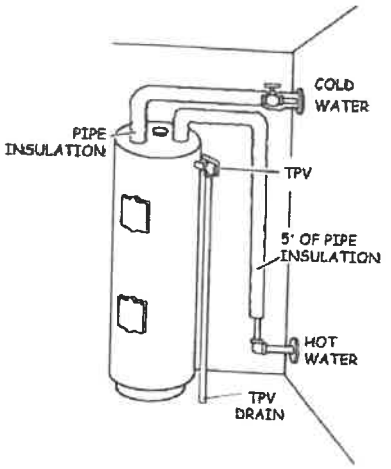

FIG. 15-1: PIPE INSULATION COVERAGE REQUIREMENTS

4.2.1 (c) Coverage Restrictions

4.2.1 (c1) For all units, insulation shall not cover:

- The temperature and pressure valve (TPV) or automatic gas shutoff valve (AGSV)
- Valve handles
- Control and safety devices
- The TPV drain line
- Leaking pipes
- Pumps

4.2.1 (d) Clearances

4.2.1 (d1) Pipe insulation shall be placed to maintain the following clearances from gas unit components, or as specified by the pipe listing.

- Single-wall pipe and draft hood: 6" clearance
- Type B double-wall pipe: 1" clearance
- Type L double-wall pipe: 3" clearance
- Draft hood opening: Shall not be obstructed

4.2.1 (d2) Confirm sufficient clearance exists between pipes and heat-producing devices (combusting venting)

4.2.1 (e) Pre-Formed Pipe Insulation

4.2.1 (e1) Slits shall be positioned downward on horizontal pipe.

4.2.1 (e2) Insulation shall be mitered and/or notched on bends, corners, and joints to provide complete closure without gaps (Fig. 15-2).

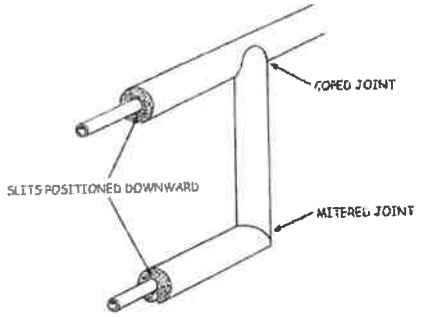

FIG. 15-2: PROPER INSTALLATION OF PRE-FORMED INSULATION

4.2.1 (f) General Attachment Requirements

4.2.1 (f1) Insulation shall be firmly secured with ultraviolet (UV)-rated plastic cable ties, tape, wire, or sleeves (Fig. 15-3).

4.2.1 (f2) All slits and joints shall be glued or taped to achieve complete closure.

4.2.1 (f3) Tape shall be used on bends, 90° elbows, and joints.

4.2.1 (f4) Attachments shall be installed:

- A maximum of 12" apart and
- Within 1" of each end
- With approved adhesives
- With ¼" total compression at ends only

4.2.1 (f5) Sleeves for attachment shall not compress insulation.

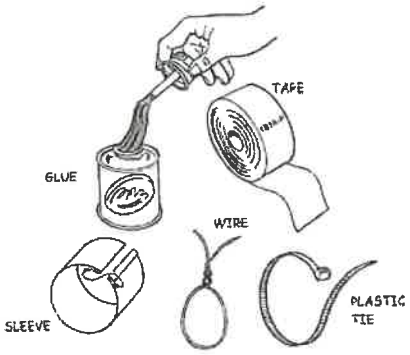

FIG. 15-3: INSULATION ATTACHMENT OPTIONS

4.2.2 Exterior Pipe Insulation

4.2.2 (a) Pipe insulation shall be installed on all exposed, outdoor piping, joints, elbows, valve bodies, etc.

4.2.2 (b) Insulation shall not interfere with valve operation.

4.2.2 (c) Insulation material shall be cut and folded or otherwise molded to completely cover all sections of the system without compressing the insulation or allowing gaps to occur in the insulation.

4.2.2 (d) If the diameter of fittings at connections and corners is larger than the piping, those fittings shall be covered with insulation that matches their outside diameter.

4.2.2 (e) Insulation shall be firmly secured to the piping system with weather-resistant and UV-resistant covering and fasteners.

4.2.2 (f) Pre-formed pipe insulation

4.2.2 (f1) Slits shall be positioned toward the building

4.2.2 (f2) Insulation shall be mitered and/or notched on bends, corners, and joints to provide complete closure without gaps.

4.2.2 (f3) Insulation shall be firmly secured.

4.2.2 (g) Foam insulation

4.2.2 (g1) All slits, and joints shall be glued or taped to achieve complete closure.

4.2.2 (g2) Attachments shall be installed:

- A maximum of 12" apart and within 1" of each end
- With ¼" total compression at ends only

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Water Heater Pipe Insulation

6.1.1 (a) Independent Water Heater

6.1.1 (a1) Independent (in-unit) water heater pipe insulation installation requirements are the same as those for conventional homes.

6.1.1 (b) Common Water Heater System (Serving Multiple Dwelling Units)

6.1.1 (b1) When a water heater serves multiple-units, the conventional home standards apply.

6.1.1 (b2) Installation of pipe insulation on a common water heater is not allowed when only an individual unit will be served.

6.1.1 (c) Common Area Water Heaters

6.1.1 (c1) Common area installation is allowed when justified by the DOE Priority List or as an Audit path, general heat waste measure for a multi-family whole-building project (e.g., installation on a water heater located in a kitchen, laundry room, hallway, etc. within the same thermal boundary as the dwelling units). See Appendix D Energy Audit/Priority List Protocol.

6.1.1 (c2) Installation is not allowed when only an individual unit will be served.

6.1.2 Exterior Pipe Insulation

6.1.2 (a) When only an individual multi-family unit will be served, installation requirements are the same as those for conventional homes.

6.1.2 (b) There are no multi-family whole-building installation requirements. The conventional home (single-family) criteria apply to all multi-family whole-building installations.

6.1.2 (c) Common area installation is not allowed when only an individual unit in a multi-family building will be served.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 Water Heater Pipe Insulation

7.1.2 This measure may be a DOE Audit path, General Heat Waste measure, or Priority List path, Optional measure.

7.1.3 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.4 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.4 (a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.5 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.6 To assess for this measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.6 (a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.6 (b) When assessing for this measure for the Audit path, this measure is a DOE Audit path, General Heat Waste (GHW) measure. The measures in this category include air filters, faucet aerators, low-flow showerheads, thermostatic showerheads, water heater insulation (blankets), and water heater pipe insulation.

7.1.6 (b1) When installing this measure as part of the Audit path work scope, a Measure SIR and Dwelling SIR are not required.

7.1.6 (b2) The maximum installed cost for all Audit path, GHW measures is $250.

7.1.6(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.6(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.6(c2) This measure is a PL path Optional water measure. The measures in this category include faucet aerators, low-flow showerheads, thermostatic shower heads, water heater blankets, and water heater pipe insulation.

7.1.6(c3) When installing this measure as part of the PL path work scope, a Measure SIR and Dwelling SIR are not required.

7.1.6(c4) The maximum installed cost for all PL water measures is $250.

7.1.7 Exterior Pipe Insulation

7.1.7(a) This is not a DOE measure.

7.2. Installation Requirements

7.2.1 Water Heater Pipe Insulation

7.2.1(a) Installation requirements for DOE are the same as those for LIHEAP.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Ensure:

8.1.1(a) The insulation covers all applicable areas.

8.1.1(b) The attachment method complies with this standard.

8.1.1(c) Proper clearances are maintained.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 Water Heater Pipe Insulation

9.1.1(a) LIHEAP: 10 years

9.1.1(b) DOE: 13 years

9.1.2 Exterior Pipe Insulation

9.1.2(a) LIHEAP: 10 years

9.1.2(b) DOE: Not applicable to this measure.

9.2 All materials shall have a maximum flame-spread index of 25 and maximum smoke-developed index of 450 per American Society of Testing and Materials (ASTM) E84, Underwriters Laboratories (UL) 723, or Uniform Building Code (UBC) Standard 8-1.

9.3 Glue shall be compatible with insulation material and manufacturer's instructions.

9.4 Water heater pipe insulation material shall:

9.4.1 Be resistant to degradation from moisture, ultra-violet light, and extremes in temperature, or a jacket or facing.

9.4.2 Be made of pre-formed foam (e.g. closed-cell polyethylene) that conforms to ASTM C534

9.4.2(a) The inside diameter of the pre-formed material shall be appropriate for the size of the pipe being insulated

9.4.3 Be rated for temperatures up to 180°F

9.4.4 Have a minimum thickness per Table 15-1:

TABLE 15-1: PIPE INSULATION THICKNESS

Pipe Diameter	Thickness	Min. R-Value
<1"	1"	R-7.7
1"–<1½"	1½"	R-12.5
1½"–<4"	1½"	R-11

9.5 Pipe Insulation Types Not Allowed

9.5.1 Sheet or semi-molded insulation

9.5.2 Heat tape or strap insulation

9.6 Exterior pipe insulation shall be either:

9.6.1 Pre-formed fiberglass insulation

9.6.1(a) Self-sealing lap fiberglass pipe insulation, rated for exterior use

9.6.1(b) Designed to be secured and sealed to be watertight with exterior-rated materials

9.6.2 Pre-formed foam insulation:

9.6.2(a) Made of pre-formed foam (e.g. closed-cell polyethylene) that conforms to ASTM C534

9.6.2(a1) The inside diameter of the pre-formed material shall be appropriate for the size of the pipe being insulated

9.7 Tape shall be:

9.7.1 Specified by insulation manufacturer or

9.7.2 Minimum 2"-wide pressure-sensitive metallic tape labeled UL 181A-P or UL 181B-FX

9.7.2(a) Cloth duct tape and electrical tape are not allowed.

9.8 Ties shall be:

9.8.1 UV-rated plastic cable ties or

9.8.2 Corrosion-resistant wire and metal sleeves

10. WARRANTY

Install

10.1 Contractor—1 year

10.2 Manufacturer—1 year

16. Electric Water Heater Timers

Table of Contents

1. **MEASURE OBJECTIVES** **16-1**

2. **INSTALL THIS MEASURE WHEN:** **16-1**
   - 2.1. Repair 16-1
   - 2.2. Install 16-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **16-1**

4. **INSTALLATION GUIDELINES** **16-1**
   - 4.1. General Requirements 16-1
     - *4.1.1 Electrical Wiring* *16-1*
     - *4.1.2 Location* *16-1*
   - 4.2. Installation Procedure 16-2
     - *4.2.1 Mounting the Timer* *16-2*
     - *4.2.2 Timer Setting* *16-2*

5. **MOBILE HOME–SPECIFIC** **16-2**
   - 5.1. Installation Requirements 16-2

6. **MULTI-FAMILY–SPECIFIC** **16-2**
   - 6.1. Installation Requirements 16-2

7. **DOE-SPECIFIC** **16-2**
   - 7.1. Assessment Requirements 16-2

8. **POST-INSTALLATION GUIDELINES** **16-3**
   - 8.1. Quality Check 16-3
   - 8.2. Client Education 16-3
   - 8.3. Clean-Up and Disposal Requirements 16-3

9. **MATERIAL SPECIFICATIONS** **16-3**

10. **WARRANTY** **16-3**

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Electric Water Heater Timers

1. MEASURE OBJECTIVES

1.1 An electric water heater timer saves energy by providing power to the water heater only during specified periods.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure

2.2. Install

2.2.1 An electric water heater is present and

2.2.2 No operable timer is present

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The water heater does not provide hot water to the dwelling being served

3.2 An existing electric water heater timer is operable and functioning properly

3.3 The electric water heater:

3.3.1 Does not use electric resistance heating coils or

3.3.2 Exceeds 7.5 kilowatt (kW) electrical capacity

3.4 A water line leak or electrical hazard is present, or the water heater requires repair or replacement that cannot be corrected per Section 13 Water Heaters—Gas, Electric, and Heat Pump

3.5 Polyvinyl chloride (PVC) piping is present on the cold or hot water line to or from the tank

3.6 The appliance platform or enclosure floor under the tank is not structurally sound (see Section 13 Water Heaters—Gas, Electric, and Heat Pump) and cannot be corrected per Section 1 General Installation Guidelines, Limited Home Repair

3.7 Installation would violate the Appendix E Health and Safety Requirements

3.8 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Electrical Wiring

4.1.1 (a) Wiring shall be properly sized for the electrical load.

4.1.1 (b) The water heater timer shall be connected to the fuse box or electric service breaker with proper overcurrent protection.

4.1.1 (c) Exposed wiring shall be enclosed in conduit/raceway.

4.1.2 Location

4.1.2 (a) When the water heater is not in an outdoor-rated enclosure, it must be in a protected area (not exposed to weather):

4.1.2 (a1) Indoors or

4.1.2 (a2) Inside an outdoor enclosure or

4.1.2 (a3) In an outdoor covered area where the roof or overhang extends away a minimum of 4' on all exposed sides

4.1.2(b) Outdoor installation of the timer is allowed only when access to the timer would otherwise be difficult for occupants (e.g., when the tank is located under the house or when there is restricted crawlspace access).

4.1.2(c) The timer and housing shall be rated for the location in which they are mounted (e.g., damp or wet location).

4.1.2(d) The electrical wiring shall be protected from the weather (e.g., with waterproof conduit and fittings) and properly secured.

4.2. Installation Procedure

4.2.1 Mounting the Timer

4.2.1(a) The timer shall be securely mounted:

4.2.1(a1) To framing members or solid wood sheathing with screws or

4.2.1(a2) To gypsum with anchoring devices (e.g., drive anchors, "molly bolts" or other expansion anchors) (Fig. 16-1)

4.2.1(b) Mounting of the timer on the water heater is acceptable only when allowed by the manufacturer's instructions.

4.2.2 Timer Setting

4.2.2(a) The timer setback period shall be minimum 8 hours.

4.2.2(b) Program a minimum of two setback periods per 24-hour day.

4.2.2(c) Allow a minimum of 2 hours between settings.

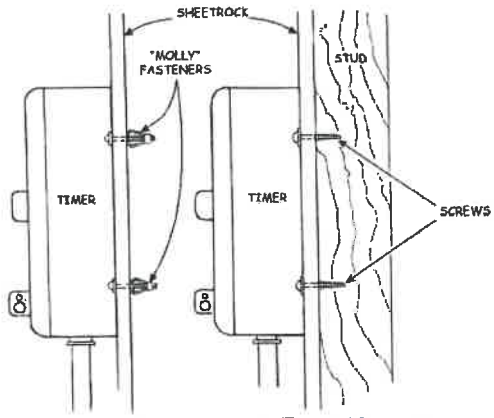

FIG. 16-1: WATER HEATER TIMER MOUNTING

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.2 Electrical wiring shall conform with Housing and Community Development (HCD) and Housing and Urban Development (HUD) code requirements.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (i.e., individual unit and whole-building) are the same as those for conventional homes.

6.1.2 Installation of this measure on a common system that serves multiple units is not allowed.

6.1.3 Common area installation of this measure (e.g., in a kitchen, laundry room, etc. within the same thermal boundary as the dwelling units) is not allowed when only an individual unit is served.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 The timer shall be checked to ensure proper operation.

8.1.2 The timer shall be set to accommodate the client's hot water requirements (minimum two setback cycles per day).

8.1.3 The water heater thermostat shall be set at 120°F or as prescribed by local code.

8.1.4 Installers shall allow for client comfort in programming the timer.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure-specific verbal and written instructions include:

8.2.2(a) Potential danger when adjusting an outdoor timer in damp or wet conditions.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 4 years

9.1.2 DOE: Not applicable to this measure

9.2 All Water Heater Timers

9.2.1 Electrical Specification

9.2.1(a) The electrical circuit current capacity shall be greater than the maximum requirements of the water heater.

9.3 Timer Mechanism

9.3.1 The timer mechanism shall be:

9.3.1(a) Underwriters Laboratory (UL)-listed or equivalent

9.3.1(b) An electromechanical or digital timing mechanism

9.3.1(b1) An electromechanical timer should have captive trippers when feasible.

9.4 Outdoor Use

9.4.1 The timer shall be located in a National Electrical Manufacturers Association (NEMA) 3-, 4-, or 6-series weatherproof enclosure for outdoor use.

9.5 Programming Capability

9.5.1 The timer must have:

9.5.1(a) A manual override switch

9.5.1(b) Seven-day programmability

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

17. Faucet Aerators

Table of Contents

1. **MEASURE OBJECTIVES** 17-1

2. **INSTALL THIS MEASURE WHEN:** 17-1
   - 2.1. Repair 17-1
   - 2.2. Install 17-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** 17-1

4. **INSTALLATION GUIDELINES** 17-1
   - 4.1. General Requirements 17-1
   - 4.2. Installation Procedure 17-1

5. **MOBILE HOME-SPECIFIC** 17-1
   - 5.1. Installation Requirements 17-1

6. **MULTI-FAMILY–SPECIFIC** 17-2
   - 6.1. Installation Requirements 17-2

7. **DOE-SPECIFIC** 17-2
   - 7.1. Assessment Requirements 17-2
   - 7.2. Installation Requirements 17-2

8. **POST-INSTALLATION GUIDELINES** 17-3
   - 8.1. Quality Check 17-3
   - 8.2. Client Education 17-3
   - 8.3. Clean-Up and Disposal Requirements 17-3

9. **MATERIAL SPECIFICATIONS** 17-3

10. **WARRANTY** 17-3

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Faucet Aerators

1. MEASURE OBJECTIVES

1.1 Installation of an aerator reduces water and energy consumption by limiting the flow of water through the faucet.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 The faucet delivers heated water from the client's water heater and

2.2.2 The existing faucet/aerator maximum flow rates exceeds the following:

2.2.2(a) Kitchen: 1.8 gallons per minute (gpm), with optional temporary flow of 2.2 gpm at 60 lb. per sq. in. (psi)

2.2.2(b) Bath: 1.2 gpm at 60 psi

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The existing faucet is not operable or meets low-flow guidelines

3.2 The faucet or faucet threads are damaged, leaking, or incompatible with a standard size aerator

3.3 Removal of an existing aerator will cause damage to the aerator or faucet

3.4 The faucet has special fitting for attaching appliances (e.g., a portable dishwasher)

3.5 Installation would violate the Appendix E Health and Safety Requirements

3.6 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Verify current plumbing infrastructure is sufficient to support the installation.

4.1.2 Water will be evaluated for debris that may clog the equipment.

4.1.3 Water flow that satisfies the occupant (without exceeding maximum flow rate) will be provided by all faucet aerators.

4.2. Installation Procedure

4.2.1 Close the sink drain to prevent loss of parts.

4.2.2 Prevent damage to the faucet finish (if using pliers).

4.2.3 Seal the threaded fitting with one layer of plumber's tape, when feasible.

4.2.3(a) Thread the new aerator onto the spout. Do not over-tighten.

4.2.3(b) Avoid cross-threading.

5. MOBILE HOME-SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 Common area installation is allowed when justified by energy audit for a whole-building project (e.g., in a kitchen, laundry room, etc. within the same thermal boundary as the dwelling units). See Appendix D Energy Audit/Priority List Protocol.

6.1.2(a) Common area installation is not allowed when only an individual unit in a multi-family building will be served.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure may be a DOE Audit path, General Heat Waste measure, and Priority List path, Optional measure.

7.1.2 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.4 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.5 To assess for this measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.5(a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.5(b) When assessing for this measure for the Audit path, this measure is a DOE Audit path, General Heat Waste (GHW) measure. The measures in this category include air filters, faucet aerators, low-flow showerheads, thermostatic showerheads, water heater blankets, and water heater pipe insulation.

7.1.5(b1) When installing this measure as part of the Audit path work scope, a Measure SIR and Dwelling SIR are not required.

7.1.5(b2) The maximum installed cost for all Audit path, GHW measures is $250.

7.1.5(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.5(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.5(c2) This measure is a PL path Optional water measure. The measures in this category include faucet aerators, low-flow showerheads, thermostatic shower heads, water heater blankets, and water heater pipe insulation.

7.1.5(c3) When installing this measure as part of the PL path work scope, a Measure SIR and Dwelling SIR are not required.

7.1.5(c4) The maximum installed cost for all PL water measures is $250.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Operate the faucet to check for leaks and adequate water flow.

8.1.1(a) If a leak is present, tighten the aerator in small increments until the leaking stops. Do not over-tighten.

8.1.1(b) If necessary, replace or adjust the gasket washer and sealant tape.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 4 years

9.1.2 DOE: Not applicable to this measure

9.2 Aerators shall:

9.2.1 Be metal (e.g., chrome-plated brass)

9.2.2 Conform to the American National Standards Institute (ANSI)/American Society of Mechanical Engineers (ASME) A112.18.1 (2012)

9.2.3 Have a maximum flow rate of:

9.2.3(a) Kitchen: 1.8 gpm with optional temporary flow of 2.2 gpm at 60 psi

9.2.3(b) Bath: 1.2 gpm at 60 psi

10. WARRANTY

10.1 Manufacturer—3 years

10.2 Contractor—1 year

18. Low-Flow Showerheads

Table of Contents

1. **MEASURE OBJECTIVES** **18-1**

2. **INSTALL THIS MEASURE WHEN:** **18-1**
   - 2.1. Repair 18-1
   - 2.2. Install 18-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **18-1**

4. **INSTALLATION GUIDELINES** **18-1**
   - 4.1. General Requirements 18-1
   - 4.2. Installation Procedure 18-1

5. **MOBILE HOME–SPECIFIC** **18-2**
   - 5.1. Installation Requirements 18-2

6. **MULTI-FAMILY–SPECIFIC** **18-2**
   - 6.1. Installation Requirements 18-2

7. **DOE-SPECIFIC** **18-2**
   - 7.1. Assessment Requirements 18-2
   - 7.2. Installation Requirements 18-3

8. **POST-INSTALLATION GUIDELINES** **18-3**
   - 8.1. Quality Check 18-3
   - 8.2. Client Education 18-3
   - 8.3. Clean-Up and Disposal Requirements 18-3

9. **MATERIAL SPECIFICATIONS** **18-3**

10. **WARRANTY** **18-4**

Low-Flow Showerheads

1. MEASURE OBJECTIVES

1.1 Low-flow showerheads save water and energy compared to standard showerheads.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 The existing showerhead has a flow rate >1.8 gallons per minute (gpm)

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The client requires the existing showerhead for medical reasons

3.2 The existing shower arm is plastic, broken, missing, or corroded

3.3 A non-standard adapter would be required

3.4 The shower is not mechanically functional

3.5 There are broken/missing tiles or holes in the wall or surrounding surfaces (Fig. 18-1)

3.6 Visual inspection indicates the piping is in such poor condition that showerhead installation could cause water leaks or other plumbing problems

3.7 Installation would violate the Appendix E Health and Safety Requirements

3.8 The client refuses after measure benefits have been explained by the assessor

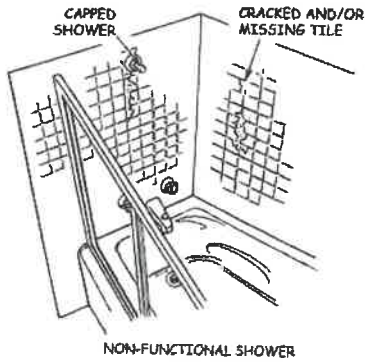

FIG. 18-1: FEATURES THAT PREVENT MEASURE INSTALLATION

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Handheld or standard showerheads may be installed.

4.1.2 Verify current plumbing infrastructure is sufficient to support the installation.

4.1.3 Repair or replace the shower diverter, if needed.

4.1.4 When a thermostatic shower valve (TSV) will be installed at same time, refer to Section 19 Thermostatic Shower Valves and Showerheads.

4.1.5 Select features to meet any special needs of the occupant (e.g., shut-off, swivel, handheld showerhead).

4.1.6 If multiple heads are provided in a single shower, the total flow rate for all showerheads controlled by one valve should not exceed 1.8 gpm at 80 lb. per sq. in. (psi).

4.1.7 Water flow that satisfies the occupant (without exceeding maximum flow rate) will be provided by all showerheads.

4.2. Installation Procedure

4.2.1 Remove the existing showerhead.

4.2.2 Clean any debris that might clog the showerhead.

4.2.3 Clean the threads on the shower arm and seal them with plumber's tape.

4.2.4 The shower arm shall not be removed or replaced.

4.2.5 Thread the showerhead (and adapter, if needed) onto the arm (Fig. 18-2).

4.2.6 Handheld showerheads shall attach to the shower arm, not the wall.

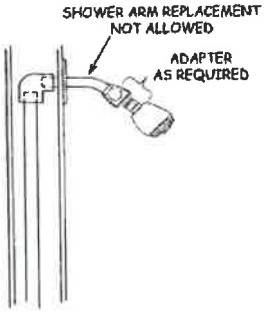

FIG. 18-2: LOW-FLOW SHOWERHEAD

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 Common area installation is allowed when justified by energy audit for a whole-building project (e.g., in a kitchen, laundry room, etc. within the same thermal boundary as the dwelling units). See Appendix D Energy Audit/Priority List Protocol.

6.1.2(a) Common area installation is not allowed when only an individual unit in a multi-family building will be served.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure may be a DOE Audit path, General Heat Waste measure, or Priority List path, Optional measure.

7.1.2 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.4 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.5 To assess for this measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.5(a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.5(b) When assessing for this measure for the Audit path, this measure is a DOE Audit path, General Heat Waste (GHW) measure. The measures in this category include air filters, faucet aerators, low-flow showerheads, thermostatic showerheads, water heater insulation (blankets), and water heater pipe insulation.

7.1.5(b1) When installing this measure as part of the Audit path work scope, a Measure SIR and Dwelling SIR are not required.

7.1.5(b2) The maximum installed cost for all Audit path, GHW measures is $250.

7.1.5(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.5(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.5(c2) This measure is a PL path Optional water measure. The measures in this category include faucet aerators, low-flow showerheads, thermostatic shower heads, water heater blankets, and water heater pipe insulation.

7.1.5(c3) When installing this measure as part of the PL path work scope, a Measure SIR and Dwelling SIR are not required.

7.1.5(c4) The maximum installed cost for all PL water measures is $250.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Operate the showerhead to check the connections for leaks and adequate water flow.

8.1.1(a) If a leak is present, tighten the showerhead in small increments until the leaking stops. Do not over-tighten.

8.1.1(b) If necessary, replace or adjust the gasket washer and sealant tape.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 4 years

9.1.2 DOE: 15 years

9.2 All showerheads shall:

9.2.1 Be the pressure-compensating type for consistent performance (i.e., to maintain a constant temperature under varying pressures)

9.2.2 Have a maximum flow rate of 1.8 gpm at 80 psi

9.3 Wall-mount showerheads shall:

9.3.1 Be the "self-cleaning" type or able to be cleaned without being unscrewed from the shower arm

9.3.2 Be the non-aerating type

9.3.3 Have a metal ball joint (e.g., chrome-plated brass)

9.4 Handheld showerheads

9.4.1 Hose: Minimum 48" length, capable of swiveling at both ends, and constructed of reinforced (e.g., with nylon) flexible vinyl or polyvinylchloride (PVC) material

9.4.2 Mounting bracket: Designed to attach to the shower arm (not the wall) and constructed of heavy-duty thermoplastic (e.g., acrylonitrile-butadiene-styrene [ABS]) or equivalent with an all-metal swivel ball (e.g., chrome-plated brass)

9.4.3 Attachment: Fit standard-thread shower arms and standard adapters

9.4.4 Anti-siphon valve

9.5 Showerarm adapters shall:

9.5.1 Be metal (e.g., chrome-plated brass)

9.5.2 Have a ½" national pipe taper (NPT) fitting on the showerhead end

10. WARRANTY

10.1 Manufacturer—3 years

10.2 Contractor—1 year

19. Thermostatic Shower Valves and Showerheads

Table of Contents

1. **MEASURE OBJECTIVES** **19-1**

2. **INSTALL THIS MEASURE WHEN:** **19-1**
   - 2.1. Repair 19-1
   - 2.2. Install 19-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **19-1**

4. **INSTALLATION GUIDELINES** **19-1**
   - 4.1. General Requirements 19-1
   - 4.2. Installation Procedure 19-1

5. **MOBILE HOME–SPECIFIC** **19-2**
   - 5.1. Installation Requirements 19-2

6. **MULTI-FAMILY–SPECIFIC** **19-2**
   - 6.1. Installation Requirements 19-2

7. **DOE–SPECIFIC** **19-2**
   - 7.1. Assessment Requirements 19-2
     - *7.1.1 Thermostatic Shower Valve* *19-2*
     - *7.1.2 Thermostatic Showerhead* *19-2*
   - 7.2. Installation Requirements 19-3

8. **POST-INSTALLATION GUIDELINES** **19-3**
   - 8.1. Quality Check 19-3
   - 8.2. Client Education 19-3
   - 8.3. Clean-Up and Disposal Requirements 19-3

9. **MATERIAL SPECIFICATIONS** **19-3**

10. **WARRANTY** **19-4**

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Thermostatic Shower Valves and Showerheads

1. MEASURE OBJECTIVES

1.1 Thermostatic shower valves (TSVs) and thermostatic showerheads save water and energy by reducing shower flow to a trickle after a set temperature level is reached.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 The shower is functional and the measure is not already installed

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 Visual inspection indicates that the piping is in such poor condition that installation of a TSV or a thermostatic showerhead could damage the plumbing

3.2 The existing shower arm:

3.2.1 Is made of plastic (including ball joint)

3.2.2 Is cracked, broken, or missing

3.2.3 Requires removal or replacement

3.2.4 Requires an adapter, and standard metal adapters will not work

3.3 Hot water is provided by an on-demand (tankless) water heater or circulating pump

3.4 Installation would violate the Appendix E Health and Safety Requirements

3.5 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Thermostatic component options are:

4.1.1(a) TSV only (Fig. 19-1)

4.1.1(b) Thermostatic showerhead (Fig. 19-2)

4.1.2 If the existing showerhead output is ≤1.8 gallons per minute (gpm), the addition of only a TSV is allowed.

4.1.3 When the existing showerhead output is >1.8 gpm, it must be replaced with a thermostatic showerhead.

4.1.3(a) A shower arm adapter shall be installed when required for installation of the thermostatic showerhead.

4.1.4 Verify current plumbing infrastructure is sufficient to support the installation.

Photo Credit: Evolve Technologies LLC

FIG. 19-1: THERMOSTATIC SHOWER VALVE (TSV)

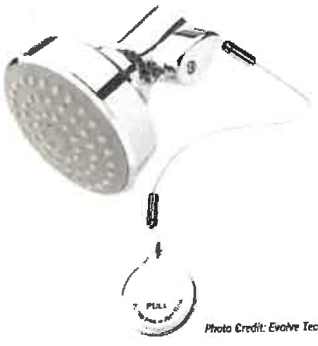

Photo Credit: Evolve Technologies LLC

FIG. 19-2: THERMOSTATIC SHOWERHEAD

4.2. Installation Procedure

4.2.1 Remove the existing showerhead.

4.2.2 Clean any debris that clogs the showerhead.

4.2.3 The shower arm shall not be removed or replaced.

4.2.4 Clean the threads on the shower arm and seal them with plumber's tape.

4.2.5 Thread the TSV/showerhead (and adapter, if needed) onto the arm (Fig. 19-3) and tighten it.

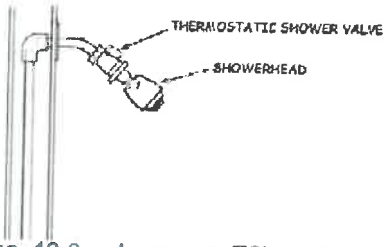

FIG. 19-3: INSTALLED TSV AND SHOWERHEAD

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 Common area installation is allowed when justified by energy audit for a whole-building project (e.g., in a kitchen, laundry room, etc. within the same thermal boundary as the dwelling units). See Appendix D Energy Audit/Priority List Protocol.

6.1.2(a) Common area installation is not allowed when only an individual unit in a multi-family building will be served.

7. DOE–SPECIFIC

7.1. Assessment Requirements

7.1.1 Thermostatic Shower Valve

7.1.1(a) This is not a DOE measure.

7.1.2 Thermostatic Showerhead

7.1.3 This measure may be a DOE Audit path, General Heat Waste measure, or Priority List path, Optional measure.

7.1.4 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.5 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.5(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.6 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.7 To assess for this measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.7(a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.7(b) When assessing for this measure for the Audit path, this measure is a DOE Audit path, General Heat Waste (GHW) measure. The measures in this category include air filters, faucet aerators, low-flow showerheads, thermostatic showerheads, water heater insulation (blankets), and water heater pipe insulation.

7.1.7(b1) When installing this measure as part of the Audit path work scope, a Measure SIR and Dwelling SIR are not required.

7.1.7(b2) The maximum installed cost for all Audit path, GHW measures is $250.

7.1.7(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.7(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.7(c2) This measure is a PL path Optional water measure. The measures in this category include faucet aerators, low-flow showerheads, thermostatic shower heads, water heater blankets, and water heater pipe insulation.

7.1.7(c3) When installing this measure as part of the PL path work scope, a Measure SIR and Dwelling SIR are not required.

7.1.7(c4) The maximum installed cost for all PL water measures is $250.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE (for thermostatic showerheads) are the same as those for LIHEAP.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Operate the shower to confirm that:

8.1.1(a) Water flow reduces to a trickle when the water heats up beyond the set level

8.1.1(b) Water flow is reactivated with the manual control

8.1.1(c) Connections do not leak

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Occupants receiving a TSV or thermostatic showerhead shall be educated regarding the risk of sudden water temperature changes.

8.2.2(a) Sudden temperature changes are more prevalent in older homes with undersized piping and no temperature-compensating shower valve.

8.2.2(b) Education shall include explanation of the following:

8.2.2(b1) The TSV or thermostatic showerhead will not protect against scalding.

8.2.2(b2) Use of a nearby cold water fixture (e.g., toilet or faucet) can cause a sudden increase in water temperature in the shower (possible scalding).

8.2.2(b3) Use of hot water elsewhere in the home (e.g., clothes washer, dishwasher, hot water faucet, etc.) can cause a sudden decrease in water temperature in the shower.

8.2.2(b4) To save energy and decrease the chance of scalding, the water heater thermostat should be set no higher than 120°F.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: TSV/thermostatic showerhead—10 years

9.1.2 DOE:

9.1.2(a) TSV—Not applicable to this measure

9.1.2(b) Thermostatic showerhead—15 years

9.2 All TSVs and thermostatic showerheads shall be:

9.2.1 Compliant with International Association of Plumbing and Mechanical Officials Guide Criteria (IAPMO IGC) 244-2015A

9.2.2 Threaded to attach to showerheads and shower arms with ½" national pipe taper (NPT) fittings.

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

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20. High-Efficiency Toilets

Table of Contents

1. **MEASURE OBJECTIVE** **20-1**

2. **INSTALL THIS MEASURE WHEN:** **20-1**
   - 2.1. Repair 20-1
   - 2.2. Install 20-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **20-1**

4. **INSTALLATION GUIDELINES** **20-1**
   - 4.1. General Requirements 20-1
     - *4.1.2 Procedure to Estimate Flush Volume* *20-1*
     - *4.1.3 Procedure to Measure Flush Volume* *20-2*
   - 4.2. Installation Procedure 20-2
     - *4.2.1 Toilet Removal and Preparation* *20-2*
     - *4.2.2 Floor Repair* *20-2*
     - *4.2.3 Flange Replacement* *20-2*
     - *4.2.4 Toilet Installation* *20-3*
     - *4.2.5 Tank Installation* *20-3*
     - *4.2.6 Water Shut-Off Valve* *20-3*
     - *4.2.7 Water Supply Line* *20-3*
     - *4.2.8 Final Installation Procedures* *20-3*

5. **MOBILE HOME–SPECIFIC** **20-3**
   - 5.1. Installation Requirements 20-3

6. **MULTI-FAMILY–SPECIFIC** **20-4**
   - 6.1. Installation Requirements 20-4

7. **DOE-SPECIFIC** **20-4**
   - 7.1. Assessment Requirements 20-4

8. **POST-INSTALLATION GUIDELINES** **20-4**
   - 8.1. Quality Check 20-4
   - 8.2. Client Education 20-4
   - 8.3. Clean-up and Disposal Requirements 20-4

9. **MATERIAL SPECIFICATIONS** **20-4**

10. **WARRANTY** **20-5**

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High-Efficiency Toilets

1. MEASURE OBJECTIVE

1.1 A high-efficiency toilet reduces water and wastewater costs in comparison to a less efficient toilet.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 Required by the local jurisdiction as a condition of final permit and

2.2.2 The existing toilet has a flush volume greater than the criteria set by the local jurisdiction

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The flush volume of the existing toilet is ≤ 1.6 gallons per flush (gpf)

3.2 The home was built and available for occupancy on or after January 2, 1994

3.3 The home is a registered historic site

3.4 There is inadequate anchor bolt distance from the rear wall (rough-in)

3.5 There is inadequate clearance on the sides of the toilet, above the tank, or to the front of the toilet

3.6 There is significant floor damage that cannot be corrected within this measure

3.7 There is water leakage, corrosion, or a malfunction at the water shut-off valve that cannot be corrected by valve replacement

3.8 Installation would violate the Appendix E Health and Safety Requirements

3.9 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Permit

4.1.1(a) If the local jurisdiction requires a permit for toilet replacement, one shall be obtained and finalized.

4.1.1(b) When a permit for a separate weatherization measure requires toilet replacement, client refusal of the replacement may make the other measure not feasible by association.

4.1.2 Procedure to Estimate Flush Volume

4.1.2(a) Estimate the flush volume of existing toilets using one of the following information sources:

4.1.2(a1) The gpf written on the bowl rim (newer, low-volume toilets)

4.1.2(a2) The manufacture date (vintage) or gpf stamped inside the tank or on the underside of the lid (older units)

- When the manufacturing date is available, see Table 20-1 to determine flush volume.

4.1.2(a3) Pressure-assist toilets can be assumed have a flush volume of 1.6 gpf or less.

TABLE 20-1: TYPICAL FLUSH VOLUME FOR TOILET VINTAGE

Toilet Vintage	Typical Flush Volume
Before 1985	5–7 gpf
Between 1985–1989	3.5 gpf
Between 1990–1993	3.5–1.6 gpf It is required to determine the flush volume.
Between 1994–2013	1.6 gpf Toilet does not qualify for replacement.
After January 1, 2014	1.28 gpf Toilet does not qualify for replacement.

4.1.2(b) If the toilet's label is written in liters, convert to gallons using this equation:

Liters x 0.2642 = Gallons

4.1.2(b1) If it is not possible to determine the flush volume from the labeling or vintage, use the Procedure to Measure Flush Volume.

4.1.3 Procedure to Measure Flush Volume

4.1.3(a) Remove any water-saving devices in the tank and allow the tank to fill completely.

4.1.3(b) Turn off the water supply.

4.1.3(c) Use a pencil to mark the water level inside the tank.

4.1.3(d) Flush the toilet.

4.1.3(e) Use a calibrated measuring container to fill the tank to the pencil line.

4.1.3(f) Record the volume of water used to fill the tank (gpf).

4.1.3(g) Turn on the water supply to return the toilet to normal operation.

4.1.3(h) Ensure the toilet flushes and refills properly, the water stops running into the tank and bowl, and the flapper is seated properly.

4.2. Installation Procedure

4.2.1 Toilet Removal and Preparation

4.2.1(a) Remove the toilet.

4.2.1(b) Remove the existing anchor bolts.

4.2.1(c) The toilet flange and the floor area under the toilet shall be cleaned and checked for damage.

4.2.1(d) A flange extension may be used if the toilet flange is too low (per the toilet manufacturer's specification, typically ¼" above the floor).

4.2.2 Floor Repair

4.2.2(a) When the toilet is unstable due to a damaged/degraded floor, repairs to the floor must be made before the new toilet is installed.

4.2.2(b) Replace damaged wood flooring material and weakened framing members.

4.2.2(b1) Secure wooden materials with corrosion-resistant anchors.

4.2.2(c) Install floor covering (e.g., vinyl) as needed to facilitate installation of new toilet.

4.2.2(c1) Ensure the level of the replacement material matches the existing floor level.

4.2.3 Flange Replacement

4.2.3(a) Replace the toilet flange (Fig. 20-1) if it is damaged.

FIG. 20-1: TOILET FLANGE

4.2.3(b) When the waste pipe is cast iron:

4.2.3(b1) Remove the existing flange and replace it with plastic parts

4.2.3(b2) Care must be taken to not damage or break the cast iron pipe

4.2.3(c) When the toilet flange is secured by screws, they must penetrate solid material.

4.2.3(d) Install a flange extension when needed to raise the toilet flange to the required height.

4.2.4 Toilet Installation

4.2.4(a) Set the toilet over the bolts, pressing the wax ring firmly into place over the toilet flange.

4.2.4(b) Ensure the toilet sits flat on the floor, is level, and does not rock.

4.2.4(b1) Install toilet shims as needed.

4.2.4(b2) Trim shims at the edge of the toilet.

4.2.4(c) Trim long toilet anchor bolts to allow for cap installation.

4.2.4(d) Use manufacturer-supplied installation hardware.

4.2.5 Tank Installation

4.2.5(a) With the tank-to-bowl spud washer in place, hand-tighten the tank bolts evenly, then tighten them slightly with a wrench.

4.2.5(b) If there is a leak when the tank is filled with water, tighten the bolts enough to stop the leak. (Avoid over-tightening.)

4.2.6 Water Shut-Off Valve

4.2.6(a) When the existing valve is defective or leaking, install a new water shut-off valve.

4.2.6(b) Apply pipe joint compound or plumber's tape to the threaded nipple.

4.2.6(c) Tighten the valve onto the threads and test for leaks.

4.2.7 Water Supply Line

4.2.7(a) Install a new, braided, flexible toilet tank supply line of the proper length in accordance with the manufacturer's instructions.

4.2.8 Final Installation Procedures

4.2.8(a) Fasten the toilet seat in a centered position.

4.2.8(b) Secure toilet to flange with a new gasket.

4.2.8(c) Flush toilet to make sure there are no leaks between the flange and the toilet.

4.2.8(d) Apply a consistent bead of caulk to form a watertight seal between the toilet and the floor (Fig. 20-2).

4.2.8(d1) Caulk shall neatly and completely cover shims when they are present.

FIG. 20-2: SEALANT BEAD APPLIED AROUND THE ENTIRE BASE OF THE TOILET

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.2 Carefully inspect the waste line if it is older plastic piping (e.g., polybutylene).

5.1.3 Polybutylene pipe (gray tubing made between the late 1970s–mid-1990s) can be fragile and subject to leaking. It must be evaluated by an experienced plumber to determine if toilet replacement is feasible.

5.1.4 When the existing piping can safely be used, a transition shall be installed as needed to properly join the new pipe to the old plastic pipe.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a lobby, entertainment room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 The tank shall be filled and flushed at least two times.

8.1.2 All joints shall be checked for water leaks and tightened as needed for a proper seal.

8.1.3 The toilet shall be level, solid, and secure.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 20 years

9.1.2 DOE: Not applicable to this measure

9.2 Accessories

9.2.1 Water Shut-Off Valve (Angle Stop) and Supply Line

9.2.1(a) The water supply line shall be braided hose with brass fittings.

9.2.1(b) The water shut-off valve shall comply with International Association of Plumbing and Mechanical Officials (IAPMO) and California Plumbing Code (CPC) requirements.

9.2.2 Wax Ring with Flange

9.2.2(a) The ring shall be thick or reinforced wax with a polyethylene flange that complies with Federal Specification (FS) TT-P-1536A.

9.2.2(a1) A flange is not required when a second ring is placed on top of the first for additional thickness.

9.2.3 Replacement Toilet Anchor Bolts ("Johnny Bolts"), Washers, and Nuts

9.2.3(a) Replacement hardware shall be:

9.2.3(a1) Brass bolts:, 2¼" length by 5⁄16" diameter minimum, with captive corrosion-resistant (e.g., stainless steel) washers included to secure the flange bolt in an upright position

9.2.3(a2) Brass open-cap acorn nuts

9.2.4 Toilet bolt caps shall be plastic or ceramic, color-matched to the toilet.

9.2.5 Replacement plastic toilet flanges and toilet flange extensions and spacers shall comply with American Society of Mechanical Engineers (ASME) A112.4.3.

9.2.6 Toilet shims shall be:

9.2.6(a) White plastic or other waterproof material for use with toilets

9.2.6(b) Snap-off shims or shims that are easy to trim with a sharp knife

9.3 Toilets shall:

9.3.1 Be WaterSense-labeled

9.3.2 Be single-flush rated 1.28 gpf or less

9.3.3 Have a maximum performance rating of ≥350 grams

9.3.4 Have a fully glazed, 2" minimum trapway

9.3.5 Have an elongated or round bowl per availability, client preference, and location dimensions and clearances

9.3.6 Have a minimum 15" bowl height (excluding seat) for a standard toilet

9.3.6(a) When Americans with Disabilities Act (ADA) compliance is required, the vertical distance from the finished floor to the top of the seat shall be a minimum 15" and maximum 19".

9.3.6(b) Unit height shall be selected in accordance with the client's physical needs and wishes.

9.4 Flooring Material

9.4.1 Plywood shall be exterior-grade, pressure-treated, or marine-grade material.

9.4.2 Replacement flooring shall match the height of the surrounding floor material.

9.4.3 Additional support to joists shall be installed when needed to make the floor solid.

9.5 Caulk (to seal between the toilet base and the floor) shall:

9.5.1 Be mold-resistant acrylic latex or equivalent

9.5.2 Comply with American Society of Testing and Materials (ASTM) C834, C920, or C1311

9.6 The toilet seat shall be thermoplastic (e.g., polypropylene injection molded plastic) or thermoset (e.g., Thermodur® or Duroplast®).

10. WARRANTY

10.1 Manufacturer—3 years

10.2 Contractor—1 year

21. Cooktops, Ovens, and Ranges

Table of Contents

1. MEASURE OBJECTIVES 21-1

2. INSTALL THIS MEASURE WHEN: 21-1

2.1. Repair/Install 21-1

2.2. Repair 21-1

2.3. Install 21-1

3. DO NOT INSTALL THIS MEASURE WHEN: 21-1

3.1. Do Not Repair/Install 21-1

3.2. Do Not Install 21-1

4. INSTALLATION GUIDELINES 21-2

4.1. General Requirements 21-2

4.1.2 Beyond Program Scope Documentation 21-2

4.1.3 Client Advisory Conditions 21-2

4.1.5 Fuel Switching 21-2

4.1.6 Installation Location 21-2

4.1.7 Clearance Requirements for Cooktops and Ranges 21-2

4.1.8 Clearance Requirements for Built-in Ovens 21-3

4.2. Installation Procedure 21-3

4.2.1 Electrical Circuit 21-3

4.2.2 Receptacle 21-3

4.2.2(a) 120-volt receptacle 21-3

4.2.2(b) 240-volt receptacle 21-3

4.2.3 Gas Pre-Check 21-4

4.2.3(a) Gas leaks 21-4

4.2.3(b) Pressure 21-4

4.2.3(c) Gas shut-off valve 21-4

4.2.4 Anti-Tip/Tilt Device for a Range 21-4

4.2.5 Positioning 21-4

5. MOBILE HOME-SPECIFIC 21-5

5.1. Installation Requirements 21-5

5.1.6 Gas Cooking Appliances 21-5

6. MULTI-FAMILY-SPECIFIC 21-5

6.1. Installation Requirements 21-5

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7. DOE-SPECIFIC 21-5

7.1. Assessment Requirements 21-5

7.1.3 Mobile Home Combustion Appliances 21-6

8. POST-INSTALLATION GUIDELINES 21-6

8.1. Quality Check 21-6

8.2. Client Education 21-6

8.3. Clean-Up and Disposal Requirement 21-6

9. MATERIAL SPECIFICATIONS 21-6

10. WARRANTY 21-8

Cooktops, Ovens, and Ranges

1. MEASURE OBJECTIVES

1.1 A properly functioning gas or electric cooking appliance provides safe cooking, energy efficiency, and convenience.

1.1.1 Cooktop: Built into a countertop

1.1.2 Oven: Built into a wall

1.1.3 Range: Freestanding or slide-in combination of cooktop and oven

2. INSTALL THIS MEASURE WHEN:

2.1. Repair/Install

2.1.1 A cooktop, oven, or range is causing a combustion appliance safety (CAS) hazard per Appendix A Combustion Appliance Safety Protocol or is creating an electrical or gas hazard

2.2. Repair

2.2.1 A gas range oven will not stay lit and cannot be tested

2.2.2 One or more burners can be repaired

2.3. Install

2.3.1 Repair costs would exceed 50% of replacement costs or

2.3.2 Repair parts are obsolete (not available)

2.3.3 Repair is not feasible

2.3.4 Three or more burners are inoperable and one or more burners cannot be repaired

2.3.5 An oven door does not close properly because it is sprung or damaged

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1. Do Not Repair/Install

3.1.1 The existing cooking appliance operates safely

3.1.2 The appliance is not the dwelling's primary cooking appliance

3.1.3 At least two cooktop or range burners are operable and no hazard is present

3.1.4 Installation would violate the Appendix E Health and Safety Requirements

3.1.5 The client refuses after measure benefits have been explained by the assessor

3.2. Do Not Install

3.2.1 The oven in a range is inoperable but the cooktop burners work and there is no carbon monoxide (CO) hazard

3.2.2 The available location is not acceptable (e.g., there are inadequate clearances or access, or the floor/wall/cabinet will not withstand the weight)

3.2.3 An existing kitchen exhaust is present and is not operating properly or does not meet clearance requirements and cannot be corrected per Section 11 Kitchen Exhaust

3.2.4 The electrical or gas supply is inaccessible or is substandard, and correction is beyond the scope of the program

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4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 For gas appliances, CAS testing must be performed before any repair or replacement activities. See Appendix A Combustion Appliance Safety Protocol.

4.1.2 Beyond Program Scope Documentation

4.1.2(a) When repair or replacement of the cooking appliance is beyond the program scope:

4.1.2(a1) Detailed documentation of the reason is required

4.1.2(a2) The client will be offered the opportunity to abandon the appliance

4.1.2(a3) If the client does not have a microwave oven to use as an alternative cooking appliance, one shall be offered. (See Section 22 Microwave Ovens.)

4.1.3 Client Advisory Conditions

4.1.3(a) If a gas leak is not present and CO levels are within acceptable limits, the following are considered client advisory conditions per Appendix A Combustion Appliance Safety Protocol. Such conditions do not require correction and do not prevent duct and shell sealing or other infiltration reduction measures:

4.1.3(a1) The pilot does not work, but the burner(s) can be lit with a match or lighter.

4.1.3(a2) A burner knob/valve is frozen, or a burner will not light for some other reason (including with a match or lighter).

4.1.3(a3) Up to two cooktop burners or the oven/broiler burner are non-operational.

4.1.4 Do not install a new appliance with damage or defects.

4.1.5 Fuel Switching

4.1.5(a) Fuel switching requires waiver approval in advance by CSD.

4.1.5(a1) The appliance shall be verified to be compatible with the fuel used (i.e., natural gas or liquid propane.

4.1.5(b) Conversion kits must be supplied/specified by the cooking appliance manufacturer.

4.1.6 Installation Location

4.1.6(a) The floor or support surface must be stable, solid, level, and capable of properly supporting the cooking appliance.

4.1.6(a1) Bracing shall be installed when the installation location does not have a solid floor or support surface to safely support the weight of the cooking appliance.

4.1.6(a2) Cooking appliance support or base surface material shall meet the temperature (minimum 194°F) and strength requirements specified by the cooking appliance manufacturer.

4.1.6(b) The floor covering will not be carpet unless it is allowed by the manufacturer.

4.1.6(c) For gas appliances, openings in the base of a cooking appliance that supply combustion ventilation air to the unit must not be obstructed.

4.1.6(d) Location shall provide ample room to fully open the oven door without being obstructed by surrounding cabinets or appliances.

4.1.7 Clearance Requirements for Cooktops and Ranges

4.1.7(a) Horizontal and vertical clearances will be as specified by the appliance manufacturer, or by local code if more stringent.

4.1.7(b) If not specified, the following minimum guidelines apply (Fig. 21-1):

4.1.7(b1) Minimum 30" of vertical clearance between the cooking surface and overhead combustible material or metal cabinets

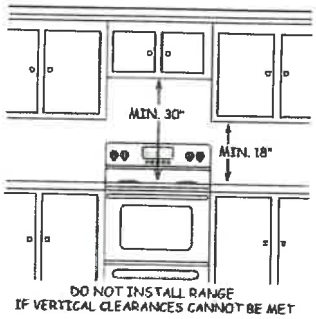

FIG. 21-1: CLEARANCE REQUIREMENTS

4.1.7(b2) Minimum 24" vertical clearance between the cooking surface and an overhead ventilating hood or sheet metal–clad insulating board

4.1.7(b3) Minimum 18" vertical clearance between the cooking surface and cabinets located within 6" on either side of the range

4.1.7(c) If vertical clearance to unprotected cabinets above the unit is less than 30" and a protective shield or kitchen exhaust is not present at least 24" above the cooktop, then:

4.1.7(c1) A code-compliant protective shield will be installed or

4.1.7(c2) A qualifying kitchen exhaust will be installed with an approved CSD waiver (see Section 11 Kitchen Exhaust) or

4.1.7(c3) Cooking appliance replacement is not possible and will not be attempted

4.1.7(d) If a listed microwave oven is located above the cooking appliance, vertical clearance from it to the cooktop will comply with the microwave oven listing and manufacturer's instructions.

4.1.7(e) If a kitchen exhaust is present, clearance may be reduced if the manufacturer's instructions specify reduced vertical clearance to the exhaust fan.

4.1.7(f) If modifications are necessary to adjust clearances to meet requirements, the feasibility of such modification will be verified prior to installation of the new cooking appliance.

4.1.8 Clearance Requirements for Built-in Ovens

4.1.8(a) Horizontal and vertical clearances must comply with the appliance manufacturer and local code if more stringent.

4.1.8(b) Manufacturer supplied pedestal or trim kit shall be installed when required to meet the manufacturer specified height and width clearances.

4.1.8(c) The cabinet cutout shall be deep enough to fit the oven.

4.1.8(c1) Trim on the face of the oven shall sit flush against the cabinet.

4.1.8(c2) Wiring and/or gas connectors shall not be kinked or pinched between the back of the cabinet and the oven.

4.2. Installation Procedure

4.2.1 Electrical Circuit

4.2.1(a) Verify that the existing electrical circuit conforms—or can be made to conform—with the manufacturer's instructions and local code. (See Section 1 General Installation Guidelines, Electrical Guidelines.)

4.2.1(b) All electrical alterations shall be performed by a qualified technician.

4.2.2 Receptacle

4.2.2(a) 120-volt receptacle

4.2.2(a1) The outlet must be properly grounded if required by the manufacturer.

4.2.2(a2) If installing a new receptacle, see Section 1 General Installation Guidelines, Electrical Guidelines.

- The receptacle may be oriented upside-down (with the ground slot positioned upward) if the power cord has a right-angle plug with the ground prong positioned at the top (Fig. 21-2).

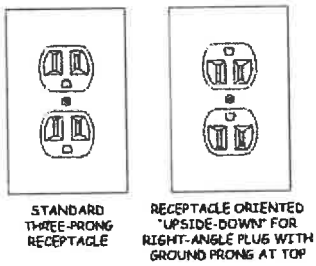

FIG. 21-2: ELECTRIC RECEPTACLE UPSIDE DOWN

4.2.2(a3) Ground fault circuit interrupter (GFCI) option

- See Section 1 General Installation Guidelines, Electrical Guidelines.

4.2.2(b) 240-volt receptacle

4.2.2(b1) For electric appliances, a 240-volt receptacle (e.g., National Electrical Manufacturers Association [NEMA]–type 14-50R four-wire or 10-50R three-wire) is required (Fig. 21-3).

4.2.2(b2) Power supply cord (pigtail) or direct wire cable and strain relief (Fig. 21-4):

- If not factory-installed, attach the conductors to the cooking appliance main terminal block per manufacturer's instructions using the appropriate diameter hole in the mounting plate.
- Pull excess wire out of appliance compartment and install strain relief as instructed on the pigtail or "direct-wire" conduit.

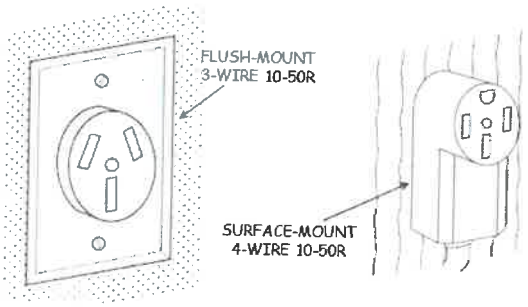

FIG. 21-3: COOKSTOVE ELECTRIC RECEPTACLES

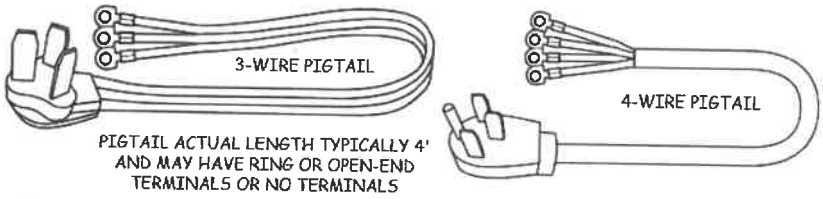

FIG. 21-4: POWER SUPPLY PIGTAILS FOR ELECTRIC COOKING APPLIANCES

- If converting from a three-wire to a four-wire (or vice versa), follow the manufacturer's instructions for connection to the stove.

4.2.2(c) Plug the appliance power cord directly into the receptacle. Do not connect a three-prong adapter or extension cord to the receptacle.

4.2.2(d) Do not plug the appliance power cord into a receptacle that is not properly secured or has an electrical hazard.

4.2.3 Gas Pre-Check

4.2.3(a) Gas leaks

4.2.3(a1) Prior to removal of the existing cooking appliance, check the gas piping for leaks using the procedures prescribed in Appendix A Combustion Appliance Safety Protocol.

4.2.3(b) Pressure

4.2.3(b1) Gas pressure in the gas line serving the cooking appliance must be within the limits prescribed by the manufacturer.

4.2.3(b2) The gas supply line must have a pressure regulator.

4.2.3(b3) When a cooking appliance is replaced and the flame's appearance is over- or undersized, the pressure will be checked by a qualified technician.

4.2.3(c) Gas shut-off valve

4.2.3(c1) Install a new gas shut-off valve and connection components.

- See instructions in Section 1 General Installation Guidelines, Appliance Repair/Replacement.

4.2.4 Anti-Tip/Tilt Device for a Range

4.2.4(a) When required by manufacturer, install an anti-tip device according to the manufacturer's instructions.

4.2.4(b) Verify proper installation by carefully attempting to tilt the range forward.

4.2.5 Positioning

4.2.5(a) Place the cooking appliance in its final position.

4.2.5(b) Guide the flexible gas line and power cord into a safe position with no kinks.

4.2.5(c) Check that the appliance is level using a spirit level placed diagonally on an oven shelf.

4.2.5(d) Adjust the leveling screws per the manufacturer's instructions until the appliance is level side-to-side and front-to-back.

4.2.5(e) Do not seal the cooking appliance to the side cabinets (e.g., with caulk).

5. MOBILE HOME-SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.2 Replacement will comply with standards specified by Housing and Community Development (HCD).

5.1.3 For electric appliances, the installed receptacle shall be a grounded four-wire type (e.g., NEMA 4-50R) if a four-wire circuit is present or required by HCD.

5.1.4 Minimum 24" of vertical clearance is required from the cooktop to the bottom of combustible cabinets.

5.1.5 The range will be secured to the floor when required by HCD regulations or manufacturer's instructions.

5.1.6 Gas Cooking Appliances

5.1.6(a) One of the following must be located within 10' of the replacement gas cooking appliance and must be vented outdoors:

5.1.6(a1) An operable exhaust fan (Fig. 21-5) with manual or automatic damper or

5.1.6(a2) A metal duct located above the cooktop with a cross-sectional area of at least 12.5 sq. in. and a minimum dimension of 2".

- If a range hood must be repaired or installed to meet these requirements, it shall comply with Section 11 Kitchen Exhaust.

5.1.6(b) If required ventilation is not present in the mobile home and cannot be provided, the home is eligible for non-infiltration measures only (the home is NIM) and a replacement gas cookstove shall not be installed.

FIG. 21-5: FAN OR PASSIVE VENT REQUIRED IN MOBILE HOME COOKING AREA

6. MULTI-FAMILY-SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a shared kitchen, entertainment room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

7.1.2 If the unit is identified as having operational issues that create an unsafe environment, the unit shall be repaired or replaced using alternative funding.

7.1.2(a) If alternative funding is not available, the appliance shall be removed with written client permission, or the condition requires home deferral.

7.1.2(b) The condition shall be documented on the CSD 542 Weatherization Deferral Form if alternative funding is not used to correct the condition.

7.1.3 Mobile Home Combustion Appliances

7.1.3(a) All cooking appliances left in place after weatherization in mobile homes must meet the Manufactured Home Construction and Safety Standards.

7.1.3(a1) If a client will not allow removal of an unsafe cooking appliance from the home, and repair or replacement is not feasible under LIHEAP, deferral is required.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Follow the manufacturer's start-up/test procedures to ensure proper operation of the cooktop and oven.

8.1.2 Verify that each new or repaired cooktop or range and oven burner operates properly.

8.1.3 After air is purged from the line, verify that the gas cooktop and oven burners light and burn properly over the full range (high to low).

8.1.4 Verify that the clock, timer, and electronic controls operate properly.

8.1.5 Perform troubleshooting per the manufacturer's instructions as needed to correct problems.

8.1.6 Perform post-CAS appliance repair/replacement testing for CO in accordance with the Appendix A Combustion Appliance Safety Protocol.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure-specific verbal and written instructions include:

8.2.2(a) Battery replacement if the range has a battery igniter.

8.2.2(b) The location of the gas shut-off valve, electrical shut-off, and GFCI (if installed).

8.2.2(c) The importance of using exhaust ventilation when cooking and keeping burners and broilers clean to limit the production of CO.

8.3. Clean-Up and Disposal Requirement

8.3.1 Follow the manufacturer's cleaning recommendations for the new appliance.

8.3.1(a) Remove from the appliance any marks and residue left by protective shipping material and smudges that occurred during shipping and installation.

8.3.1(b) Clean the cabinet, oven, cooktop, and controls.

8.3.2 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP:

9.1.1(a) Repair—4 years

9.1.1(b) Install—10 years

9.1.2 DOE: Not applicable to this measure

9.2 Gas Components

9.2.1 Replacement gas ranges must:

9.2.1(a) Be Canadian Standards Association (CSA)–certified, Underwriters Laboratories (UL)–listed, or equivalent

9.2.1(b) Comply with American National Standards Institute (ANSI) Z21.1

9.2.1(c) Have electronic ignition (shall not have standing pilots)

9.2.1(c1) Ranges with battery ignition are allowed.

9.2.1(c2) The range must be compatible with the fuel used (i.e., natural gas, liquid petroleum or electric).

9.2.1(d) Have sealed or standard burners

9.2.1(e) Have a standard oven

9.2.1(e1) Ranges with self-cleaning ovens are allowed.

9.2.2 Replacement gas cooktops require electronic ignition unless it is not possible to provide a 110-volt alternating current circuit to the cooktop location.

9.2.3 Gas shut-off valves and adapters will be new, brass, and CSA- or American Gas Association (AGA)–approved.

9.2.4 The flexible gas connector will be:

9.2.4(a) New coated or uncoated stainless steel up to 6' in length

9.2.4(b) Compliant with ANSI Z21.24/CSA 6.10 or AGA-approved

9.3 Electrical components supplied by the installer shall meet NEMA standards and be UL-listed or equivalent (e.g., power supply cord, circuit breaker or fuse, and receptacle).

9.3.1 The receptacle shall match the plug on the appliance power cord (pigtail) (e.g., NEMA type 14-50R four-wire or 10-50R three-wire 240-volt receptacle) and be approved by the manufacturer.

9.3.2 Replacement electric range or cooktops shall be:

9.3.2(a) UL-listed or equivalent

9.3.2(b) Compliant with local code

9.3.2(c) Sealed or standard design burners, with a standard oven

9.3.2(c1) Glass-top and self-cleaning models are allowed.

9.4 Replacement gas wall ovens shall be:

9.4.1 CSA-certified, UL-listed, or equivalent

9.4.2 Compliant with ANSI Z21.1

9.4.3 Equipped with electronic ignitions (shall not have standing pilot)

9.4.4 Single- or double-wall configuration, and may feature a self-cleaning mode

9.4.5 Approved for use in the planned installation location

9.4.5(a) Units to be installed undercounter must be labeled for undercounter installation.

9.5 Replacement electric wall ovens shall be:

9.5.1 UL-listed or equivalent

9.5.2 Compliant with local code

9.5.3 Single- or double-wall configuration, and may feature a self-cleaning mode

9.5.4 Approved for use in the planned installation location

9.5.4(a) Units to be installed undercounter must be labeled for undercounter installation.

10. WARRANTY

Repair

10.1 Manufacturer—90 days

10.2 Contractor—1 year

Install

10.3 Manufacturer—1 year

10.4 Contractor—1 year

22. Microwave Ovens

Table of Contents

1. **MEASURE OBJECTIVE** **22-1**

2. **INSTALL THIS MEASURE WHEN:** **22-1**
   - 2.1. Repair 22-1
   - 2.2. Install 22-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **22-1**

4. **INSTALLATION GUIDELINES** **22-1**
   - 4.1. General Requirements 22-1
   - 4.2. Installation Procedure 22-1
     - *4.2.2 Location* *22-1*
     - *4.2.4 Electrical Requirements* *22-1*
       - 4.2.4 (b) Ground-fault circuit interrupter (GFCI) 22-1
       - 4.2.4 (c) Three-prong adapter 22-2
       - 4.2.4 (d) Extension cord 22-2

5. **MOBILE HOME–SPECIFIC** **22-2**
   - 5.1. Installation Requirements 22-2

6. **MULTI-FAMILY–SPECIFIC** **22-2**
   - 6.1. Installation Requirements 22-2

7. **DOE-SPECIFIC** **22-2**
   - 7.1. Assessment Requirements 22-2

8. **POST-INSTALLATION GUIDELINES** **22-2**
   - 8.1. Quality Check 22-2
   - 8.2. Client Education 22-3
   - 8.3. Clean-Up and Disposal Requirements 22-3

9. **MATERIAL SPECIFICATIONS** **22-3**

10. **WARRANTY** **22-3**

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Microwave Ovens

1. MEASURE OBJECTIVE

1.1 A microwave oven saves energy when used in place of a conventional cooking appliance.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure

2.2. Install

2.2.1 No existing microwave oven is present

2.2.2 The existing microwave oven is inoperable or poses an electrical hazard

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 An appropriate location is not available

3.2 No acceptable electrical outlet is available, or the existing outlet is unsecured

3.3 An existing electrical hazard is present and is not correctable within the program scope

3.4 Installation would violate the Appendix E Health and Safety Requirements

3.5 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 The microwave oven shall be plugged into its own receptacle when feasible.

4.1.2 A broken or missing outlet cover plate shall be replaced before the measure is installed.

4.2. Installation Procedure

4.2.1 Installation shall not damage the counter or tabletop covering or interior finishes.

4.2.2 Location

4.2.2(a) The counter or tabletop shall be structurally adequate to safely support the microwave oven.

4.2.2(b) Clearances shall meet the manufacturer's specifications.

4.2.3 The microwave shall be installed in a level, plumb, and stable position, with leveling devices on the microwave oven adjusted accordingly.

4.2.4 Electrical Requirements

4.2.4(a) The microwave oven shall be connected to a grounded outlet per Section 1 General Installation Guidelines, Grounding Guidelines.

4.2.4(b) Ground-fault circuit interrupter (GFCI)

4.2.4(b1) A GFCI-protected receptacle may be used instead of a grounded three-prong receptacle, but only if acceptable to the occupants.

- The location for resetting the GFCI must be easily accessible.
- Advise occupants of the possibility of nuisance tripping.
- Instruct occupants in the use and resetting of the GFCI circuit.

4.2.4(c) Three-prong adapter

4.2.4(c1) Three-prong adapters (Fig. 22-1) may only be used when:

- Manufacturer's instructions do not prohibit an adapter and
- The adapter provides proper polarity and grounding to the appliance, with the adapter ground lug/wire securely attached to a grounding source, such as:
  - A grounded receptacle
  - A grounded electrical box
  - An alternate grounding conductor per Section 1 General Installation Guidelines, Grounding Guidelines

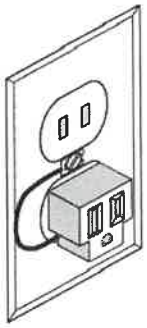

FIG. 22-1: GROUNDED THREE-PRONG ADAPTER

4.2.4(d) Extension cord

4.2.4(d1) One extension cord may be used only when allowed by the appliance manufacturer's instructions.

- Use the shortest feasible length, with a 6' maximum.

4.2.4(d2) The appliance cord and extension cord shall not be draped over a countertop or furnishings in a manner that allows access to children or creates a tripping hazard.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a shared kitchen, entertainment room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Test the unit to ensure it is operating properly.

8.1.2 Check the outlet for proper grounding.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 An existing inoperable/damaged microwave shall be removed from the home and disposed of properly:

8.3.1(a) Remove the microwave oven door to permanently disable the unit

8.3.1(b) Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 10 years

9.1.2 DOE: Not applicable to this measure

9.2 Counter space shall be considered when selecting the microwave oven capacity and power rating.

9.3 All units shall:

9.3.1 Be Underwriters Laboratories (UL)-listed countertop models

9.3.2 Have electronic controls with ten or more power settings

9.3.3 Have a minimum capacity of 0.7 cu. ft.

9.3.4 Have a power rating of 800–1100 watts

9.3.5 Have a grounded, three-prong power cord

9.4 If needed, an extension cord shall be:

9.4.1 New, UL-listed, and in accordance with the manufacturer's specifications

9.4.2 A three-conductor cord with three-prong grounding plug

9.4.3 Rated appropriately for the appliance, minimum 14 American Wire Gauge (AWG)

9.4.4 The shortest feasible length with a maximum length of 6'

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

23. Refrigerators

Table of Contents

1. **MEASURE OBJECTIVE** **23-1**

2. **INSTALL THIS MEASURE WHEN:** **23-1**
   - 2.1. Repair 23-1
   - 2.2. Install 23-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **23-1**
   - 3.1. Do Not Repair 23-1
   - 3.2. Do Not Install 23-1

4. **INSTALLATION GUIDELINES** **23-2**
   - 4.1. General Requirements 23-2
     - *4.1.3 Sizing Limitations* *23-2*
     - *4.1.4 Repair* *23-2*
     - *4.1.5 Install* *23-2*
       - 4.1.5(a) Unsafe food temperatures 23-2
       - 4.1.5(b) Second refrigerator 23-2
       - 4.1.5(c) Electrical safety requirements 23-3
   - 4.2. Installation Procedure 23-3
     - *4.2.1 Repair* *23-3*
     - *4.2.2 Install* *23-3*

5. **MOBILE HOME–SPECIFIC** **23-3**
   - 5.1. Installation Requirements 23-3

6. **MULTI-FAMILY–SPECIFIC** **23-3**
   - 6.1. Installation Requirements 23-3

7. **DOE-SPECIFIC** **23-4**
   - 7.1. Assessment Requirements 23-4
     - *7.1.9 Mobile Home Combustion Appliances* *23-5*
   - 7.2. Installation Requirements 23-5

8. **POST-INSTALLATION GUIDELINES** **23-5**
   - 8.1. Quality Check 23-5
   - 8.2. Client Education 23-5
   - 8.3. Clean-Up and Disposal Requirements 23-5

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9. MATERIAL SPECIFICATIONS 23-5

10. WARRANTY 23-6

Refrigerators

1. MEASURE OBJECTIVE

1.1 Repair or replacement of a home's primary refrigerator will increase its energy efficiency.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 The refrigerator does not qualify for replacement but has one or more damaged door gaskets

2.2. Install

2.2.1 The manufacture date is prior to 2001 or

2.2.2 The unit is inoperable and cannot be repaired or

2.2.3 The CSD 540E Single-Family Refrigerator SIR Calculation Worksheet shows a savings-to-investment ratio (SIR) ≥1.0 for a refrigerator of any age or

2.2.4 The unit is unable to maintain a safe food temperature

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1. Do Not Repair

3.1.1 The existing refrigerator will be replaced

3.1.2 The repair is not related to energy conservation (e.g., replacement of door handle, refrigerator racks, etc.)

3.1.3 The refrigerator is on loan to the client or is a rental

3.1.4 The electrical outlet used by the existing refrigerator is hazardous and cannot be repaired

3.1.5 The repair would violate the Appendix E Health and Safety Requirements

3.1.6 The client refuses after measure benefits have been explained by the assessor

3.2. Do Not Install

3.2.1 The existing refrigerator is on loan or is a rental

3.2.2 No refrigerator exists in the home

3.2.3 The electrical outlet used by the existing refrigerator is not properly installed (e.g., it is hazardous, is not grounded, or has reversed polarity) and cannot be repaired

3.2.4 No appropriate location is available for one or more of the following reasons:

3.2.4(a) Inadequate access is available to remove the existing unit and install a new unit

3.2.4(b) The flooring is structurally inadequate to properly support the weight of the unit

3.2.4(c) Clearance requirements cannot be met

3.2.4(d) The refrigerator cannot be installed in a level, plumb, and stable condition

3.2.5 Installation would violate the Appendix E Health and Safety Requirements

3.2.6 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Documentation of refrigerator replacement conditions (including temperature readings of unsafe food temperatures) must be recorded on the CSD 540E calculator and kept in the client file.

4.1.1(a) Look-Up Resources

4.1.1(a1) "Look-up" usage data from the website at https://www.energy.gov/eere/wap/articles/refrigerator-and-freezer-energy-rating-database-search-tool will be entered in the CSD 540E form.

4.1.1(a2) For models that were produced over multiple years, if the year of manufacture cannot be accurately determined online, the manufacturer must be contacted directly (i.e., by phone or email) to pinpoint the correct year using the model number and serial number.

4.1.2 Audited Measures

4.1.2(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.2(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.3 Sizing Limitations

4.1.3(a) Sizing limitations for replacement refrigerators shall be in accordance with Table 23-1 except when installation of a larger unit is justified by an SIR ≥1.0.

4.1.3(a1) The maximum capacity of any replacement refrigerator shall be 23 cu. ft.

TABLE 23-1: REPLACEMENT REFRIGERATOR UNIT SIZE LIMITATIONS

Replacement Unit Size	Criteria
15–17 cu. ft.	One or two bedrooms with up to three residents
18–20 cu. ft.	Three bedrooms with up to five residents or Two bedrooms with four residents
21–23 cu. ft.	Four or more bedrooms or Five or more residents

4.1.4 Repair

4.1.4(a) Damaged door gaskets shall be replaced to improve operating efficiency.

4.1.4(b) Repair of issues not related to energy conservation (e.g., replacement of door handle, refrigerator racks, etc.) is not allowed.

4.1.5 Install

4.1.5(a) Unsafe food temperatures

4.1.5(a1) Multiple temperature readings must be taken over a 2–3-hour period, approximately every 20 minutes.

- Unsafe storage temperatures are:
  - In the refrigerator: >40°F and/or
  - In the freezer: >5°F

4.1.5(b) Second refrigerator

4.1.5(b1) If a second refrigerator is removed when the primary refrigerator is replaced, the storage capacity of the replacement refrigerator can be increased by 2 cu. ft.

- Client permission is required to remove the second refrigerator.

- The maximum refrigerator capacity of 23 cu. ft. shall not be exceeded without an approved CSD waiver.

4.1.5(c) Electrical safety requirements

4.1.5(c1) Replacement of an ungrounded outlet will only be performed in conjunction with measure installation.

4.1.5(c2) Overcurrent protection and conductor size must be adequate.

4.1.5(c3) The refrigerator must be plugged directly into a dedicated receptacle that is properly grounded and not protected by a ground fault circuit interrupter (GFCI).

- Exception: The refrigerator may be plugged into a shared receptacle, but the amperage rating of the new refrigerator cannot exceed that of the existing refrigerator.

4.1.5(c4) If the receptacle cover plate is cracked, damaged, or missing, a new one shall be installed (Fig. 23-1).

4.1.5(c5) Permanent three-prong adapters are not allowed.

4.1.5(c6) If an extension cord is needed, it must:

- Be allowed by the manufacturer
- Comply with the Material Specifications

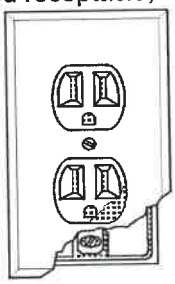

FIG. 23-1: REPLACE MISSING OR DAMAGED COVER PLATES

4.2. Installation Procedure

4.2.1 Repair

4.2.1(a) Replace damaged refrigerator door gaskets that do not provide a full and complete seal.

4.2.2 Install

4.2.2(a) Appliances infested with pests will be enclosed before being moved.

4.2.2(b) Installation must not damage the floor covering or interior finishes.

4.2.2(c) The appliance must fit in the available space without blocking access to light switches, cabinets, etc.

4.2.2(d) If the refrigerator is plugged into an ungrounded receptacle, replace it with a grounded receptacle.

4.2.2(e) Replace a broken or missing cover plate on the outlet for the replacement refrigerator.

4.2.2(f) Install the refrigerator in a level, plumb, and stable position.

4.2.2(f1) Adjust the leveling screws on the refrigerator accordingly.

4.2.2(f2) Use supplementary supports (e.g., shims) as needed.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 Common area installation is allowed when justified by energy audit for a whole-building project (e.g., in a kitchen, entertainment room, etc. within the same thermal boundary as the dwelling units). See Appendix D Energy Audit/Priority List Protocol.

6.1.2(a) Common area installation is not allowed when only an individual unit will be served.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure may be a DOE Audit path, audit driven measure, or Priority List path, Optional measure.

7.1.2 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.4 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.5 To assess for this measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.5(a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.5(b) When assessing for this measure for the Audit path, measure feasibility will be decided by the audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.5(b1) The refrigerator must be modeled in the energy audit.

7.1.5(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics. Final justification is required using the CSD 540E Single-Family Refrigerator SIR Calculation Worksheet.

7.1.5(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the Priority List path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.5(c2) In the PL work scope, this measure requires justification with a Measure and Dwelling SIR ≥1.0 using the CSD 540E Single-Family Refrigerator SIR Calculation Worksheet.

7.1.6 If a client refuses a feasible Major Audit path measure, Mandatory Priority List path measure, or Health & Safety measure, the entire dwelling shall be deferred.

7.1.7 At least 10% of refrigerators replaced under the DOE program shall be metered using a metering device to collect consumption data.

7.1.7(a) Metering is also required for all units whose age cannot be determined from the refrigerator's ID label or when inefficient operation is suspected based on utility costs.

7.1.7(b) The metering device used shall be capable of showing wattage peaks (defrost cycles).

7.1.7(c) Metering should occur over a period of 20 hours or more to include a sampling of compressor and automatic defrost cycling. When the metering period must be short, the minimum duration is 2–3 hours and opening of the refrigerator door must be restricted as much as possible during the metering.

7.1.8 If a gas refrigerator is identified as having operational issues that create an unsafe environment, the refrigerator shall be repaired or replaced using alternative funding.

7.1.8(a) If alternative funding is not available, the appliance shall be removed with written client permission, or the condition requires home deferral.

7.1.8(b) The condition shall be documented on the CSD 542 Weatherization Deferral Form if alternative funding is not used to correct the condition.

7.1.9 Mobile Home Combustion Appliances

7.1.9(a) All combustion appliances left in place after weatherization in mobile homes must meet the Manufactured Home Construction and Safety Standards.

7.1.9(a1) If a client will not allow removal of an unsafe gas refrigerator from the home, deferral is required.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP, except as listed below.

TABLE 23-2: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
7.0101.1a	Refrigerator Replacement	The electrical receptacle shall meet the requirements of NFPA 70 (Article 440).	X	X	X
7.0101.1d	Refrigerator Replacement	Where applicable, ensure appliance is accessible as required by the Federal Fair Housing Act and ICC A117.1. The appliance shall not reduce required maneuvering clearances in the kitchen.	X	X	X

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Temperature controls shall be set appropriately and demonstrated to occupants.

8.2. Client Education

8.2.1 If the client is not willing to give up a second refrigerator, education shall be provided regarding the energy cost to operate the second unit.

8.2.2 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.3 If the refrigerator is plugged into an exposed duplex receptacle, educate the client that a maximum of one other appliance may be plugged into the second outlet, and that it shall not be used to plug in a toaster, microwave oven, hot plate, hair dryer, curling iron, or other high-wattage appliance.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations.

8.3.2 Removed appliances shall be permanently decommissioned in accordance with Section 1 Decommissioning requirements.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 15 years

9.1.2 DOE: 15 years

9.2 Replacement Primary Refrigerators

9.2.1 The replacement appliance shall:

9.2.1(a) Be ENERGY STAR®–certified unit or must

9.2.1(a1) Meet California Energy Commission (CEC) energy efficiency standards and

9.2.1(a2) Have an SIR higher than the SIR for a comparable ENERGY STAR model

9.2.1(b) Be white in color

9.2.1(b1) Exception: Client-requested color is allowed if it is available at no additional cost.

9.2.1(c) Have the freezer on top, or be a side-by-side model in larger sizes when a top freezer is not available or a bottom freezer costs more

9.2.1(d) Not be equipped with an icemaker or water dispenser

9.2.1(e) Be sized in accordance with Table 23-1, except when installation of a larger unit is justified by an SIR ≥1.0

9.2.2 The maximum storage capacity of any replacement refrigerator shall be 23 cu. ft.

9.2.3 An extension cord, if needed, must be:

9.2.3(a) Underwriters Laboratories (UL)-listed

9.2.3(b) Three-conductor

9.2.3(c) Minimum 14 American Wire Gauge (AWG)

9.2.3(d) Maximum 6' long

10. WARRANTY

10.1 Manufacturer warranty—1 year

10.2 Contractor warranty—1 year

24. Ceiling Fans

Table of Contents

1. **MEASURE OBJECTIVES** **24-1**

2. **INSTALL THIS MEASURE WHEN:** **24-1**
   - 2.1. Repair 24-1
   - 2.2. Install 24-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **24-1**

4. **INSTALLATION GUIDELINES** **24-1**
   - 4.1. General Requirements 24-1
     - *4.1.2 Light Fixture* *24-1*
     - *4.1.3 Sizing* *24-1*
     - *4.1.4 Location and Clearances* *24-2*
   - 4.2. Installation Procedure 24-2
     - *4.2.2 Mounting Methods* *24-2*
     - *4.2.3 Drop Rod* *24-2*
     - *4.2.4 Electrical Wiring* *24-3*
     - *4.2.5 Existing Controls* *24-3*

5. **MOBILE HOME–SPECIFIC** **24-3**
   - 5.1. Installation Requirements 24-3
     - *5.1.4 Mounting Methods* *24-3*

6. **MULTI-FAMILY–SPECIFIC** **24-4**
   - 6.1. Installation Requirements 24-4

7. **DOE-SPECIFIC** **24-4**
   - 7.1. Assessment Requirements 24-4

8. **POST-INSTALLATION GUIDELINES** **24-4**
   - 8.1. Quality Check 24-4
     - *8.1.1 Fan and Light* *24-4*
     - *8.1.2 Blade Balance* *24-4*
   - 8.2. Client Education 24-4
   - 8.3. Clean-Up and Disposal Requirements 24-4

9. **MATERIAL SPECIFICATIONS** **24-4**

10. **WARRANTY** **24-5**

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Ceiling Fans

1. MEASURE OBJECTIVES

1.1 Ceiling fans provide air distribution.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 No ceiling fan is present or

2.2.2 The existing ceiling fan is inoperable or

2.2.3 An existing ceiling fan has incandescent lighting that cannot accept light-emitting diode (LED) bulbs

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 An operable ceiling fan is already present

3.2 No acceptable location is available. (See Location and Clearances.)

3.3 The attic is not accessible when required to facilitate installation

3.4 No acceptable electrical circuit is available and one cannot be made available

3.5 An electrical hazard or unsafe structural condition is present that cannot be corrected within the program scope

3.6 Installation would violate the Appendix E Health and Safety Requirements

3.7 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 If knob-and-tube (K&T) wiring is present, refer to Section 1 General Installation Guidelines, Knob & Tube Wiring Guidelines for safety considerations.

4.1.2 Light Fixture

4.1.2(a) If a ceiling fan is installed in an existing overhead light location, the ceiling fan shall include a light kit.

4.1.2(b) When installing LED bulbs in the ceiling fan light fixture, refer to Section 26 LED Replacement Bulbs.

4.1.3 Sizing

4.1.3(a) Size the fan for the room dimensions and in accordance with the manufacturer's specifications.

4.1.3(b) When manufacturer specifications are not available, use Table 24-1.

TABLE 24-1: ENERGY STAR® CEILING FAN SIZING GUIDE

Room Dimensions	Ceiling Fan Diameter
Up to 75 sq. ft.	29–36"
76–144 sq. ft.	36–42"
144–225 sq. ft.	44"
225–400 sq. ft.	50–54"

4.1.4 Location and Clearances

4.1.4(a) Install ceiling fans:

4.1.4(a1) Within heated or cooled living areas, but not near an entrance door (Fig. 24-1).

4.1.4(a2) In bedrooms, but not near bunk beds

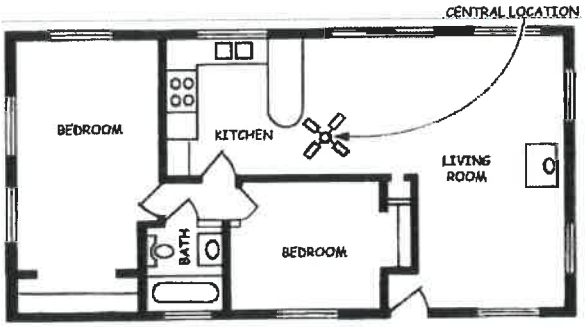

FIG. 24-1: CORRECT FAN LOCATIONS

4.1.4(b) For all fans, blades must be a minimum of 84" from the floor.

4.1.4(c) The ends of the blades will be a minimum of 24" from all obstructions, including open cabinet doors and the adjacent ceiling.

4.1.4(d) The bottom of the light fixture will be a minimum of 80" from the floor.

4.1.4(e) Use a flush-mount type fan when installed near or over a bed.

4.2. Installation Procedure

4.2.1 Install the ceiling fan in accordance with the manufacturer's instructions.

4.2.2 Mounting Methods

4.2.2(a) All fans will be mechanically secured to solid wood or manufactured metal mounting hardware.

4.2.2(b) Wooden block between ceiling joists:

4.2.2(b1) Secure the block to joists composed of at least 2x4 dimensional lumber.

4.2.2(b2) Attach the electrical box and ceiling fan securely.

4.2.2(c) Ceiling joist:

4.2.2(c1) Secure the electrical box and ceiling fan to joists composed of at least 2x4 dimensional lumber.

- Exception: Smaller joists are acceptable when a plywood mounting base can safely be installed.

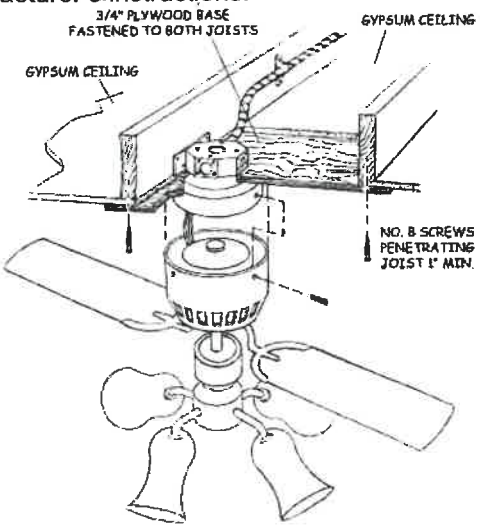

FIG. 24-2: CEILING FAN MOUNTING WITH PLYWOOD MOUNTING BASE

4.2.2(d) Plywood mounting base:

4.2.2(d1) Use minimum ¾" plywood for the base (Fig. 24-2).

4.2.2(d2) The width of the base must be a minimum of half the joist spacing.

4.2.2(d3) Secure the base to the joists with two or more #8 screws that penetrate a joist at least 1".

4.2.2(d4) Secure the electrical box and fan to the plywood base or a joist.

4.2.2(e) Expansion bracket:

4.2.2(e1) A commercial expansion bracket may be used to secure the electrical box and fan to ceiling joists (Fig. 24-3).

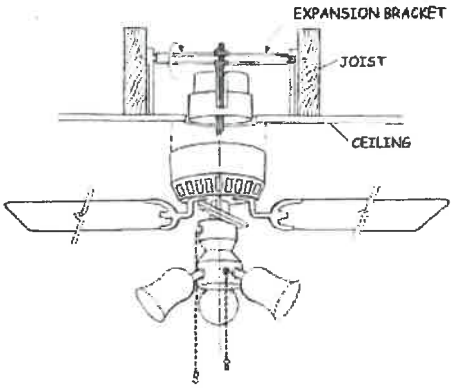

FIG. 24-3: CEILING FAN MOUNTING WITH EXPANSION BRACKET

4.2.3 Drop Rod

4.2.3(a) Use a drop rod for high ceilings unless prohibited by the fan manufacturer.

4.2.3(b) Size drop rods in accordance with Table 24-2.

TABLE 24-2: DROP ROD SIZING

Ceiling Height	Drop Rod Length
9'	12"
10'	18"
11'	24"
12'	36"
13'	48"

4.2.4 Electrical Wiring

4.2.4(a) All fans must be attached to a ceiling fan–rated electrical box.

4.2.4(b) Wiring must be safe, intact, and properly sized and have adequate overcurrent protection.

4.2.4(c) Existing wiring must be a minimum of 14-gauge copper or equivalent.

4.2.4(d) Exposed wiring must be housed in a raceway except when a swag chain is used.

4.2.4(e) Swag chain kit:

4.2.4(e1) Use a swag chain kit when hard-wiring is not possible.

4.2.4(e2) A properly connected separate grounding conductor must accompany the power cord unless a grounded three-conductor cord is used.

4.2.5 Existing Controls

4.2.5(a) Dimmers (Fig. 24-4), including a light dimmer on a remote control, will not be used to control:

4.2.5(a1) The fan motor

4.2.5(a2) Fan lighting unless it is listed for control by a dimmer

4.2.5(b) A separate speed controller must not be:

4.2.5(b1) Installed unless supplied with the fan or specified by the manufacturer

4.2.5(b2) Used to control the fan lighting

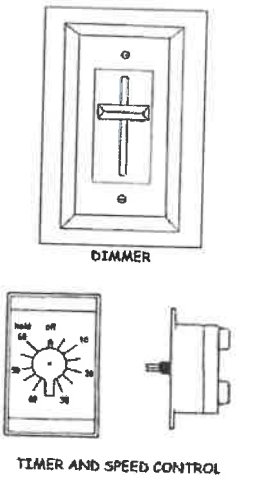

FIG. 24-4: CEILING FAN CONTROLLERS

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.2 Installation is not possible when the ceiling joists will not provide the required support.

5.1.3 A properly grounded electrical box in good condition must be present at the mounting location.

5.1.4 Mounting Methods

5.1.4(a) Ceiling joist

5.1.4(a1) Secure the electrical box and ceiling fan to the 2x4 or larger joist.

5.1.4(b) Mounting base

5.1.4(b1) A fan may be secured to smaller joists when:

- A plywood mounting base can safely be installed and
- The joists are capable of safely bearing the weight of the fan

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a kitchen, entertainment room, reception area, etc.) for this measure is not allowed.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Fan and Light

8.1.1(a) Ensure the fan, light, and all controls operate properly.

8.1.1(b) Ensure the light kit set screws are tight.

8.1.2 Blade Balance

8.1.2(a) The fan must rotate smoothly without undue wobbling.

8.1.2(b) Balance the blades (e.g., using a supplied balancing kit) as needed.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 10 years

9.1.2 DOE: Not applicable to this measure

9.2 Units shall:

9.2.1 Be ENERGY STAR–certified and Underwriters Laboratories (UL)-listed

9.2.2 Be ceiling-mounted units only

9.2.3 Meet 110-volt electrical requirements

9.2.4 Have three-speeds or variable speed control

9.2.5 Have separate fan and light switch controls on the fan when a light kit is present

9.3 The UL-listed fan unit shall:

9.3.1 Be capable of reversible fan action

9.3.2 Permit convenient consumer adjustment of the fan speed by one or more wall-mounted switches, a remote control, or readily accessible pull chains

9.3.2(a) The remote control shall be UL-listed and compatible with the fan.

9.4 Light kits shall be LED and meet the manufacturer's specifications.

10. WARRANTY

10.1 Manufacturer—3 years

10.2 Contractor—1 year

25. Tier 2 Advanced Power Strips

Table of Contents

1. **MEASURE OBJECTIVES** **25-1**

2. **INSTALL THIS MEASURE WHEN:** **25-1**
   - 2.1. Repair 25-1
   - 2.2. Install 25-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **25-1**

4. **INSTALLATION GUIDELINES** **25-1**
   - 4.1. General Requirements 25-1
   - 4.2. Installation Procedure 25-1
     - *4.2.2 T2 APS–Connected Devices* *25-1*
     - *4.2.3 T2 APS–Prohibited Devices* *25-2*
     - *4.2.4 Power Cords* *25-2*

5. **MOBILE HOME–SPECIFIC** **25-2**
   - 5.1. Installation Requirements 25-2

6. **MULTI-FAMILY–SPECIFIC** **25-2**
   - 6.1. Installation Requirements 25-2

7. **DOE-SPECIFIC** **25-2**
   - 7.1. Assessment Requirements 25-2

8. **POST-INSTALLATION GUIDELINES** **25-2**
   - 8.1. Quality Check 25-2
   - 8.2. Client Education 25-2
   - 8.3. Clean-Up and Disposal Requirements 25-3

9. **MATERIAL SPECIFICATIONS** **25-3**

10. **WARRANTY** **25-3**

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Tier 2 Advanced Power Strips

1. MEASURE OBJECTIVES

1.1 A tier 2 advanced power strip (T2 APS) saves energy by turning off a television and peripheral devices when they are not in use. T2 APS installation is allowed in all housing types.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 A television and at least one peripheral device (e.g., digital video disk [DVD] player, television sound bar, game console, etc.) are present that can be connected to the switched (power-saver) outlets

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 An unsafe electrical condition or hazard is present at the receptacle or wiring (e.g., ungrounded outlet, decayed insulation, exposed wires, etc.) and cannot be corrected

3.2 Furniture cannot be moved to facilitate installation, and it will not be moved by the client. (The client shall be given the opportunity to move the furniture that would otherwise make installation unfeasible.)

3.3 Installation would violate the Appendix E Health and Safety Requirements

3.4 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 The client will be asked to power off devices that will be plugged into the T2 APS before the installation begins.

4.2. Installation Procedure

4.2.1 The T2 APS (Fig. 25-1) shall be:

4.2.1 (a) Installed in a location that has good air circulation and is free of moisture sources, in line of sight, close to the television, and within normal operation of existing remote control(s).

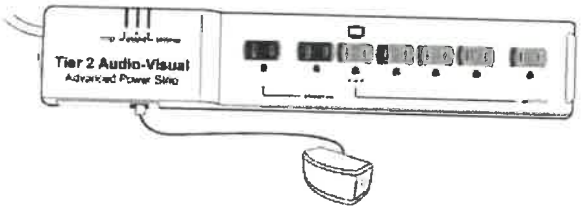

FIG. 25-1: TIER 2 AUDIOVISUAL ADVANCED POWER STRIP

4.2.1 (b) Plugged directly into an acceptable receptacle—not into an extension cord, standard power strip, or surge protector

4.2.1 (b1) The receptacle must be three-prong and properly grounded.

- No adapters are allowed.

4.2.1 (b2) Only one T2 APS shall be plugged into a duplex receptacle.

4.2.1 (c) No extension cord, power surge protector, or other APS shall be plugged into it.

4.2.2 T2 APS–Connected Devices

4.2.2 (a) Devices that must be connected to the T2 APS are:

4.2.2 (a1) A television as the primary device

4.2.2(a2) Peripheral devices recommended by the T2 APS manufacturer (e.g., DVD players, stereos, etc.)

4.2.3 T2 APS–Prohibited Devices

4.2.3(a) Devices that shall not be connected to the T2 APS are:

4.2.3(a1) Small appliances (e.g., heaters, lamps, toaster, coffeemaker, etc.)

4.2.3(a2) Computers, cable boxes, and digital video recorder systems (to prevent unnecessary re-booting and potential failure of these systems)

4.2.4 Power Cords

4.2.4(a) Power cords shall not:

4.2.4(a1) Be run through a wall

4.2.4(a2) Be secured in place with staples, tacks, tape, etc.

4.2.5 Any excess cord length shall be safely secured out of the way (e.g., with cable ties).

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a lobby, entertainment room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 With the client present, check the T2 APS to confirm proper operation.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Instruct the client how to operate the T2 APS:

8.2.2(a) Following the T2 APS instructions, use the television infrared (IR) remote control to turn on the switched outlets.

8.2.2(b) Turn on all peripheral devices plugged into the switched outlets and the always-on outlets of the T2 APS.

8.2.2(c) With the television and peripheral devices turned on, press the power button on the television IR remote control to turn off the television.

8.2.2(c1) All switched devices should automatically turn off within 5 minutes.

8.2.2(c2) All always-on devices should remain on.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

8.3.2 Furniture and other household items moved for installation work shall be returned to their original positions.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 8 years

9.1.2 DOE: Not applicable to this measure

9.2 Approved materials shall:

9.2.1 Be listed to the latest Underwriters Laboratories (UL) 1449 standard, and be listed to the latest UL 1363 standard, if corded

9.2.2 Be IR-controlled with an IR remote sensor or an IR remote sensor and motion detector

9.2.3 Be rated for 120 volts and 15 amps

9.2.4 Provide a minimum of 1,000 joules of surge protection for all outlets

9.2.5 Have a resettable circuit breaker

9.2.6 Have a maximum standby power draw of 1 watt

9.3 The T2 APS shall be equipped with:

9.3.1 A "smart" power-saving function that automatically turns off power to all switched devices within 5 minutes after the television is turned off.

9.3.2 An adjustable timer (delay period) that:

9.3.2(a) Automatically turns off the television and switched outlets after a minimum 1-hour delay period if no activity is detected

9.3.2(b) Can be manually programmed for a longer delay period

9.3.2(c) Produces a warning signal that alerts the user before power to the television is turned off

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

26. LED Replacement Bulbs

Table of Contents

1. **MEASURE OBJECTIVES** **26-1**

2. **INSTALL THIS MEASURE WHEN:** **26-1**
   - 2.1. Repair 26-1
   - 2.2. Install 26-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **26-1**

4. **INSTALLATION GUIDELINES** **26-1**
   - 4.1. General Requirements 26-1
   - 4.2. Installation Procedure 26-2

5. **MOBILE HOME–SPECIFIC** **26-2**
   - 5.1. Installation Requirements 26-2

6. **MULTI-FAMILY–SPECIFIC** **26-2**
   - 6.1. Installation Requirements 26-2

7. **DOE-SPECIFIC** **26-3**
   - 7.1. Assessment Requirements 26-3
   - 7.2. Installation Requirements 26-3

8. **POST-INSTALLATION GUIDELINES** **26-3**
   - 8.1. Quality Check 26-3
   - 8.2. Client Education 26-3
   - 8.3. Clean-Up and Disposal Requirements 26-3

9. **MATERIAL SPECIFICATIONS** **26-4**

10. **WARRANTY** **26-4**

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LED Replacement Bulbs

1. MEASURE OBJECTIVES

1.1 Light-emitting diode (LED) bulbs save energy over incandescent, compact fluorescent lamp (CFL), and halogen bulbs.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 An existing incandescent, CFL, or halogen bulb is used

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 Prohibited by the manufacturer of the LED or the fixture

3.2 LED bulbs are already in place

3.3 The electrical fixture (including box, switch, wiring, or other circuit components) is damaged, degraded, or unsecured or has bare wires present or wire nuts missing and repair is not possible within the program scope

3.4 The electrical fixture is unsafe or not code-compliant, such as being supported by an 18-gauge lamp cord (Fig. 26-1)

3.5 The LED would be installed outdoors and the fixture or bulb is not rated for use in the location (damp or wet)

3.6 The porcelain lamp base is broken or has a missing cap (Fig. 26-2)

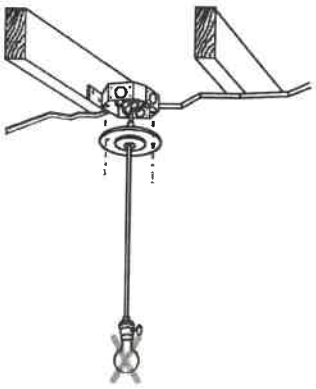

FIG. 26-1: LAMP CORD–SUPPORTED BULB

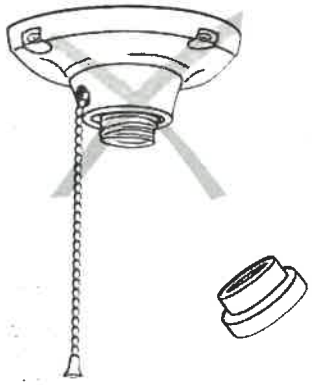

FIG. 26-2: PORCELAIN LAMP BASE WITH MISSING CAP

3.7 The fixture is not on the client's electric meter/bill

3.8 Installation would violate the Appendix E Health and Safety Requirements

3.9 The client refuses after the measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 All bulbs in a fixture shall be the same type.

4.1.2 Audited Measures

4.1.2(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.2(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.3 Light/lamp wattage shall not exceed the rated wattage of the fixture.

4.1.4 Follow the manufacturer's replacement restrictions and the maximum replacement wattages listed in Table 26-1.

4.1.5 LED bulbs must provide light output levels (lumens) sufficient to maintain pre-existing levels, in accordance with Table 26-1.

TABLE 26-1: EQUIVALENT WATTAGE AND LIGHT OUTPUT OF INCANDESCENT, HALOGEN, CFL, AND LED BULBS

Light Output	Incandescent**	Halogen†	CFL**	LED**
250 lumens	25 watts	18 watts	4–9 watts	2–4 watts
450 lumens	40 watts	29 watts	8–12 watts	4–5 watts
800 lumens	60 watts	43 watts	13–18 watts	6–8 watts
1,100 lumens	75 watts	53 watts	18–22 watts	9–13 watts
1,600 lumens	100 watts	72 watts	23–30 watts	16–20 watts
2,600 lumens	150 watts	N/A	30–55 watts	25–28 watts

**Source: Eartheasy.com
†Source: Jacksonemc.com

4.1.6 Pendant light fixtures (chandeliers, wall pendants, etc.) shall remain level after installation of LED bulbs.

4.1.7 Prior to LED bulb installation, check the existing fixture for:

4.1.7(a) Hazardous electrical conditions

4.1.7(b) The maximum wattage allowed

4.1.7(c) Compatibility with the LED bulb manufacturer's specifications if the fixture is controlled by a dimmer switch, vacancy sensor, or other special controller

4.2. Installation Procedure

4.2.1 Bulbs shall be installed in fixtures in accordance with manufacturer's guidelines.

4.2.1(a) If applicable, clean lens and reflector before installing new bulb.

4.2.1(b) Replacement bulbs shall not be left with the customer for installation.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 Common area installation is allowed when justified by an energy audit for a whole-building project (e.g., in a kitchen, utility room, entertainment room, etc. within the same thermal boundary as the dwelling units). See Appendix D Energy Audit/Priority List Protocol.

6.1.2(a) Common area installation is not allowed when only an individual unit will be served.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure may be a DOE Audit path, audit driven measure, or Priority List path, Mandatory measure.

7.1.2 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.4 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.5 To assess for this measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.5(a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.5(b) When assessing for this measure for the Audit path, measure feasibility will be decided by the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.5(b1) LED bulbs and LED tube lights shall be modeled in the energy audit.

7.1.5(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.5(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.6 If a client refuses a feasible Major Audit path measure, Mandatory Priority List path measure, or Health & Safety measure, the entire dwelling shall be deferred.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 The installer and quality control inspector shall test all installed LED bulbs and confirm that they perform properly and the lighting level is adequate for the client.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP:

9.1.1(a) Interior bulb—16 years

9.1.1(b) Exterior bulb—15 years

9.1.2 DOE: Exterior and interior bulbs—15 years

9.2 All LED bulbs shall be:

9.2.1 ENERGY STAR®–certified or better

9.2.2 Underwriters Laboratories (UL)–listed or equivalent

9.2.3 Omni-directional (capable of at least 300° light direction)

9.2.4 Dimmable to less than 10% of output for those locations on dimming switches

9.2.5 Selected for a specific location as shown in Table 26-2.

TABLE 26-2: COLOR-CORRELATED TEMPERATURE (CCT) BY INSTALLATION LOCATION

Installation Location	CCT in Degrees Kelvin (K)	Lighting Characteristic
Indoors	2700K	Soft white
	3000K	Warm white
	3000K	Neutral white
	3500K	Natural white
Outdoors	4000/4100K	Cool white
	5000/6500K	Daylight

9.3 Installed LEDs must have a minimum Color Rendering Index (CRI) of 90.

9.4 LED bulbs for enclosed fixtures must be labeled JA8-2019-E.

9.5 For outdoor locations: Protected from the weather per manufacturer's instructions, and the bulb and fixture shall be rated for damp or wet locations.

9.6 Dimmers, photo sensors, timers (mechanical or solid state), and vacancy or occupancy sensors: LED bulbs may be installed only when the LED is compatible.

10. WARRANTY

10.1 Manufacturer—3 years

10.2 Contractor—1 year

27. LED Night-Lights

Table of Contents

1. **MEASURE OBJECTIVES** **27-1**
2. **INSTALL THIS MEASURE WHEN:** **27-1**
   - 2.1. Repair 27-1
   - 2.2. Install 27-1
3. **DO NOT INSTALL THIS MEASURE WHEN:** **27-1**
4. **INSTALLATION GUIDELINES** **27-1**
   - 4.1. General Requirements 27-1
   - 4.2. Installation Procedure 27-1
5. **MOBILE HOME–SPECIFIC** **27-1**
   - 5.1. Installation Requirements 27-1
6. **MULTI-FAMILY–SPECIFIC** **27-2**
   - 6.1. Installation Requirements 27-2
7. **DOE-SPECIFIC** **27-2**
   - 7.1. Assessment Requirements 27-2
8. **POST-INSTALLATION GUIDELINES** **27-2**
   - 8.1. Quality Check 27-2
   - 8.2. Client Education 27-2
   - 8.3. Clean-Up and Disposal Requirement 27-2
9. **MATERIAL SPECIFICATIONS** **27-2**
10. **WARRANTY** **27-2**

LED Night-Lights

1. MEASURE OBJECTIVES

1.1 Light-emitting diode (LED) night-lights save energy by illuminating an area only when there is insufficient ambient light.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 Nighttime illumination is needed in a location in the home or

2.2.2 The existing night-light is defective

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The receptacle is not properly secured, is defective, or is unsafe and the defect cannot be corrected within the scope of the program

3.2 There is a duplex receptacle but the night-light would cover up both outlets

3.3 The proposed location is in a storage room or closet

3.4 An operational LED night-light is already present

3.5 No suitable location is available

3.6 Installation would violate Appendix E Health and Safety Requirements

3.7 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 An LED night-light shall only be installed in an interior/indoor receptacle that is safe and properly secured in an electrical box with an intact cover plate.

4.1.1(a) If the receptacle is switched, the switch must function properly.

4.1.1(b) The night-light shall not be plugged into an extension cord.

4.1.2 Night-lights shall be located in accordance with the client's needs.

4.2. Installation Procedure

4.2.1 LED night-lights shall be installed in receptacles in accordance with manufacturer's guidelines.

4.2.1(a) Night-lights shall not be left with the customer for installation.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a lobby, hallway, kitchen, laundry room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Test all installed LED night-lights for proper operation.

8.1.2 Cover the photo sensor (Fig. 27-1) to simulate darkness.

8.1.3 Devices unplugged to allow night-light installation shall be moved to another outlet.

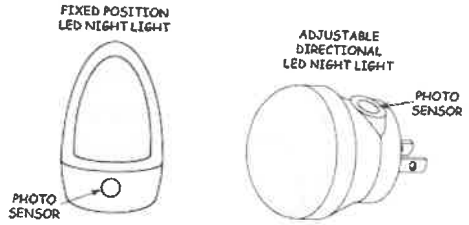

FIG. 27-1: NIGHT-LIGHT MODELS AND SENSOR LOCATION

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirement

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 16 years

9.1.2 DOE: Not applicable to this measure

9.2 All LED night-lights shall be:

9.2.1 Maximum wattage 0.5 watts

9.2.2 Underwriters Laboratories (UL)–listed or equivalent

9.2.3 Equipped with an integrated photoelectric (auto-on) switch that turns on the night-light when the room is dark

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

28. LED Hard-Wired Fixtures and Downlight Kits

Table of Contents

1. **MEASURE OBJECTIVES** **28-1**
2. **INSTALL THIS MEASURE WHEN:** **28-1**
   - 2.1. Repair 28-1
   - 2.2. Install 28-1
3. **DO NOT INSTALL THIS MEASURE WHEN:** **28-1**
4. **INSTALLATION GUIDELINES** **28-1**
   - 4.1. General Requirements 28-1
     - *4.1.3 Electrical Requirements* *28-1*
     - *4.1.4 Controllers* *28-1*
   - 4.2. Installation Procedure 28-2
     - *4.2.1 Surface-Mount Fixtures* *28-2*
     - *4.2.2 Downlight Retrofit Kits* *28-2*
5. **MOBILE HOME–SPECIFIC** **28-3**
   - 5.1. Installation Requirements 28-3
6. **MULTI-FAMILY–SPECIFIC** **28-3**
   - 6.1. Installation Requirements 28-3
7. **DOE-SPECIFIC** **28-3**
   - 7.1. Assessment Requirements 28-3
8. **POST-INSTALLATION GUIDELINES** **28-3**
   - 8.1. Quality Check 28-3
   - 8.2. Client Education 28-3
   - 8.3. Clean-Up and Disposal Requirements 28-3
9. **MATERIAL SPECIFICATIONS** **28-4**
10. **WARRANTY** **28-4**

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LED Hard-Wired Fixtures and Downlight Kits

1. MEASURE OBJECTIVES

1.1 High-efficacy light-emitting diode (LED) fixtures will provide energy savings compared to incandescent, compact fluorescent lamp (CFL), high-intensity discharge (HID), or halogen fixtures for the same light output.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 The light source in the existing fixture:

2.2.1(a) Is incandescent, CFL, HID, or halogen and

2.2.1(b) Would be used at least two hours per day and is either:

2.2.1(b1) An operable or inoperable surface-mount, hardwired fixture or

2.2.1(b2) An operable recessed ceiling downlight fixture

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 Screw-based LED bulbs can be installed in the existing surface-mount fixture

3.2 The new LED fixture is not compatible with the existing circuit dimmer/sensor and the dimmer/sensor is not being upgraded

3.3 Installation would violate Appendix E Health and Safety Requirements

3.4 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 When required by the local jurisdiction, a building permit to replace an existing lighting fixture shall be obtained.

4.1.2 The light output (lumen) level shall be sufficient to maintain the existing light level unless a lower level is acceptable to the client.

4.1.3 Electrical Requirements

4.1.3(a) Fixtures shall:

4.1.3(a1) Be installed only in 110–120-volt circuits

4.1.3(a2) Have a readily accessible on/off switch

4.1.4 Controllers

4.1.4(a) When the LED fixture is controlled by a timer, dimmer, occupancy sensor, or vacancy sensor:

4.1.4(a1) Verify the dimmer/sensor is compatible with the replacement fixture or

4.1.4(a2) Replace the existing dimmer/sensor with a compatible controller

4.1.4(b) Vacancy sensors shall be installed in accordance with Section 31 Vacancy Sensor Switches.

4.2. Installation Procedure

4.2.1 Surface-Mount Fixtures

4.2.1 (a) Interior installations:

4.2.1 (a1) Interior-mount fixtures include but are not limited to hard-wired interior wall/ sconces, vanity lights, ceiling fixtures, and downlight retrofit kits.

4.2.1 (a2) All wiring not inside a building cavity shall be housed in a raceway.

4.2.1 (b) Exterior installations (Fig. 28-1):

4.2.1 (b1) Exterior-mount fixtures include, but are not limited to, hard-wired porch lights and security lights.

4.2.1 (b2) All exposed wiring shall be housed in a watertight conduit.

4.2.1 (b3) Installation must prevent water from entering or accumulating in wiring compartment, lamp holder, or electrical parts.

FIG. 28-1: EXAMPLE OF A DAMP LOCATION

4.2.1 (c) Surface-mount fixture wiring:

4.2.1 (c1) Ensure that the wiring is not damaged (e.g., no slices, cuts, nicks, etc.).

4.2.1 (c2) Splices shall be contained within a fixture, junction box, etc.

4.2.1 (c3) Twist-type pressure splicing connectors (e.g., wire nuts):

4.2.1 (c4) "Poke-in" and "stab-in" type electrical connections may be used in lieu of twist-type splicing connectors.

4.2.1 (c5) If wire materials are dissimilar (such as aluminum and copper), refer to Section 1 General Installation Guidelines, Electrical Guidelines.

4.2.1 (d) Grounding:

4.2.1 (d1) Refer to Section 1 General Installation Guidelines, Grounding Guidelines.

4.2.1 (d2) When a grounding conductor is not available in the fixture box:

- A plastic fixture without grounding requirement may be installed or
- A ground fault circuit interrupter (GFCI)–protected switch may be installed in lieu of grounding

4.2.1 (e) Securing surface-mount fixtures (Fig. 28-2 and Fig. 28-3):

4.2.1 (e1) Secure the fixture to a mounting plate, electrical box, or structural members.

4.2.1 (e2) Additional fasteners/screws are not required for fixtures attached by a properly installed threaded nipple and nut.

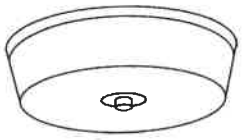

FIG. 28-2: CEILING-MOUNT LED FIXTURE

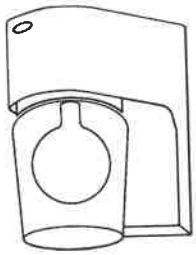

FIG. 28-3: WALL-MOUNT LED FIXTURE WITH PHOTOCELL CONTROL

4.2.2 Downlight Retrofit Kits

4.2.2 (a) Securing retrofit kits (Fig. 28-4):

4.2.2 (a1) The kit shall fit properly into the existing housing with room for electrical conductors and connectors.

4.2.2(a2) Attachment hardware (e.g., torsion springs or brackets) shall be compatible with the housing.

4.2.2(a3) The trim shall completely cover the opening surrounding the housing.

4.2.2(a4) Seal any gaps between the existing luminaire housing and the ceiling with caulk.

4.2.2(a5) The kit shall be sealed with a manufacturer supplied gasket between the luminaire housing and the kit trim to seal air leak paths between conditioned and unconditioned space.

4.2.2(b) Electrical connection:

4.2.2(b1) Wiring shall be routed into the housing and secured without pinching or damaging the conductors or insulation.

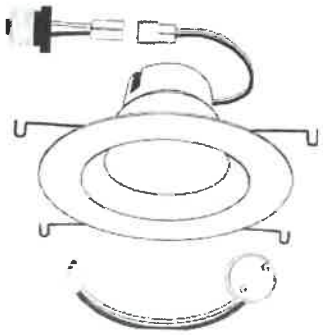

FIG. 28-4: LED DOWNLIGHT RETROFIT KIT

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 Common area installation is allowed when justified by an energy audit for a whole-building project (e.g., in a kitchen, laundry room, hallway, etc. within the same thermal boundary as dwelling units). See Appendix D Energy Audit/Priority List Protocol.

6.1.2(a) Common area installation is not allowed when only an individual unit will be served.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Verify that all installed fixtures, controllers, and sensors operate properly.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP:

9.1.1(a) Interior fixtures—16 years

9.1.1(b) Exterior fixtures—15 years

9.1.2 DOE: Not applicable to this measure

9.2 All Fixtures

9.2.1 All fixture types must:

9.2.1(a) Be Underwriters Laboratories (UL)-listed and compliant with Title 24 requirements

9.2.1(b) Utilize UL-listed, properly sized connectors

9.3 All Outdoor Fixtures:

9.3.1 Fixtures marked "suitable for damp locations" shall be installed out of direct contact with precipitation in partially protected locations (e.g., under canopies, in closed porches, and in carports).

9.3.2 Fixtures marked "suitable for wet locations" may be installed in damp locations and in unprotected outdoor locations where the fixture is installed >4' above the ground.

9.3.3 Light Controls

9.3.3(a) Exterior fixtures shall be controlled by:

9.3.3(a1) Photo-control and motion sensor or

9.3.3(a2) Motion sensor or automatic time switch control

9.3.4 Any installed vacancy sensors, motion sensors, and dimmers must be certified to comply with Title 20 Appliance Efficiency Regulations.

9.4 LED bulbs installed in fixtures shall be:

9.4.1 ENERGY STAR®–certified

9.4.2 Listed in the California Energy Commission (CEC) Lighting Database

9.4.3 Marked with "JA8-2019" ("JA8-2019-E" for enclosed and recessed fixtures) per Title 24

9.4.4 Labeled "dimmable" when controlled by a dimmer

9.5 The correlated color temperature (CCT) in Table 28-1 may be used to select the LED fixture most suitable to the customer's preference.

TABLE 28-1: LED FIXTURE CCT CHARACTERISTICS

Installation Location	CCT in Degrees Kelvin (K)	Lighting Characteristic
Indoors	2700K	Soft White
	3000K	Warm White
	3000K–3500K	Neutral Natural White
Outdoors	4000/4100K	Cool White
	5000K–6500K	Daylight

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

29. LED Torchieres

Table of Contents

1. **MEASURE OBJECTIVE** **29-1**

2. **INSTALL THIS MEASURE WHEN:** **29-1**
   - 2.1. Repair 29-1
   - 2.2. Install 29-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **29-1**

4. **INSTALLATION GUIDELINES** **29-1**
   - 4.1. General Requirements 29-1
     - *4.1.1 Outlet Cover* *29-1*
     - *4.1.2 Electrical Supply* *29-1*
   - 4.2. Installation Procedure 29-2
     - *4.2.1 Assembly and Installation* *29-2*

5. **MOBILE HOME–SPECIFIC** **29-2**
   - 5.1. Installation Requirements 29-2

6. **MULTI-FAMILY–SPECIFIC** **29-2**
   - 6.1. Installation Requirements 29-2

7. **DOE-SPECIFIC** **29-2**
   - 7.1. Assessment Requirements 29-2

8. **POST-INSTALLATION GUIDELINES** **29-2**
   - 8.1. Quality Check 29-2
   - 8.2. Client Education 29-2
   - 8.3. Clean-Up and Disposal Requirements 29-2

9. **MATERIAL SPECIFICATIONS** **29-3**

10. **WARRANTY** **29-3**

LED Torchieres

1. MEASURE OBJECTIVE

1.1 Light-emitting diode (LED) torchieres use much less electricity than halogen, fluorescent, and incandescent torchiere lamps.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 An LED torchiere shall only be installed to replace an existing torchiere (operable or inoperable) that contains an incandescent, halogen, or fluorescent light source that cannot be replaced with an LED equivalent bulb.

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The electrical circuit is controlled by a non-compatible dimmer or solid-state timer

3.2 An acceptable, safe electrical outlet is not available, or an electrical hazard is present that cannot be repaired

3.3 The fixture can accept an LED bulb

3.4 Installation would violate Appendix E Health and Safety Requirements

3.5 The client refuses after measure benefits have been explained by the assessor

3.5.1 If occupants do not like the light level or appearance of the lamp, fixture installation is not possible.

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Outlet Cover

4.1.1(a) A broken or missing outlet cover pertaining to the LED torchiere will be replaced before the measure is installed.

4.1.2 Electrical Supply

4.1.2(a) A lamp with a polarized plug will be plugged into a properly installed polarized two-prong receptacle (one slot is wider than the other) or a three-prong grounded receptacle (Fig. 29-1).

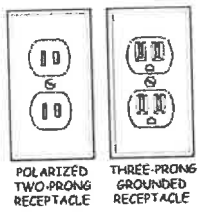

FIG. 29-1: APPROPRIATE RECEPTACLE STYLES

4.1.2(b) The lamp's plug will not be altered to fit a non-polarized receptacle.

4.1.2(c) If the lamp is plugged into a multi-plug adapter, the adapter will be in good condition and polarized to match the receptacle.

4.1.2(d) Extension cord

4.1.2(d1) An extension cord may be used only when necessary to place the LED torchiere in an acceptable location and when its use is not prohibited by the lamp manufacturer.

4.1.2(d2) The extension cord will be:

- Underwriters Laboratories (UL)-listed and polarized (one blade is wider than the other)
- In conformance with manufacturer's instructions, if addressed

- Rated appropriately for the torchiere, minimum 16 American Wire Gauge (AWG)
- The shortest feasible length, up to 6' maximum

4.2. Installation Procedure

4.2.1 Assembly and Installation

4.2.1(a) Lamp

4.2.1(a1) The LED torchiere lamp must be fully assembled, be plugged in, and operate properly.

4.2.1(b) Cord

4.2.1(b1) The appliance cord, and extension cord if applicable, will be located away from foot traffic to avoid creating a tripping hazard (Fig. 29-2).

FIG. 29-2: CORRECT USE AND LOCATION OF AN EXTENSION CORD

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a lobby, hallway, kitchen, laundry room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Ensure the lamp is plugged in and operating properly.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 4 years

9.1.2 DOE: Not applicable to this measure

9.2 LED wattage shall:

9.2.1 Be selected based on the equivalent light output of the incandescent, fluorescent, or halogen fixture to be replaced or

9.2.2 Be dimmable

9.3 All LED torchiere replacements shall have a lighting efficacy of 61 lumens per watt.

9.4 The LED torchiere lamp will be:

9.4.1 UL-listed or equivalent

9.4.2 ENERGY STAR®–certified

10. WARRANTY

10.1 Manufacturer warranty—1 year

10.2 Contractor warranty—1 year

30. Future Measure Placeholder

This Section is not applicable at this time and is reserved for a future measure.

31. Vacancy Sensor Switches

Table of Contents

1. **MEASURE OBJECTIVES** **31-1**
2. **INSTALL THIS MEASURE WHEN:** **31-1**
   - 2.1. Repair 31-1
   - 2.2. Install 31-1
3. **DO NOT INSTALL THIS MEASURE WHEN:** **31-1**
4. **INSTALLATION GUIDELINES** **31-1**
   - 4.1. General Requirements 31-1
     - *4.1.4 Electrical Requirements* *31-2*
     - *4.1.5 VSS Selection* *31-2*
   - 4.2. Installation Procedure 31-2
5. **MOBILE HOME–SPECIFIC** **31-3**
   - 5.1. Installation Requirements 31-3
6. **MULTI-FAMILY–SPECIFIC** **31-3**
   - 6.1. Installation Requirements 31-3
7. **DOE–SPECIFIC** **31-3**
   - 7.1. Assessment Requirements 31-3
8. **POST-INSTALLATION GUIDELINES** **31-3**
   - 8.1. Quality Check 31-3
   - 8.2. Client Education 31-3
   - 8.3. Clean-up and Disposal Requirements 31-4
9. **MATERIAL SPECIFICATIONS** **31-4**
10. **WARRANTY** **31-4**

Vacancy Sensor Switches

1. MEASURE OBJECTIVES

1.1 A vacancy sensor switch (VSS) saves energy by turning off lights when a room is unoccupied.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure

2.2. Install

2.2.1 A light fixture is in an intermittently occupied location with incandescent, halogen, light-emitting diode (LED), or compact fluorescent lamp (CFL) lighting and

2.2.2 The location is a family room, living room, dining room, bathroom, kitchen, laundry room, utility room, or garage and

2.2.3 The VSS will be installed in the same room as the light it controls

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 A functional VSS or dimmer is already in place

3.2 A qualifying location, light, or circuit is not present or not operational

3.3 Physical risk to the occupant may occur if the sensor fails (such as in a stairway)

3.4 Physical limitations will impede the occupant's ability to operate the switch

3.5 The electrical box cannot physically contain the VSS

3.6 The switched load exceeds the maximum amperage specified by the sensor manufacturer

3.7 A functional grounding conductor is not present when required by the manufacturer

3.8 The room is continually occupied

3.9 A forced air register or ceiling fan is within 6' of the switch, unless allowed by the manufacturer

3.10 The switch will control any of the following devices:

3.10.1 Ceiling fan

3.10.2 Lighting in closets, unless the switch is located inside the closet

3.10.3 Switches that must remain on, such as those controlling mechanical ventilators or other medical equipment

3.10.4 Security lighting or outdoor lighting

3.10.5 Emergency lighting fixtures

3.11 Installation would violate Appendix E Health and Safety Requirements

3.12 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 VSS may be installed in all housing types, including renter-occupied homes.

4.1.2 A VSS with an integral LED night-light feature may be installed where the occupant requests nighttime illumination.

4.1.3 When controlling a qualifying bathroom light and exhaust fan with one sensor, install a dual-load VSS rated for the fan load.

4.1.4 Electrical Requirements

4.1.4(a) The electrical circuit must be 110–120 volts, safe, and properly sized with adequate overcurrent protection to support the installation of appliances and other electrical measures.

4.1.5 VSS Selection

Select and locate the VSS according to the room's characteristics and the VSS specifications, including:

4.1.5(a) Electrical load within minimum and maximum limits of VSS capacity

4.1.5(b) Acceptable range and coverage area of the sensor

4.1.5(c) Type of occupant use (walking, reading, computer use, etc.)

4.1.5(d) Obstacles and hard surfaces in the room

4.1.5(e) Magnitude of motion:

4.1.5(e1) Minor motion (reading, writing, and hand movements), or

4.1.5(e2) Major motion (full-body and walking)

4.1.5(f) Ability to sense occupants and not turn off lights while the room is still occupied ("false off")

4.1.5(g) Located to not monitor the area outside the door (which can cause nuisance switching)

4.1.5(h) Passive infrared (PIR) VSS:

4.1.5(h1) Shall be installed only in locations with an unobstructed line-of-sight of the entire room (Fig. 31-1)

4.1.5(h2) Is more sensitive to lateral (side-to-side) motion than ultrasonic (US) VSS

4.1.5(h3) Is suitable for smaller, enclosed spaces

4.1.5(h4) Is not suitable for locations:

- With low motion levels (e.g., office, computer area, or reading area)
- Where obstacles can block the sensor's view

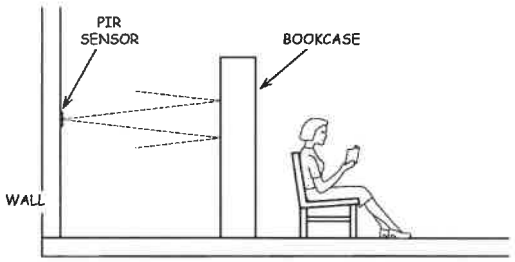

FIG. 31-1: PIR SENSORS ARE NOT USED WHEN OBSTACLES ARE PRESENT

4.1.5(i) Ultrasonic VSS:

4.1.5(i1) Is best in rooms with open spaces, obstructions, and hard surfaces

4.1.5(i2) Does not require occupants to be within its line of sight because its high-frequency sound can detect movement even around corners

4.1.5(i3) Has high sensitivity to minor movement, making it more suitable for areas with low motion (e.g., typing, writing, reading)

4.1.5(i4) Has a larger coverage area than a PIR sensor

4.1.5(i5) Is more sensitive to motion toward or away from the sensor than a PIR sensor

4.1.5(j) Dual technology (combination PIR/US) VSS:

4.1.5(j1) Is allowed in any location that conforms to the installation criteria and the manufacturer's recommendations

4.1.5(j2) Provides increased flexibility and accuracy

4.1.5(j3) Can reduce false-on/-off nuisance switching

4.2. Installation Procedure

4.2.1 Before replacing an existing switch with a VSS, turn off power to the switch box.

4.2.2 Verify that the controlled circuit is operational and properly grounded when grounding is required.

4.2.3 All VSS shall replace existing wall-mount light switches.

4.2.4 Total switched wattage shall be at least 40 watts and shall not exceed the manufacturer's load rating.

4.2.5 The VSS grounding lead must be properly connected to the system grounding conductor, when present.

4.2.6 Securely tighten screw-terminal wire attachments with a conductor wrapped around the screw no more than 360°.

4.2.7 Aluminum (Al) and copper (Cu) wires shall only be spliced together using Al/Cu wire connectors (and anti-oxidant paste when required) in accordance with the manufacturer's instructions and code.

4.2.8 The switch cover plate shall match the color of the VSS.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a lobby, hallway, kitchen, laundry room, etc.) is not allowed for this measure.

7. DOE–SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Each VSS will be tested for proper set-up and performance.

8.1.2 Time delay and sensitivity shall be set based on conditions at the residence.

8.1.2(a) Default delays (Fig. 31-2):

8.1.2(a1) 15 minutes for standard light controls

8.1.2(a2) 30 minutes for a dual-load VSS for a bathroom exhaust fan

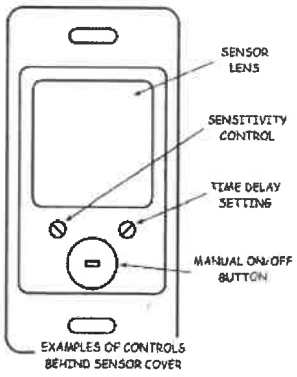

FIG. 31-2: EXAMPLE OF A SWITCH-BOX VACANCY SENSOR

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of using lead-safe practices when applicable and in accordance with federal, state, or local regulations and Section 1 Decommissioning.

8.3.2 Furniture and other household items moved for installation work shall be returned to their original positions.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 8 years

9.1.2 DOE: Not applicable to this measure

9.2 All VSS shall be:

9.2.1 Underwriters Laboratories (UL)–listed

9.2.2 Designed for installation in a wall-mount switch box

9.2.3 Title 24–compliant and listed in the California Energy Commission (CEC) Appliance Efficiency Database

9.2.4 Adjustable time delay, with maximum 20-minute delay

9.2.5 Manual on/automatic off

9.2.6 Not convertible to an occupancy sensor

9.2.7 Rated for use with the applicable lighting type

9.3 VSS for Specific Circuit Types

9.3.1 For single light–only circuits: Single pole

9.3.2 For light and exhaust fan controlled by one switch: Dual-load and rated for fan load

9.3.3 For multi-way and dimmable lighting circuits: Rated for use in such circuits

9.4 Sensor Types

9.4.1 Select the type appropriate for the location:

9.4.1 (a) PIR

9.4.1 (b) US

9.4.1 (c) A combination of both sensor types

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

32. Infiltration Reduction

Table of Contents

1. MEASURE OBJECTIVES 32-1

2. INSTALL THIS MEASURE WHEN: 32-1

2.1. Repair/Install 32-1

3. DO NOT INSTALL THIS MEASURE WHEN: 32-1

4. INSTALLATION GUIDELINES 32-2

4.1. General Requirements 32-2

4.1.2 Accessibility and Clearances 32-2

4.1.6 Shell Sealing 32-2

4.1.7 Sealing Thermal Bypasses 32-2

4.2. Shell Leakage Assessment 32-2

4.3. Prioritization of Sealing Activities 32-3

4.4. Ceiling Bypasses 32-6

4.4.2 Balloon Framing and Double Walls 32-6

4.4.3 Open Combustion Furnace Vent 32-7

4.4.4 Closed Combustion Furnace Vent 32-7

4.4.5 Attic Penetrations 32-7

4.5. Crawlspace Bypasses 32-8

4.5.2 Preparation of Crawlspace for Sealing 32-8

4.5.3 Balloon Framing and Double Walls 32-9

4.5.4 Bathtub Holes 32-9

4.5.5 Other Floor Bypasses 32-9

4.6. Doors 32-9

4.6.1 General Requirements 32-9

4.6.1(c) Modifying fire-rated doors 32-9

4.6.2 Door Repair 32-9

4.6.2(c) Sealing wood components 32-9

4.6.2(e) Safety glass repair 32-9

4.6.2(f) Door fit repair 32-10

4.6.2(g) Doorstop repair 32-10

4.6.2(h) Casing/trim repair 32-10

4.6.2(i) Door jamb repair 32-10

4.6.2(j) Threshold repair 32-10

4.6.2(k) Door hinge repair 32-10

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4.6.2(m) Strike plate 32-10
4.6.3 Door Installation *32-11*
4.6.3(c) Locks and deadbolts 32-11
4.6.3(e) Entrance doors 32-11
4.6.3(f) Entrance door hinge requirements 32-12
4.6.3(g) Entrance door clearances 32-12
4.6.3(h) Entrance door locks 32-12
4.6.3(i) Entrance door thresholds 32-12
4.6.3(j) Sealing entrance doors 32-13
4.6.3(k) Entrance door trimming/modifications 32-13
4.6.3(l) Appliance enclosure doors 32-13
4.6.3(m) Thresholds 32-13
4.7. Shell Sealing 32-15
4.7.1 General Requirements *32-15*
4.7.3 Caulking *32-16*
4.7.4 Patching *32-18*
4.7.5 Access Hatches *32-18*
4.7.5(d) Attic access (New installation—Horizontal) 32-19
4.7.5(e) Attic access (New installation—Vertical) 32-20
4.7.5(f) Crawlspace access cover replacement—Horizontal 32-21
4.7.5(g) Crawlspace access cover—Vertical 32-21
4.8. Fireplaces and Chimneys 32-22
4.8.1 Masonry Chimneys *32-22*
4.8.2 Fireplace Chimney Dampers *32-22*
4.8.3 Fireplace Glass Doors *32-22*
4.9. Penetrations 32-23
4.10. Wall Bypasses 32-24
4.10.2 Interior Wall Openings *32-24*
4.10.3 Exterior Wall Openings *32-24*
4.10.4 Cover Plate Gaskets *32-25*
4.11. Weatherstripping 32-25
4.11.1 General Requirements *32-25*
4.11.2 Exterior Doors *32-25*
4.11.3 Door Bottom and Threshold Weatherstripping *32-27*
4.11.4 Attic and Crawlspace Access Covers Located in Conditioned Space *32-27*
4.11.5 Appliance Enclosure Door Weatherstripping *32-28*
4.11.6 Window Weatherstripping *32-28*
4.11.6(g) Weatherstripping sliding glass doors (SGDs) 32-30
4.12. Window and SGD Repair 32-30

4.12.1 Window and SGD Replacement *32-30*
4.12.2 Window Repair *32-30*
4.12.3 SGD Repair *32-30*
4.12.4 Glass Replacement *32-30*
4.12.4(d) Glass selection 32-31
4.12.4(e) Glazing compound 32-31
4.12.4(f) Glazing channel 32-31
4.12.4(g) Wood sash 32-31
4.12.4(h) Metal sash 32-31

5. MOBILE HOME–SPECIFIC 32-32
5.2. Access Hatches 32-32
5.3. Mobile Home Doors 32-32
5.3.1 All Mobile Home Doors *32-32*
5.3.2 All Swinging Doors *32-32*
5.3.3 In-Swinging "House-Type" Doors *32-32*
5.3.4 Out-Swinging Doors *32-32*
5.3.5 Flush-Mount Doors with External Flange/Fin *32-33*
5.4. Mobile Home Glass Replacement 32-33
5.4.1 General Requirements *32-33*
5.4.2 Glass Replacement in Awning Windows *32-33*
5.4.3 Flanged Window Frame Removal *32-33*
5.5. Mobile Home Window Repair 32-33
5.6. Mobile Home Weatherstripping 32-34
5.6.3 Flush-Mount Doors with Exterior Flange *32-34*
5.7. Mobile Home Sealing Activities 32-34
5.7.5 Caulking Locations in Mobile Homes *32-34*
5.7.6 Marriage Line *32-35*
5.7.7 Ceilings *32-35*
5.7.8 Floors *32-35*
5.7.9 Bellyboard/Bottomboard *32-35*
5.7.10 HPDs in Mobile Homes *32-35*

6. MULTI-FAMILY–SPECIFIC 32-35
6.1. Installation Requirements 32-35
6.1.2 Fire-rated doors and jambs *32-36*

7. DOE-SPECIFIC 32-36
7.1. Assessment Requirements 32-36
7.2. Installation Requirements 32-37

8. POST-INSTALLATION GUIDELINES 32-38

8.1. Quality Check 32-38

8.2. Client Education 32-39

8.3. Clean-Up and Disposal Requirements 32-39

9. MATERIAL SPECIFICATIONS 32-39

9.4. Specific Applications 32-41

10. WARRANTY 32-50

Infiltration Reduction

1. MEASURE OBJECTIVES

1.1 Infiltration-reduction measures (IRMs) reduce the uncontrolled flow of air through the building envelope.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair/Install

2.1.1 Shell sealing measures are determined to be feasible as defined in Appendix C Shell Leakage Testing Protocol and CSD 704 Shell Leakage Data Sheet and

2.1.2 Cracks, gaps, and holes exist between conditioned and unconditioned spaces or between adjacent apartment units and fall into at least one of the following infiltration-reduction priorities (per Table 32-1):

2.1.2(a) Priority 1—Catastrophic air leaks are present with a visible opening >5 sq. in.

2.1.2(b) Priority 2—Attic and high-level air leaks are present

2.1.2(c) Priority 3—Crawlspace and low-level infiltration is present

2.1.2(d) Priority 4—Interior/mid-level infiltration is present and has a visible opening >⅝"

2.1.2(e) Priority 5—Interior/mid-level infiltration is occurring with a visible opening ≤⅝"

2.1.2(f) Priority 6—Exterior infiltration is present

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The dwelling has no heat source or cooling source

3.2 A combustion appliance safety (CAS) hazard or CAS fail exists and cannot be corrected as detailed in Appendix A Combustion Appliance Safety Protocol

3.3 The home is limited to non-infiltration measures only (the home is NIM) and shell sealing is not feasible per Appendix C Shell Leakage Testing Protocol

3.4 Mechanical ventilation assessment/installation is required as defined in Section 12 Mechanical Ventilation but cannot be installed

3.5 The dwelling envelope is damaged/deteriorated, or the home is being remodeled, and the thermal boundary is incomplete

3.6 Installation would violate the Appendix E Health & Safety Requirements

3.7 The client refuses after measure benefits have been explained by the assessor

3.8 The dwelling is:

3.8.1 A mobile home with an open combustion gas-burning space heater, water heater, or solid fuel burning space heater that draws combustion air from the living space or

3.8.2 A single-family home with a solid fuel–burning space heater that draws combustion air from the living space

3.8.2(a) Exception (for both mobile homes and single-family homes): Pressure diagnostics and IRMs shall be allowed when:

3.8.2(a1) Pressure measurement shows the combustion appliance zone (CAZ) of each appliance is less negative than the house depressurization limit (HDL). (See procedures described in Appendix A Combustion Appliance Safety Protocol.)

3.8.2(a2) Installed measures do not depressurize the CAZ beyond the HDL

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 All CAS hazards, CAS fails, or indoor air quality fails must be corrected before sealing activities begin, per Appendix A Combustion Appliance Safety Protocol.

4.1.2 Accessibility and Clearances

4.1.2(a) The attic or crawlspace shall be accessible, when required, in accordance with the clearance requirements identified in Section 1 General Installation Guidelines, Attic and Crawlspace Accessibility.

4.1.3 Prior to air sealing, an inspection will be conducted for mold, water leaks, and water damage.

4.1.3(a) All feasible moisture repairs will be completed before air sealing work begins.

4.1.3(a1) See Section 1 General Installation Guidelines, Limited Home Repair for specific examples of moisture repair.

4.1.4 Asbestos and Lead

4.1.4(a) If potential lead or asbestos hazards are present that could be impacted through infiltration activities, the dwelling shall be assessed in accordance with the Appendix E Health and Safety Requirements, Asbestos Policy and Lead Safe Weatherization (LSW) Policy.

4.1.5 Audited Measures

4.1.5(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded, it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.5(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.5(b1) Door replacement as an energy efficiency upgrade is not permitted with LIHEAP or DOE funds.

4.1.6 Shell Sealing

4.1.6(a) Cracks and gaps in the envelope shall be sealed from the interior side whenever feasible.

4.1.6(b) Continuous seal will be installed around seams, cracks, joints, edges, penetrations, and connections.

4.1.6(c) When a supplemental barrier is created (e.g., with a collar), it shall be secured as needed with mechanical fasteners (screws, staples, or nails) to ensure a complete and permanent seal.

4.1.6(d) Sealing work shall not create a fire hazard or other condition that conflicts with local code.

4.1.6(e) When applicable, sealing material shall be evenly tooled, with excess material removed, to ensure a clean appearance and adequate seal.

4.1.7 Sealing Thermal Bypasses

4.1.7(a) All air leakage locations (including duct leaks, shell leaks, and thermal bypasses) shall be sealed.

4.2. Shell Leakage Assessment

4.2.1 The dwelling shall be inspected to identify all thermal bypasses (areas of potential leakage from inside the living space), including in the wall(s) between the house and the garage, through ceilings, and between the floor and the crawlspace.

4.2.2 Assessors shall:

4.2.2(a) Identify all catastrophic shell leaks

4.2.2(b) Perform a visual inspection to identify gaps, cracks, and failed sealants

4.2.2(c) Conduct shell assessment per the Appendix C Shell Leakage Testing Protocol

4.2.3 Under LIHEAP, it is recommended that shell leakage testing be completed in all feasible dwellings. At a minimum, shell leakage test–driven air sealing shall be applied to at least 20% of single-family dwellings/mobile homes and at least 5% of multi-family units.

4.2.3(a) Exception: Shell leakage testing is not required for multi-family buildings of four stories or more.

4.2.4 When a home is NIM, no shell testing or sealing shall be conducted until the issue that created the NIM condition is corrected.

4.2.5 Shell sealing activities—either prescriptive or as a result of shell leakage testing—shall be assessed and documented on the CSD 704 Shell Leakage Data Sheet.

4.3. Prioritization of Sealing Activities

4.3.1 Once leaks have been identified, sealing activities shall be prioritized per Table 32-1.

4.3.2 Infiltration-reduction priority levels shall be utilized in numerical order from Priority 1 to Priority 6.

4.3.3 In addition, shell sealing activities shall be performed in the order presented within each priority level, unless the activity is documented to be unfeasible.

4.3.4 If feasible sealing activities are skipped without written justification, those sealing activities will fail inspection.

4.3.5 Certain leaks may require more than one sealing technique to be resolved.

TABLE 32-1: PRIORITY LEVEL, SEALING ACTIVITY, AND INSTALLATION GUIDELINE DIRECTORY

Occupant Protection–Related Sealing Must be completed before shell leakage test or any shell sealing is performed.		
Priority	**Sealing Activity***	**Installation Guideline Section**
Occupant Protection	• Interior vent cover: Cooling source is too close to a furnace vent pipe terminal. Cover required to prevent byproduct infiltration. • CAS patching: Seal gaps/holes in walls separating a combustion appliance from the living space. • When a whole house fan exhausts into the attic, both of the following must be completed: – Repair and seal ductwork in the attic – Repair and seal gaps/bypasses between the attic and living space (e.g., in the attic floor and knee walls) • Appliance enclosure door weatherstripping: Combustion air comes only from outdoors and interior combustion ventilation air vents are not present. • For attached garage: Door weatherstripping separates living space from garage when an open combustion appliance or any source of carbon monoxide (CO) is present. *Note: This list of sealing activities is not exhaustive. Other conditions may require occupant protection–related sealing.	• Appendix C Shell Leakage Testing Protocol

TABLE 32-1: PRIORITY LEVEL, SEALING ACTIVITY, AND INSTALLATION GUIDELINE DIRECTORY

PRIORITY 1: Catastrophic air leaks are present with a visible opening >5 sq. in.

a. When measurable as a physical gap, a catastrophic shell leak is defined as 5 sq. in. of leakage calculated for a single measure location (e.g., a door, a window, etc.).

b. To prove catastrophic shell leakage, measure and calculate gap length x gap width. If the total is equal to 5 sq. in. or more, then catastrophic leakage is justified. The actual calculation must be included in the CSD 540 Assessment Form, as in the example below.

Example:

10" gap length x 0.5" gap width = 5 sq. in.

This gap would qualify for repair as catastrophic leakage.

Priority	Sealing Activity	Installation Guideline Section
Priority 1	• Missing interior vent covers	• Section 4 Heating and Cooling—Evaporative Coolers • Section 4 Heating and Cooling—Window/Wall Air Conditioners
	• Missing or broken attic or crawlspace access cover	• Access Hatches
	• Missing chimney damper or fireplace doors	• Fireplaces and Chimneys
	• Missing kitchen exhaust (KE) damper, or gaps around KE vent	• Section 11 Kitchen Exhaust
	• Window/Sliding Glass Door catastrophic leakage	• Window and SGD Repair • Note: Catastrophic window replacement is addressed in Section 33 Windows and Sliding Glass Doors
	• Door catastrophic leakage	• Doors
	• Other catastrophic leakage	• Shell Sealing • Note: Catastrophic duct sealing is addressed in Section 8 Ducting Repair, Sealing, and Insulation
	• Mobile home: Catastrophic leakage	• Mobile Home Sealing Activities

TABLE 32-1: PRIORITY LEVEL, SEALING ACTIVITY, AND INSTALLATION GUIDELINE DIRECTORY

PRIORITY 2: Attic and high-level air leaks are present Sources of infiltration at the ceiling level, or within 12" of the ceiling.		
Priority	**Sealing Activity**	**Installation Guideline Section**
Priority 2	• Sealing at top plate and sill plate	• Wall Bypasses
	• Defective attic or crawlspace access cover	• Shell Sealing
	• Framing gaps and wall cavity openings	• Wall Bypasses
	• Ceiling thermal bypasses	• Ceiling Bypasses
	• Duct penetrations and chaseways in the ceiling	• Penetrations
	• Electrical penetrations, i.e., gaps around electrical (junction) boxes or other ceiling penetrations	• Penetrations
	• Knee wall-to-ceiling gaps • Knee wall penetrations	• Ceiling Bypasses
	• Gaps around light enclosures	• Ceiling Bypasses
	• Mobile home	• Mobile Home Sealing Activities
PRIORITY 3: Crawlspace and low-level infiltration is present Sources of infiltration between the floor and foundation, or within 12" of the floor.		
Priority	**Sealing Activity**	**Installation Guideline Section**
Priority 3	• Bathtub holes and other plumbing penetrations	• Penetrations
	• Framing gaps and wall cavity openings	• Wall Bypasses
	• Duct penetration/chaseway in the floor	• Penetrations
	• Electrical penetrations at floor level	• Penetrations
	• Miscellaneous holes in flooring	• Crawlspace Bypasses
	• Mobile home: Bellyboard repair (All holes in the bellyboard created for underfloor access shall also be repaired.)	• Mobile Home Sealing Activities
PRIORITY 4: Interior/mid-level infiltration is present and has a visible opening >⅝" Sources of infiltration >⅝" in the shell that are more than 12" above the floor and 12" below the ceiling.		
Priority	**Sealing Activity**	**Installation Guideline Section**
Priority 4	• Gaps around kitchen exhaust vent (non-catastrophic)	• Section 11 Kitchen Exhaust
	• Plumbing penetrations under sinks in kitchens and bathrooms requiring a wall patch	• Penetrations
	• Electrical penetrations, including service panels on interior walls	• Penetrations
	• At washer hook-ups	• Penetrations
	• Envelope leaks requiring repair/patch	• Shell Sealing
	• Joints between dissimilar materials, especially around fireplaces and other masonry trim, large ceiling beams, tubs and showers	
	• Unfinished wall areas inside cabinets, penetrations under kitchen and bathroom sinks	
	• Mobile home: Gaps and holes in floors and walls, e.g., joints between halves of a mobile, a mobile and an "expando" unit or add-on room, etc.	• Mobile Home Sealing Activities

TABLE 32-1: PRIORITY LEVEL, SEALING ACTIVITY, AND INSTALLATION GUIDELINE DIRECTORY

PRIORITY 5: Interior/mid-level infiltration is occurring with a visible opening <⅝"		
Sources of infiltration ≤⅝" in the shell that are more than 12" above the floor and 12" below the ceiling.		
Priority	**Sealing Activity**	**Installation Guideline Section**
Priority 5	• Weatherstripping of attic/crawlspace access cover(s)	• Access Hatches
	• Hidden leaks behind appliances, especially washers and dryers, including dryer exhaust penetrations	• Wall Bypasses
	• Plumbing penetrations that can be caulked under sinks and in utility rooms	• Penetrations
	• Weatherstripping (doors/windows) between conditioned and unconditioned space	• Weatherstripping
	• Bypasses in walls, including cracks around molding/trim, etc.	• Wall Bypasses
	• Windows and leaks around window-mount appliances	• Window and SGD Repair
	• Other infiltration points identified by blower door test or prescriptive sealing, including:	
	– Door or sliding glass door repair (with no catastrophic leakage)	• Doors • Window and SGD Repair
	– Window repair or glass replacement (e.g., cracked pane, up to five BB holes, etc.)	• Window and SGD Repair
	– Duct repair	• Section 8 Ducting Repair, Sealing, and Insulation
	• Cover plate gaskets	• Shell Sealing
	• Mobile home	• Mobile Home Sealing Activities
PRIORITY 6: Exterior infiltration is present		
Sources of infiltration in the home's exterior wall that allow infiltration into the wall cavities.		
Priority	**Sealing Activity**	**Installation Guideline Section**
Priority 6	• Exterior door and window frames, light fixtures, and holes in siding shall be sealed	• Shell Sealing
	• Mobile home	• Mobile Home Sealing Activities

4.4. Ceiling Bypasses

4.4.1 A ceiling bypass is a penetration from the living space into the attic (i.e., through the ceiling) that allows communication of conditioned air between the home and the attic.

4.4.2 Balloon Framing and Double Walls

4.4.2 (a1) Blocking shall prevent loose fill from falling down into open wall cavities.

4.4.2 (a2) The entire opening will be spanned with rigid material in line with the ceiling level.

4.4.2 (a3) The material will be cut to fit and mechanically fastened.

4.4.2 (a4) All remaining gaps at the top of the opening will be sealed.

4.4.2 (a5) All remaining gaps at the top of the chase will be sealed.

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4.4.3 Open Combustion Furnace Vent

4.4.3(a1) Ceiling bypasses at vent penetrations shall be sealed only when:

- The bypass is not required for combustion air
- Installation of a metal collar does not cover a vented thimble or support system and does not violate local code

4.4.4 Closed Combustion Furnace Vent

4.4.4(a) Ceiling collar

4.4.4(a1) A vent (pipe) collar at the ceiling is not required for gaps <⅜". (The gap may be sealed with high-temperature caulk.)

4.4.4(a2) When no collar is present or gaps at the existing collar are ≥⅜", a metal collar shall be installed.

4.4.4(a3) Loose-hanging and fallen collars shall be reinstalled when feasible.

- Collars shall be sealed and mechanically secured against the ceiling (Fig. 32-1).
- Elastomeric caulk (or duct mastic) shall be applied to back side of the collar (high-temperature caulk within 3" of the flue pipe).
- The collar shall be secured with at least four anchors (e.g., sheet metal screws) which penetrate solid wood when possible.
- High-temperature caulk shall be used to seal gaps ≥1/16" between the pipe and collar.

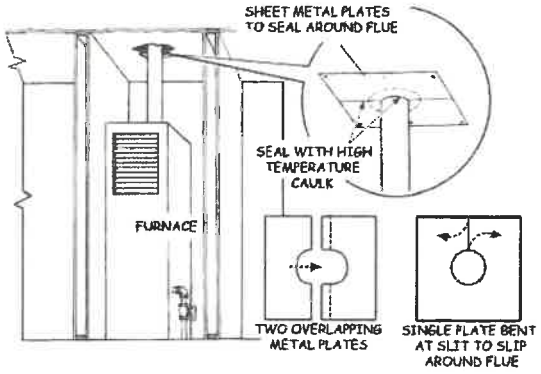

FIG. 32-1: SEAL CEILING VENT PIPES

4.4.5 Attic Penetrations

4.4.5(a) Heat-producing device (HPD) ceiling penetrations within the attic

4.4.5(a1) High-temperature caulk shall be used near HPDs (Fig. 32-2).

4.4.5(a2) Recessed lights

- Holes or ventilation openings in recessed light canisters or other HPDs shall not be blocked.

4.4.5(a3) Attic penetrations by masonry chimneys, see Fireplaces and Chimneys.

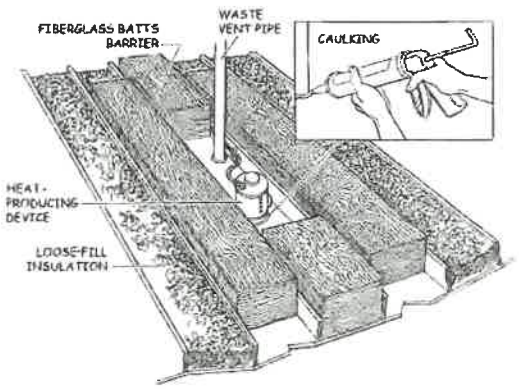

FIG. 32-2: USE HIGH-TEMPERATURE SEALANT ON HPDS

4.4.5(a4) Attic penetrations by metal pipes

- The following shall not be sealed:
  - Wall furnace vent pipes and other gas vents located inside wall cavities
  - Non-conforming single wall vent or flue pipes
  - Ventilated thimbles and collars

4.4.5(b) Ceiling vents not used for combustion air

4.4.5(b1) Seal the vent openings with minimum ½" gypsum, plywood, or metal and cover with insulation.

4.4.5(b2) Vents shall not be sealed with batts or foam board.

4.4.5(c) Non-HPD penetrations and similar leaks

4.4.5(c1) High-temperature caulk is not required for local or kitchen exhaust fan ducts, waste vent pipes, water pipes, and similar penetrations that are not heat-producing.

4.4.5(c2) Gaps <⅜" shall be sealed with elastomeric caulk.

4.4.5(c3) Gaps ≥⅜" shall be covered with a metal collar and:

- Sealed to the mounting surface with elastomeric caulk and
- Sealed at the penetration with elastomeric caulk

4.4.5(d) Chases and openings to the attic above a dropped ceiling or soffit

4.4.5(d1) The entire opening shall be spanned with rigid material in line with the ceiling level when possible or airflow will be blocked in locations where access allows.

4.4.5(d2) Material shall be cut to fit and fastened as required.

4.4.5(d3) Rigid material shall meet fire code flame and smoke spread requirements.

4.4.5(d4) All remaining gaps at the top of the chase/dropped ceiling shall be sealed.

4.4.5(d5) Tongue-and-groove ceilings

- Backing shall be installed behind tongue-and-groove ceilings.
- Sealants shall be compatible with their intended surfaces.
- Sealants shall be continuous and meet fire barrier specifications, according to the authority having jurisdiction.
- No sealant shall be allowed to be visible in the living space.

4.4.5(d6) Light boxes and fixtures in dropped ceilings (with non-intact fixed ceilings) or soffits

- An airtight seal shall be provided around perimeter between light box enclosure and interior ceiling.
- All seams and penetrations of the enclosure shall be sealed.
- Insulation shall be kept at least 3" away from the top and side of any fixtures.
- If a dropped ceiling will be filled with insulation, then a sealed rigid barrier enclosure shall be installed to maintain a 3" clearance on all sides and at least ½" from combustible materials.
  - Top of rigid barrier enclosure shall be sealed with non-insulating rigid material (e.g., gypsum or equivalent perm rating and R-value).

4.5. Crawlspace Bypasses

4.5.1 A crawlspace bypass is a penetration from the living space into the crawlspace (i.e., through the flooring) that allows communication of air from the crawlspace into the home's conditioned space (Fig. 32-3).

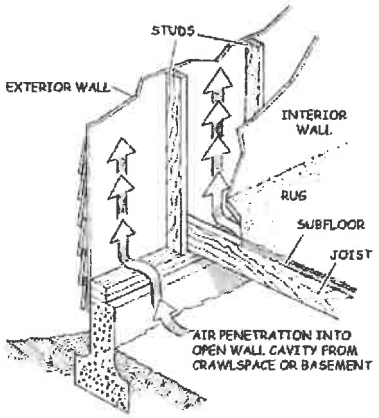

FIG. 32-3: CRAWLSPACE BYPASS

4.5.2 Preparation of Crawlspace for Sealing

4.5.2(a) Crawlspace repairs (sealing and installation of insulation) shall only be performed after heating, ventilation, and air conditioning work has been completed and inspected by the local jurisdiction.

4.5.2(b) When correction of standing water is not feasible, installation of floor insulation is not feasible.

4.5.2(c) When feasible, sealing of floor thermal bypasses shall be performed before floor insulation is installed.

4.5.2(d) Crawlspace must be separated from a conditioned basement or other conditioned space with a continuous air barrier, ground moisture barrier (when required by the local jurisdiction), and thermal boundary.

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4.5.3 Balloon Framing and Double Walls

4.5.3(a) Blocking shall prevent loose fill from falling down into open wall cavities and into the crawlspace or basement.

4.5.3(b) The entire opening will be spanned with rigid material in line with the ceiling level.

4.5.3(c) The material will be cut to fit and mechanically fastened.

4.5.4 Bathtub Holes

4.5.4(a) The floor opening under a bathtub shall be sealed with filler board and sealant (Fig. 32-4).

4.5.4(a1) Radiant barrier, foam board, duct board, or other approved barrier material may be used for filler board.

4.5.4(a2) Silicone, acoustical caulk, or foam sealant may be used to seal filler board.

4.5.4(a3) Filler board shall be secured, as needed, with mechanical fasteners (screws, staples, or nails) to ensure a complete and permanent seal.

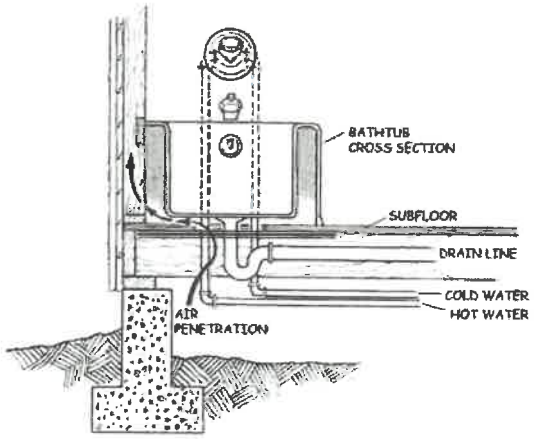

FIG. 32-4: OPENING UNDER BATHTUB

4.5.5 Other Floor Bypasses

4.5.5(a) Seal with caulk, foam, or other appropriate, approved material. (Also see Caulking.)

4.5.5(b) For plumbing floor penetrations, see Penetrations.

4.6. Doors

4.6.1 General Requirements

4.6.1(a) Documentation of the door repair or replacement condition is required.

4.6.1(a1) When catastrophic leakage is cited, measurements and calculations must be provided on the assessment form. (See Shell Sealing.)

4.6.1(b) Remove burs, sharp corners and edges, and other such hazards from the finished installation.

4.6.1(c) Modifying fire-rated doors

4.6.1(c1) Doors labeled to have a fire rating of >20 minutes shall not be modified or weatherstripped except as prescribed by the manufacturer and local code.

- Manufacturer or code documentation shall be kept in the client file.

4.6.2 Door Repair

4.6.2(a) Doors shall be repaired to correct infiltration or to support the installation of weatherstripping, safety glass replacement, etc.

4.6.2(b) Door will be adjusted to properly fit the jamb and allow for ease of operation (e.g., hinge replacement, door re-planing, door strike adjustment).

4.6.2(c) Sealing wood components

4.6.2(c1) New wood components shall be sealed on both sides and four edges with exterior-grade sealant.

- Acceptable exterior-grade sealers are paint, urethane, and varnish.
- Clear "water seal" products are not allowed.

4.6.2(d) Hardware shall be installed per manufacturer's instructions.

4.6.2(e) Safety glass repair

4.6.2(e1) Safety glass is required in door inserts.

4.6.2(e2) Replacement of existing in-door glazing with a "like" specialty glass (e.g., stained glass or special design glass) is not allowed.

4.6.2(e3) When allowed by local code and with permission of the client, polycarbonate may be used instead of tempered glass.

4.6.2(f) Door fit repair

4.6.2(f1) When the door does not close properly due to incorrect sizing or changes to door jamb shape, the door shall be planed or trimmed to improve closure and reduce infiltration.

4.6.2(g) Doorstop repair

4.6.2(g1) Wood jambs (Fig. 32-5)

- Stops shall be made of wood.
- Minimum stop dimensions: 5/16" x 1¼"

4.6.2(g2) Stops shall not be doubled (one on top of another) for added thickness on the latch side.

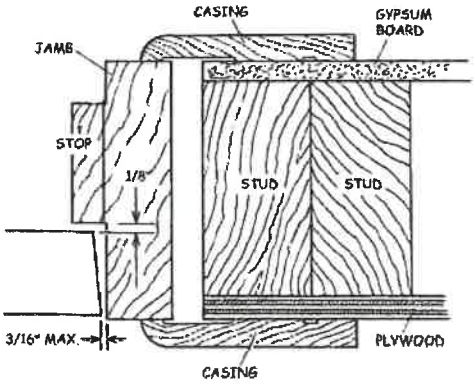

FIG. 32-5: DOOR JAMB DIAGRAM

4.6.2(h) Casing/trim repair

4.6.2(h1) Exterior-grade wood is required in all exterior locations.

- Paint-grade wood is acceptable if the wood does not have a natural finish.

4.6.2(h2) New casing/trim size/shape and miters shall be compatible with existing casing/trim visible from the location of the door.

4.6.2(h3) Sealer or primer shall be installed to prevent moisture damage to unfinished wood. (See Sealing wood components.)

4.6.2(h4) Finishing or casing nails are required for interior applications.

4.6.2(h5) Galvanized nails are required for exterior applications.

4.6.2(h6) Exterior casing/trim shall be caulked to provide a watertight seal around the entire perimeter.

4.6.2(h7) Exterior and interior gaps and cracks shall be caulked in accordance with Caulking.

4.6.2(i) Door jamb repair

4.6.2(i1) Exterior-grade material only

4.6.2(i2) 1¼"-thick stock standard; ¾" minimum

4.6.2(i3) Width shall be within ¼" of the finished wall thickness.

4.6.2(i4) The top shall be secured to the sides with dado or rabbet joints.

4.6.2(j) Threshold repair

4.6.2(j1) See Thresholds.

4.6.2(k) Door hinge repair

4.6.2(k1) Brass or stainless-steel flathead jamb screws shall be used for hinge repair with wood and metal jambs or as specified/supplied by manufacturer.

4.6.2(k2) Existing screw holes shall be filled with plugs or wooden golf tees and glued before reuse unless larger/longer screws that tighten securely are installed.

4.6.2(k3) Hinge relief mortise and flush mounting are required for all hinges. Mortise holes abandoned due to hinge relocation shall be patched.

4.6.2(k4) Screws shall penetrate the trimmer stud at least ⅝".

4.6.2(l) Deadbolts

4.6.2(l1) Deadbolts shall turn freely and engage when the door is closed and the entry set latch tongue is inside the strike plate.

4.6.2(m) Strike plate

4.6.2(m1) A jamb strike plate is required.

4.6.2(m2) The latch tongue shall engage properly when the door is closed with normal force.

4.6.2(m3) Simple strike plate adjustments shall not be billed as door repair.

4.6.2(m4) Multiple strike plates for added thickness are not allowed.

4.6.2(m5) The jamb shall be repaired when the latch will not function properly with one strike plate.

4.6.2(m6) When existing holes will not properly secure a standard strike plate:

- The jamb shall be repaired, or
- A large-sized strike plate (e.g., 4⅞" x 1¼") shall be installed to replace a standard plate when the screw holes in the jamb are stripped

4.6.2(n) Finish/sealer for exterior doors (Fig. 32-6)

4.6.2(n1) Doors, including those that are cut to fit on-site, shall be sealed (painted or primed) to prevent moisture intrusion.

4.6.2(n2) Acceptable sealers for wood doors, jamb, and casing/trim are exterior-grade paint, urethane, and varnish.

4.6.2(n3) Acceptable sealer for metal doors is exterior-grade paint.

4.6.2(n4) Clear "water seal" products are not allowed.

FIG. 32-6: DOOR FINISH SEALER

4.6.3 Door Installation

4.6.3(a) If both a new door blank and hardware (latch, door bottom, etc.) are installed, the work is door replacement.

4.6.3(b) All hinged replacement doors shall be:

4.6.3(b1) Limited to entrance doors and interior and exterior appliance enclosure doors

4.6.3(b2) Equipped with a keyed locking mechanism

4.6.3(b3) Glazed with safety glass

4.6.3(c) Locks and deadbolts

4.6.3(c1) Existing locks and deadbolts shall be reused if they are functional.

- Exception: If the existing deadbolt has a key closure on the interior side, it shall not be installed in the replacement door.

4.6.3(c2) New deadbolts shall have a thumb turn on the interior side.

4.6.3(c3) In renter-occupied dwellings, installation of a new deadbolt is only allowed when:

- A new replacement door is being installed, and
- The old deadbolt is inoperable or is not present

4.6.3(c4) In owner-occupied dwellings, a new deadbolt is not allowed when a door is being replaced; however, an existing deadbolt may be installed in the replacement door.

4.6.3(c5) When multiple new locks or deadbolts are installed, the new locks shall all be keyed alike.

4.6.3(c6) Existing locks shall not be re-keyed to match new locks.

4.6.3(d) All replacement doors shall:

4.6.3(d1) Be sized to fit properly into the opening with clearances that meet the door manufacturer's specifications

4.6.3(d2) Be framed square, level, and plumb in the opening

4.6.3(d3) Match the style of the existing door, subject to local code requirements

4.6.3(e) Entrance doors

4.6.3(e1) Replacement doors shall be limited to standard solid core slab or panel doors. (No ornate design, stained glass, decorative windows, etc., is allowed unless required by the State Historical Preservation Office and approved by weatherization waiver.)

4.6.3(e2) Entrance doors shall be fire-rated to comply with local code (e.g., from living area to garage in homes with attached garage, and in multi-family units).

4.6.3(e3) Securely attach the hinge side to the structural framing.

4.6.3(e4) Install mineral fiber or backer rod insulation in gaps between the door frame and the rough opening.

- Injected foam is not allowed.

4.6.3(e5) Caulk the exterior casing/trim to provide a watertight seal around the entire perimeter.

4.6.3(e6) Integral or applied weatherstripping is required.

4.6.3(e7) Shims shall not extend the top of the threshold above the finished floor by more than 1", or by more than ½" if any occupant is physically handicapped.

4.6.3(e8) Warpage for all doors shall not exceed ½" from end to end, to facilitate proper weatherization (Fig. 32-7).

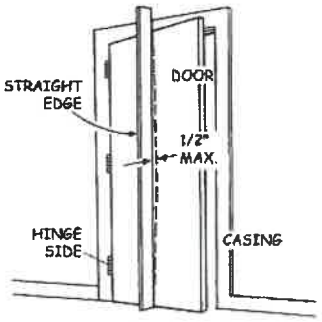

FIG. 32-7: WARPAGE LIMITS

4.6.3(f) Entrance door hinge requirements

4.6.3(f1) At least three hinges per door are required.

4.6.3(f2) Hinges must be loose-pin type unless mounted toward the exterior.

4.6.3(f3) At least one spring-loaded hinge is required when the door is between an attached garage and a living area.

4.6.3(f4) A hinge relief mortise and flush mounting are required for all hinges.

4.6.3(f5) Patch any mortise and hardware holes abandoned due to hinge relocation.

4.6.3(f6) Existing hinge screw holes may be used if standard or larger/longer screws tighten the hinge securely. If not, the holes may be filled with plugs or wooden golf tees and glued before reuse.

4.6.3(f7) Hinge screws must penetrate the trimmer stud at least ⅝".

4.6.3(g) Entrance door clearances

4.6.3(g1) Door face to doorstop: Maximum clearance of ⅛" when the entry set latch tongue and strike plate are engaged.

4.6.3(g2) Door edge to door jamb: The distance between the door edge and jamb (when the door is closed) shall be minimum ⅛" and maximum 3/16".

4.6.3(h) Entrance door locks

4.6.3(h1) Ensure the entrance lockset height is 36" from the floor when both the door and the jamb are replaced.

- The lockset may remain at its existing height when only the door blank is replaced.

4.6.3(h2) The deadbolt shall:

- Turn freely and engage when the door is closed and the entry set latch tongue is inside the strike plate
- Have a thumb turn on the interior side. (An inside key is not allowed.)

4.6.3(h3) A strike plate is required and will latch the entry set tongue when the door is closed with normal force.

- Multiple strike plates are not allowed.
- When the latch will not function properly with one strike plate:
  - Repair the jamb or
  - Install a longer, heavy-duty strike plate with new screw holes

4.6.3(i) Entrance door thresholds

4.6.3(i1) See Thresholds.

4.6.3(j) Sealing entrance doors

4.6.3(j1) Seal all bare wood (doors, jambs, and casing/trim) with exterior-grade paint, urethane, or varnish.

- Clear "water seal" products are not allowed.

4.6.3(j2) Seal wood doors on both sides and on four edges.

4.6.3(j3) Paint or prime metal doors with oil-based or epoxy paint only.

4.6.3(k) Entrance door trimming/modifications

4.6.3(k1) For veneer-type (not solid) replacement doors, a maximum of 1" may be cut from the sides and top and a maximum of 2" may be cut from the bottom unless the door has expanded rails and stiles and/or deeper cutting is approved by the door manufacturer.

4.6.3(k2) Doors labeled with a fire rating of >20 minutes shall not be modified or weatherstripped except as prescribed by the manufacturer and local code.

- Documentation of the above manufacturer specifications shall be kept in the client file.

4.6.3(k3) A 3°–5° bevel is required on the lockset edge.

4.6.3(l) Appliance enclosure doors

4.6.3(l1) Health and Safety (H&S) Support: Repair or installation of an appliance enclosure door (for an H&S appliance) that is missing, does not close properly, allows entry of combustion byproducts into the living space, or allows entry of inclement weather into the enclosure, per Section 1 General Installation Guidelines, Limited Home Repair.

4.6.3(l2) Energy Conservation Measure (ECM) Support: Repair or installation of an appliance enclosure door (for an ECM appliance) that is missing, does not close properly, allows entry of combustion byproducts into the living space, or allows entry of inclement weather into the enclosure, per Section 1 General Installation Guidelines, Limited Home Repair.

4.6.3(l3) Exterior

- Installation requirements for exterior appliance enclosure doors are the same as those for entrance doors except the door must be exterior-grade solid slab or metal-clad only.

4.6.3(l4) Interior

- Seal interior wooden doors on both sides and on four edges with interior-grade primer, paint, urethane, or varnish.
  - Clear "water seal" products are not allowed.
- Install jamb screws that penetrate the trimmer stud at least ⅝" on pre-hung units and replacement jambs.
- Install the interior door lock/latch in accordance with entrance door lock requirements in Locks and deadbolts.
- Patch any mortise holes abandoned due to hinge relocation.
- Hinge relief mortise and flush mounting is required for all hinges.
- Existing hinge screw holes may be used if standard or larger/longer screws tighten the hinge securely. If not, the holes may be filled with plugs or wooden golf tees and glued before reuse.
- Hinge screws must penetrate the trimmer stud at least ⅝".
- See Appendix A Combustion Appliance Safety Protocol for additional information about combustion ventilation air (CVA).

4.6.3(m) Thresholds

4.6.3(m1) Door bottom and threshold weatherstripping

- A gasketed metal U-shoe and metal or wooden saddle threshold combination is used whenever possible (Fig. 32-8).

- A gasketed door shoe can be installed without a new threshold if the shoe seals properly against the existing threshold.
- Use a high-profile, U-type door shoe (e.g., 3"-high U, kick plate–style) when door bottom is cut too short or is too worn/weak to accept a standard (1½"-high) U-shoe.
- An L-shoe is allowed only when a U-shoe cannot be installed, (e.g., due to non-standard door thickness).

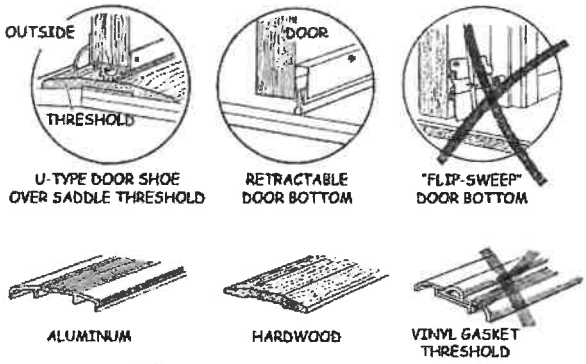

FIG. 32-8: WEATHERSTRIPPING DOOR BOTTOMS AND THRESHOLDS

- A plastic unit may be used when an aluminum carrier will not fit and the door cannot be cut.
- Install a stationary sweep only when the use of a door shoe/threshold combination is not feasible.
- Automatic door bottoms are used only when a shoe/threshold combination is not feasible or a stationary sweep is not feasible due to drag on the floor surface.
- A bumper threshold is the best option for an appliance enclosure or out-swinging garage door.
- Weatherstripping material shall not drag on the floor covering (wood, tile, carpet, etc.).

4.6.3 (m2) Threshold height

- The threshold, and riser when present, shall extend a maximum of 1" above the interior finished floor, or a maximum of ½" above the interior finished floor when any occupant uses a wheelchair or walker) (Fig. 32-9).
- A low-profile threshold (e.g., ¼" high) may be installed to minimize height.
- Threshold risers and elevators/shims (Fig. 32-10)

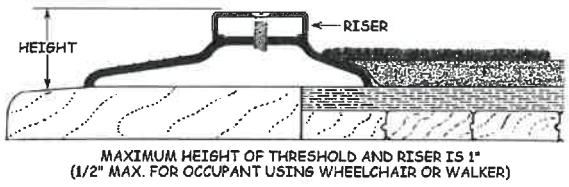

FIG. 32-9: THRESHOLD REPAIR

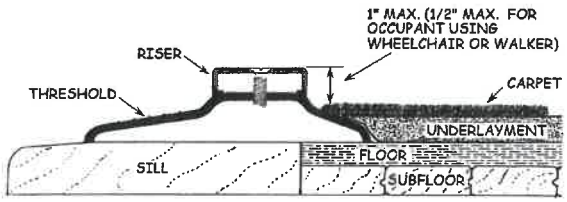

FIG. 32-10: THRESHOLD RISER

  - A threshold riser may be used to increase height.
  - When a riser is installed on top of an existing threshold:
    - It shall be installed full-length; splicing is not allowed
    - Riser material must be the same as the threshold material (aluminum or hardwood)
  - Field-fabricated risers, when allowed, shall:
    - Be made of solid stock that is 80–100% of the width of the top surface and has evenly rounded or beveled top edges
    - Be securely attached with four countersunk screws located within 3" of each end and equally spaced in the field

- Threshold elevators/shims
  - All elevators/shims shall be:
    - A solid block of decay-resistant wood (e.g., cedar, redwood, white oak)
    - Installed securely under the threshold and trimmed to conform to the footprint of the threshold

4.6.3 (m3) Saddle threshold installation (Fig. 32-11):

- A saddle threshold shall be installed where possible.
- The threshold shall be installed full-length; splicing is not allowed.
- The ends of the threshold shall be cut to match the contour of the jamb (i.e., notched to fit snugly around the jamb, stop, trim, etc.).
- The threshold perimeter shall be sealed (e.g., by caulking the ends and, when floor sealer gaskets do not completely seal, the front and back edges).
- Wooden thresholds
  - The threshold shall be sealed to the floor with glue, or elastomeric caulk, or floor-sealer gaskets.
  - The threshold shall be mechanically secured with countersunk nails or screws.
  - Nail holes shall be filled with exterior-grade filler/putty.
- Metal thresholds
  - The threshold shall have floor-sealer gaskets in place.
  - The threshold shall be permanently screwed in place.

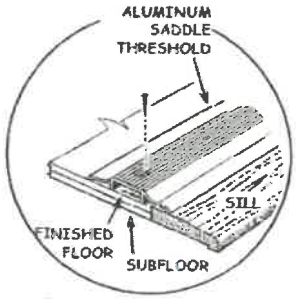

FIG. 32-11: SADDLE THRESHOLD

4.7. Shell Sealing

4.7.1 General Requirements

4.7.1 (a) Cracks and gaps in the envelope shall be sealed from the interior side whenever feasible.

4.7.1 (b) A continuous seal will be installed around seams, cracks, joints, edges, penetrations, and connections.

4.7.1 (c) Sealants shall be compatible with their intended surfaces.

4.7.1 (d) Sealants shall be continuous and meet fire barrier specifications according to the authority having jurisdiction.

4.7.1 (e) No sealant shall be allowed to be visible in the living space.

4.7.1 (f) Underwriters Laboratories (UL) 181 metallic tape shall not be used for any shell sealing purpose in any location (exposed or non-visible).

4.7.1 (g) When a supplemental barrier is created (e.g., with a collar), it shall be secured as needed with mechanical fasteners (screws, staples, or nails) to ensure a complete and permanent seal.

4.7.1 (h) When applicable, sealing material shall be evenly tooled with excess material removed to ensure a clean appearance and adequate seal.

4.7.1 (i) Cracks and gaps ≤⅝" wide shall be caulked in accordance with Caulking.

4.7.1 (j) Gaps >⅝" shall be sealed with barrier material and/or filler board and sealants as described in Patching.

4.7.2 House-Garage Separation

4.7.2 (a) All cracks in the house and garage separation wall will be sealed, including cracks between the bottom of gypsum board and the mud sill, rim joists, and subfloors.

4.7.2 (a1) When sealing from the interior side is not feasible, seal from the garage side.

4.7.3 Caulking

4.7.3(a) General requirements

4.7.3(a1) Note: Exterior caulking is not required above the first floor.

4.7.3(b) Follow the manufacturer's instructions, with careful attention to:

4.7.3(b1) Surface preparation

4.7.3(b2) Primer requirements (especially for metal and masonry surfaces)

4.7.3(b3) The use of filler material (e.g., backer rod) and/or bond breaker tape

4.7.3(b4) The width and depth of the bead

4.7.3(b5) The proper sealant application method

4.7.3(b6) Tooling recommendations

4.7.3(c) Surface preparation

4.7.3(c1) The surface will be free of:

- Loose or cracked caulking
- Dirt, debris, and oily substances
- Moisture, unless allowed by the manufacturer's specifications
- Any material that will prevent full adhesion of the sealant

4.7.3(d) Visible interior locations

4.7.3(d1) Caulk must be:

- Clear when dry, or color-coordinated with the surrounding material and existing caulk
- Paintable with the following exceptions:
  - Polyurethane (paintable) caulk is mandatory in visible locations where elastomeric sealant is required.
  - Silicone may be used with joints between dissimilar materials when that is the best option (e.g., when sealing around the perimeter of a window-mount air conditioner).

4.7.3(d2) Foam sealant may be used to seal large gaps in penetrations (e.g. plumbing and electrical) in accordance with Patching.

4.7.3(e) Non-visible interior locations

4.7.3(e1) Pipe penetrations under sinks will be sealed behind escutcheons when possible.

- In inaccessible, non-visible locations only, where installation of caulking and a metal escutcheon is impossible, sealing may be performed using butyl foil tape or adhesive floor/plumbing patches.

4.7.3(e2) Cracks and holes in appliance enclosure walls and exhaust duct penetrations will be caulked when possible or repaired/patched:

- From the living space side when feasible
- From inside the furnace and water heater enclosures where products of combustion could leak into the living space
- Around the exhaust fan duct penetration of (e.g., the range hood duct through the ceiling)

4.7.3(f) Exterior caulking

4.7.3(f1) For large gaps between the siding and the door or window casings in lap-sided homes, caulk:

- At door thresholds
- All three legs of the doorstops
- The junction of the door jamb and the casing

4.7.3(f2) For masonry, metal joints, and joints between two different materials (Fig. 32-12), use:

- Elastomeric caulk or
- Masonry caulk with a neutral cure (e.g., oxime cure) or
- Paintable silicone

FIG. 32-12: ELASTOMERIC CAULK FOR MASONRY, METAL, AND DISSIMILAR JOINTS

4.7.3(f3) In attics and crawlspaces, foam sealant will be used in accordance with manufacturer's specifications unless prohibited by local code.

4.7.3(f4) Wood joints require elastomeric or butyl caulk.

4.7.3(g) Use backing or infill as needed to meet the specific characteristics of the sealant and the gap being filled.

4.7.3(g1) The backing or infill must not bend, sag, or move once installed.

4.7.3(g2) Acceptable filler materials include:

- Closed-cell polyethylene backer rod
- Flexible fiberglass
- Rope caulk

4.7.3(g3) Acceptable bond breakers

- Polypropylene, polyethylene, polytetrafluoroethylene (PTFE), or closed-cell foam self-adhesive bond breaker tape

4.7.3(h) Cracks at least 1/16" wide and no larger than 5/8" wide require caulking.

4.7.3(h1) Gaps ≤3/8" will be caulked with any material approved for the location and the type of joint.

4.7.3(h2) Gaps 7/16"–5/8" will be caulked with silicone, polyurethane, or acrylic latex.

4.7.3(h3) Additional requirements for large gaps:

- For gaps 3/8"–5/8", insert backer material to within 1/2" of the surface before caulking.
- For gaps >5/8", see Patching.

4.7.3(i) Quality of the finished bead

4.7.3(i1) On all joints:

- The bead will be:
  - The minimum size required to achieve a permanent seal
  - Continuous and free of voids and bubbles
  - Applied/tooled with sufficient pressure to fill the joint completely
- Remove excess caulk.

4.7.3(i2) On butt joints (Fig. 32-13):

- The bead will be at least 1/8" deep, but no deeper than it is wide
- The depth will be controlled by filler material (e.g., foam backer rod)
- The bead will be tooled to:
  - Compress the sealant against the filler material and sides of the joint
  - Remove excess caulk

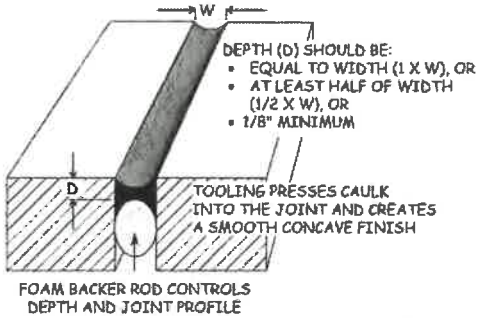

FIG. 32-13: A HIGH-QUALITY FINISHED BEAD

  - Form a concave surface (e.g., create an "hourglass" profile when backer rod is used)
- When filler material is not used and a bond breaker is recommended by sealant manufacturer, bond breaker tape will be installed to prevent sealant adhesion to the bottom of the joint.

4.7.3(j) Heat-producing devices (HPDs)

4.7.3(j1) High-temperature sealant must be used around all HPDs (Fig. 32-2).

4.7.3(j2) Recessed lights:

- Ensure the vent holes in the recessed light canister are not sealed.

4.7.3(k) Do not apply caulk to decorative trim.

4.7.4 Patching

4.7.4(a) Wall (drywall) patches

4.7.4(a1) Factory-made mesh patches

- Finish the patch to match the surrounding surface (e.g., with mesh covered by at least two coats of drywall mud sanded between each coat or with light-weight spackle).

4.7.4(a2) Field-fabricated patches for large holes (Fig. 32-14)

- Field-fabricate the patch using a piece of drywall that matches the thickness of the drywall covering the wall (or ceiling).
- Patches shall be:
  - Beveled to fit securely in the hole or
  - Supported by backer boards screwed to the wall inside the hole
- Gaps between the patch and wallboard shall be filled (e.g., with drywall mesh and mud).
- The patch shall be finished to match the surrounding surface (e.g., with drywall mesh covered by at least two coats of drywall mud sanded between coats).
- Patches in exposed locations (not inside a cabinet) shall be sealed with primer and/or paint to prevent moisture intrusion.

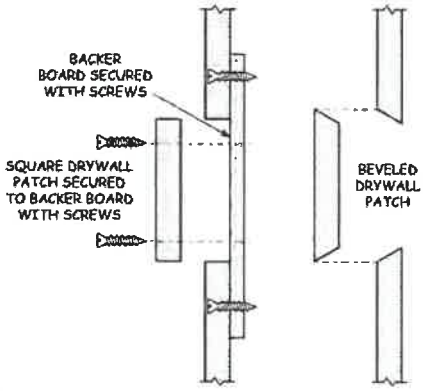

FIG. 32-14: FIELD-FABRICATED PATCHES

4.7.4(b) Foam sealants and foam board—Interior locations

4.7.4(b1) Plumbing/electrical penetrations and other bypasses

- Foam sealant may be used to seal gaps, subject to the following limitations:
  - Gap size, location, and conformance with foam manufacturer's specifications and local code.
- Finished foam sealant
  - The foam surface shall be even with the surrounding surface.
  - When an escutcheon is present, it shall be placed over the finished foam sealant.

4.7.4(b2) Foam board

- Foam insulation board shall not be installed to patch the interior of a dwelling (including attached room(s) or garage).

4.7.5 Access Hatches

4.7.5(a) The hatch material shall create a full seal with no gaps or openings to the framing.

4.7.5(a1) Finishing materials shall be installed in accordance with the manufacturer's instructions.

4.7.5(a2) Sealing materials shall be evenly tooled with excess material removed to ensure a clean appearance and adequate seal.

4.7.5(b) All hatches—Weatherstripping and insulation

4.7.5(b1) Weatherstripping and insulation are required only when the access is located between a conditioned and an unconditioned space.

4.7.5(b2) The access shall be weatherstripped as prescribed in Weatherstripping.

4.7.5(b3) Flexible or rigid insulation with an R-value equal to the attic floor shall be attached to the cover in accordance with Section 37 Attic and Ceiling Insulation.

4.7.5(c) Attic access (replacement of missing and/or broken cover)

4.7.5(c1) The cover material shall be sized to fit the rough opening, with gaps along edges not to exceed ¼" per side.

4.7.5(d) Attic access (New installation—Horizontal)

4.7.5(d1) The rough opening size and location shall be:

- At least 22" x 30"
- Where unobstructed headroom at some point above the access is at least 30" measured vertically from the bottom of ceiling joists

4.7.5(d2) Cutting the opening

- Cuts shall be located along the edges of the ceiling joists.
- Ceiling material shall be cut out neatly and set aside for use as the access cover.

4.7.5(d3) Blocking the opening

- The rough opening of the attic hatch will be surrounded with a durable, rigid, protective baffle that is higher than the level of the surrounding attic floor insulation to achieve uniform R-value on the attic floor and prevent loose attic floor insulation from entering the living area.
- Blocks shall be:
  - Cut to fully extend from joist to joist
  - Placed perpendicular to the joists at the edges of the opening

4.7.5(d4) Anchors

- Blocks shall be secured (anchored) at each end with minimum 3" nails or comparable screws driven through the joists.
- Minimum two anchors for 2" x 4" and three anchors for 2" x 6".

4.7.5(d5) Cutting a ceiling joist

- If removal of part of an obstructing joist is absolutely necessary:
  - Cut-off joist ends shall be supported with blocks (framing) installed across the ends and secured to the adjacent joists
  - Framing shall be secured with minimum 3" nails or comparable screws driven through the joists at each end of the joist, and through the block into the cut-off joist
  - Use a minimum of two anchors for 2" x 4" and three anchors for 2" x 6", or as required by local code
  - Cutting and blocking the cut joist shall not violate local code

4.7.5(d6) Securing the ceiling

- Blocks shall be installed against the ceiling.
- The ceiling material shall be secured to the blocks with anchors (e.g., drywall nails or screws) that penetrate the blocks at least ½".
- Anchors shall be located at each corner of the opening and at intervals not exceeding 6".

4.7.5(d7) Access cover

- The cover shall be sized to fit the rough opening with gaps along edges not to exceed ¼" per side.

4.7.5(d8) Installing trim:

- Trim/molding shall:
  - Be cut with mitered corners
  - Extend into the opening at least ⅝"
  - Positioned so nails will penetrate framing at least ⅝"
- Trim/molding shall be secured with finish nails.
  - Countersunk nails shall be at each corner and spaced at intervals not exceeding 6".
  - Nail holes shall be filled with spackle or wood putty (not caulk).

4.7.5(d9) Finishing:

- Bare wood shall be primed or painted.

4.7.5(d10) Secure attic door or hatch with a latch, lock or frictionally engaging components

4.7.5(e) Attic access (New installation—Vertical)

4.7.5(e1) Knee wall

- Access shall be installed between two knee wall studs.
- Minimum 22" x 30", or as wide as possible when studs are <24" on center (OC).

4.7.5(e2) Cutting the opening

- Cuts shall be located along the edges of the knee wall studs.
- Wall material shall be cut out neatly and carefully and set aside if it will be incorporated into the access cover.

4.7.5(e3) Access cover/door

- If any framing is required to complete the opening (e.g., a block between studs), it shall match the dimensions of the studs.

4.7.5(e4) Installing hinges

- Spring-loaded hinges shall be required when the access penetrates a firewall.
- Standard and spring-loaded hinges shall properly support the access door and make it self-closing in accordance with the following guidelines:
  - One spring hinge for doors weighing ≤45 lbs.
  - Two spring hinges for doors weighing ≤75 lbs.
  - Three spring hinges for doors weighing ≤90 lbs.
- The hinges shall be attached to a stud and to plywood backing (not to gypsum).
- Screws shall penetrate the wood at least ½".

4.7.5(e5) Installing trim

- Trim/molding shall be:
  - Cut with mitered corners
  - Positioned so the nails will penetrate the framing at least ⅝"
- Trim/molding shall be secured with finish nails
  - Countersunk nails shall be at each corner and spaced at intervals not exceeding 12".
  - Nail holes shall be filled with spackle or wood putty (not caulk).

4.7.5(e6) Finishing and latch

- At a minimum, bare wood shall be primed.
- A latch shall be installed that pulls the door tightly against the frame and weatherstripping.

4.7.5(f) Crawlspace access cover replacement—Horizontal

4.7.5(f1) Framed opening

- The ends of the opening shall be framed with blocks that are perpendicular to the floor joists at the edges of the opening and fully extend from joist to joist.
- The blocks shall be properly secured at each end to the floor joists (e.g., with minimum 3" nails or comparable screws, minimum two anchors for 2x4, and three anchors for 2x6).

4.7.5(f2) Access cover

- Deteriorated/defective cover(s) shall be repaired with new materials comparable to those used for the existing cover and surrounding floor.
- Installed hardwood or other finish material shall be attached with finish nails.
- Finish nails shall be countersunk, and the holes shall be filled with wood putty.
- Finish surface
  - The top of the access cover shall be:
    - Flush with the floor when the top surface is flooring, or it will be covered by carpet or other floor covering
    - Recessed appropriately, if needed, to accommodate the future installation of finishing material (e.g., hardwood)

4.7.5(g) Crawlspace access cover—Vertical

4.7.5(g1) Access location

- Due to the complexity of this work, installation shall require prior approval from CSD.
- Cuts/alterations in a foundation wall shall not violate local code.
- Best practice
  - Minimum 16" x 24" opening (per code) or as wide as feasible
  - Located where crawl clearance is ≥18"

4.7.5(g2) Access cover

- New corrosion-resistant screened metal or solid metal material shall be installed per manufacturer's instructions.
- Metal framing shall be secured to:
  - Wood with corrosion-resistant screws that penetrate at least ½"
  - Concrete with corrosion-resistant screws and compression anchors
- Wood framing (box frame)
  - Framed wood (plywood or 1-by boards) shall be:
    - 1x2 redwood or pressure-treated fir at a minimum
    - Attached to concrete with concrete nails or corrosion-resistant screws and compression anchors
    - Attached to wood with nails or screws that penetrate solid wood at least ½"
- Hinges and latches
  - Hinges and/or latches (designed for an optional lock), when applicable, shall be installed with corrosion-resistant anchors.
- Finishing
  - At minimum, bare wood shall be primed.
- Insulation
  - Not applicable (unconditioned space is on both sides of the access cover).

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4.8. Fireplaces and Chimneys

4.8.1 Masonry Chimneys

4.8.1(a) Attic penetrations by masonry chimneys

4.8.1(a1) Seal penetrations with a non-combustible barrier and high-temperature sealant.

- Galvanized sheet metal or aluminum shall be a minimum of 0.007" thick.
- Barrier shall be mechanically secured to ensure permanent installation.

4.8.2 Fireplace Chimney Dampers

4.8.2(a) Factory-built ("zero clearance") fireplaces

4.8.2(a1) Malfunctioning dampers shall be repaired or replaced with listed parts specified by the manufacturer.

4.8.2(b) Masonry fireplaces

4.8.2(b1) Malfunctioning dampers shall be repaired.

4.8.2(b2) A retrofit damper shall be installed when no damper is present or repair of a malfunctioning damper is not feasible.

4.8.2(b3) Retrofit dampers

- Only commercially available top-sealing dampers shall be used for retrofitting. (See Appendix A Combustion Appliance Safety Protocol, Table 14.4.1, Gas log.)
- The damper shall be properly sized to fit the chimney termination.

4.8.2(b4) When replacing a damper, a spark arrestor shall be present or installed. (See Section 1 Limited Home Repair (LHR) Policy and Appendix A Combustion Appliance Safety Protocol.)

4.8.2(c) Gas log

4.8.2(c1) When a gas log is present, the damper shall be blocked partially open (e.g., by means of a permanently installed damper clamp).

4.8.2(c2) When a permanent opening is not feasible, damper installation is not feasible and the house is NIM.

4.8.2(c3) California Mechanical Code (CMC) sizing and clamp policies shall apply.

- The fireplace shall have a permanent free opening based on the appliance input rating and chimney height.
- Shell sealing is not feasible if the damper does not have a permanent free opening (provided by a damper clamp or other means).

4.8.3 Fireplace Glass Doors

4.8.3(a) All fireplaces

4.8.3(a1) All pre-existing fireplace glass door units shall seal against the fireplace surround (the surface surrounding the fireplace opening).

4.8.3(b) Retrofit glass doors

4.8.3(b1) When a fireplace damper is not present or is not feasible to install, glass doors for fireplaces shall be selected and installed.

4.8.3(b2) The glass door unit shall be designed and sized to fit:

- The smallest dimensions of the firebox opening
- The surround size and surface (smooth or textured)

4.8.3(c) Attachment of the glass door unit (Fig. 32-15)

4.8.3(c1) The top of the door unit shall be mechanically secured to the lintel bar (e.g., with a lintel clamp).

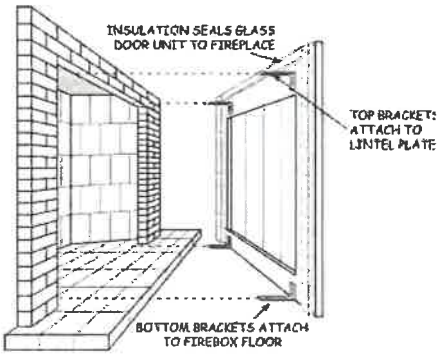

FIG. 32-15: ATTACHING GLASS DOOR UNITS

4.8.3(c2) The bottom shall be attached to the firebox floor.

4.8.3(c3) Insulation or gasketing applied to the back of the glass door unit shall create a tight seal at the surround.

4.9. Penetrations

4.9.1 All lighting fixtures, wiring, plumbing, venting, ducting, and gas piping penetrations will be sealed.

4.9.2 Patching of Penetrations

4.9.2(a) Gaps over ⅝" wide shall be covered with a sheet metal collar or mesh plumbing patch that is sealed and secured.

4.9.2(a1) A metal collar may be fabricated using one or two pieces of galvanized sheet metal or aluminum notched (cut out) to fit around the penetration or

4.9.2(a2) Commercially available plumbing patches and pipe collars shall be used

4.9.2(b) Use caulk or other sealants/patches in accordance with Shell Sealing, Caulking and Patching.

4.9.3 Installation of a Field-Fabricated Metal Collar (Fig. 32-16)

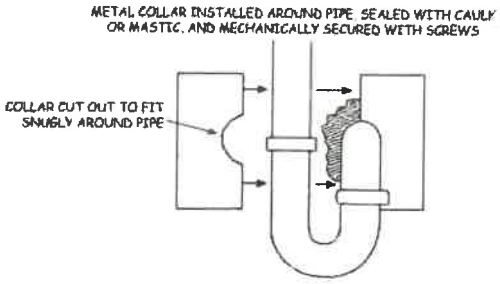

FIG. 32-16: METAL COLLAR

4.9.3(a) Required on wall or floor penetration, including on floors in exposed locations (i.e., not inside a cabinet)

4.9.3(a1) Apply sealant (e.g., elastomeric) to the back side.

4.9.3(a2) Press the patch/collar into place and secure each separate piece with at least two anchors (e.g., sheet metal screws) that penetrate solid wood where possible.

4.9.3(a3) Remaining gaps ≥1/16" shall also be caulked.

4.9.4 Installation of Mesh Plumbing Patch (Fig. 32-17)

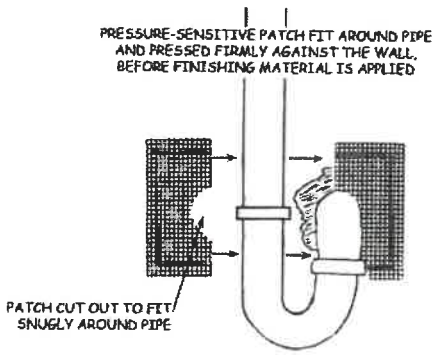

FIG. 32-17: MESH PLUMBING PATCH

4.9.4(a) Surfaces shall be free of:

4.9.4(a1) Loose or cracked caulking or patching material

4.9.4(a2) Loose drywall material, dirt, debris, and oily substances

4.9.4(a3) Moisture

4.9.4(b) Patches shall be 28–30-gauge non-corrosive metal with strong self-adhesive backing.

4.9.4(c) Backing shall be reinforced with fiberglass mesh or equivalent.

4.9.4(d) Patches shall be cut to fit snugly around pipes (e.g., pre-cut for installation around 2", 1½", ¾", and ½" pipes).

4.9.4(e) Firm pressure shall be applied to the adhesive to eliminate gaps along edges.

4.9.4(f) The patch shall be sealed to the mounting surface along the entire perimeter of the patch.

4.9.4(g) Gaps ≥1/16" between the patch and the pipe also shall be sealed with caulk.

4.9.5 Finishing Mesh Patches on Walls

4.9.5(a) Cover the plumbing patch with a light-weight spackling or drywall joint compound.

4.9.5(b) Finishing material shall completely cover the patch and overlap onto wall.

4.9.5(c) The patch shall be finished to blend with the surrounding wall surface.

4.9.6 Finishing Mesh Patches on Floors (Fig. 32-18)

4.9.6(a) Install mesh floor patches only inside a cabinet (not in exposed locations) directly onto the cabinet bottom floor/sheathing.

4.9.6(b) Install fasteners (e.g., sheet metal screws, nails, or staples) as needed to ensure permanent attachment.

4.9.6(c) Cover patches shall be covered with lightweight, non-shrinking, exterior-grade spackling compound, drywall joint compound, or equivalent.

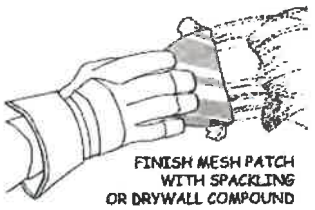

FIG. 32-18: MESH PATCHES ON FLOORS

4.9.7 Knee Walls

4.9.7(a) Seal cracks and gaps between the knee wall and the living space (at the attic floor, the walls, and the ceiling).

4.9.8 Sill Plate

4.9.8(a) Seal cracks and gaps at the bottom of each wall.

4.9.8(b) When molding is in place, caulk gaps ≥1/16".

4.9.8(c) Seal from the interior of the home and from the garage for the wall separating the garage from the living space.

4.9.8(d) Check carefully for bypasses in junctions between the main house and additions and in step-down rooms (especially a garage, converted porch, etc.).

4.9.9 Top Plate

4.9.9(a) Seal cracks and gaps at the top of each wall.

4.9.9(b) When molding is in place, caulk gaps ≥1/16".

4.9.10 Electrical Boxes

4.9.10(a) Seal visible gaps around electrical boxes and light fixtures in the ceiling, wall, or floor. (Do not remove fixtures to find gaps behind the housing.)

4.9.10(b) When installing cover plate gaskets, caulk or spackle large gaps around a box that the gasket cannot seal completely.

4.10. Wall Bypasses

4.10.1 A wall bypass is a penetration from the living space into the wall cavity that allows communication of conditioned air between the home and the building envelope.

4.10.2 Interior Wall Openings

4.10.2(a) Cavities shall be sealed with filler board and sealant.

4.10.2(a1) Foam board, duct board, radiant barrier, or other approved rigid barrier materials are acceptable to use for filler board (Fig. 32-19).

4.10.2(b) Silicone or acoustical caulk or foam sealant shall be used to seal the filler board.

4.10.2(c) The filler board shall be secured as needed with mechanical fasteners (screws, staples, or nails) to ensure a complete and permanent seal.

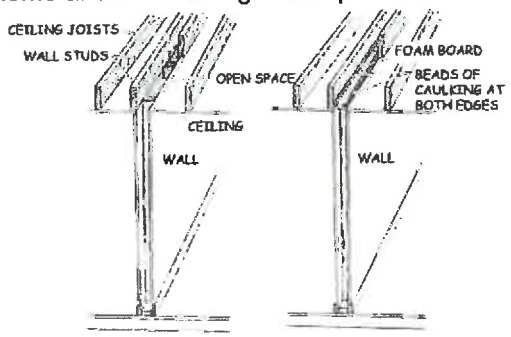

FIG. 32-19: INTERIOR WALL OPENINGS

4.10.3 Exterior Wall Openings

4.10.3(a) Cavities shall be sealed with filler board and sealant.

4.10.3(a1) Foam board, duct board, radiant barrier, or other approved barrier material may be used for filler board.

4.10.3(b) Silicone or acoustical caulk or foam sealant shall be used to seal the filler board.

4.10.3(c) The filler board shall be secured, as needed, with mechanical fasteners (screws, staples, or nails) to ensure a complete and permanent seal.

4.10.4 Cover Plate Gaskets

4.10.4(a) Location

4.10.4(a1) Gaskets shall be installed under cover plates located on the inside of walls between conditioned and unconditioned spaces limited to the following:

- Electrical switches and receptacles
- Telephone jacks and television cable lines
- Between apartments in multi-family units

4.10.4(b) Installation

4.10.4(b1) All locations

- The gasket shall match the switch/ receptacle style (Fig. 32-20).
- Standard switches and receptacles shall have factory-made gaskets.
- Rocker-style switches and rectangular receptacles (e.g., ground fault circuit interrupter) shall have gaskets intended for that application.
- The gasket shall cover the gap between the utility box and the surrounding wall material.

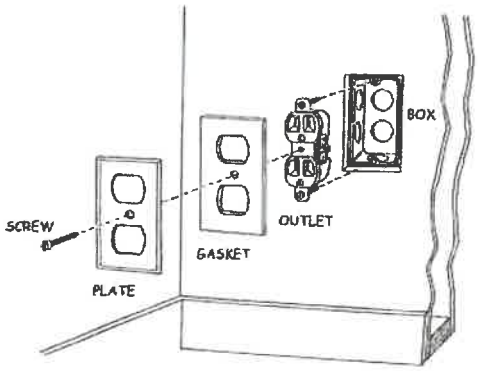

FIG. 32-20: COVER PLATE GASKET INSTALLATION ON AN OUTLET

- When the utility box is an odd size and standard gaskets will not work, the gap between the box and the wall shall be filled with caulk or spackle.
- The plate shall cover the gasket completely.

4.10.4(b2) Damaged cover plate

- Cracked or missing cover plates must be replaced to accommodate gaskets per Section 1 General Installation Guidelines, Limited Home Repair.

4.11. Weatherstripping

4.11.1 General Requirements

4.11.1(a) Weatherstripping shall:

4.11.1(a1) Effectively reduce air leakage without hampering the door, window, or access cover operation

4.11.1(a2) Be installed and adjusted to provide a continuous barrier to infiltration along its entire length

4.11.1(a3) Be installed in full-length pieces and in accordance with the manufacturer's instructions

4.11.1(b) When metal stock is cut or trimmed:

4.11.1(b1) Burs shall be removed

4.11.1(b2) Sharp edges and ends shall be rounded and smoothed

4.11.2 Exterior Doors

4.11.2(a) Standard weatherstripping consists of door jamb and door bottom weatherstripping.

4.11.2(b) Weatherstripping shall be removed before new retrofit weatherstripping is installed.

4.11.2(b1) Exception: See Doors with factory-installed weatherstripping.

4.11.2(c) Allowable weatherstripping applications are shown in Table 32-2.

TABLE 32-2: EXTERIOR DOOR WEATHERSTRIPPING APPLICATION BY LOCATION

Location	Acceptable Types	
Wooden Door Jambs	• Rigid gasket • Spring or cushion metal	• Replacement kerf-in bulb and foam
Metal Door Jambs	• Rigid gasket • Cushion synthetic	• Flanged bulb • Closed-cell foam (in compression only)
Astragals on Double Doors	• Rigid gasket • Spring or cushion metal • Cushion synthetic • Flanged bulb	• Replacement kerf-in bulb and foam • Closed-cell foam and compression bulb (in compression only)
Threshold Elevators/Shims	• Non-wood: Aluminum and vinyl/plastic • Solid wood: Redwood, cedar, pressure-treated fir, or solid hardwood (i.e., must be degradation-resistant and exterior-grade).	

4.11.2(d) Fire-rated doors and jambs

4.11.2(d1) Doors and jambs labeled to have a fire rating of >20 minutes shall not be weatherstripped, have screws installed in the door or jamb, or be modified at the door bottom unless:

- Installation is allowed by the local building department or fire marshal
- The weatherstripping and installation meet the specifications and listing requirements of the door and jamb manufacturer(s)
- Documentation of compliance is kept in the client file

4.11.2(e) Doors with factory-installed weatherstripping

4.11.2(e1) Removal of the existing weatherstripping (interlock, kerf-in bulb, and magnetic types) is not required when the existing material does not interfere with proper operation of the door and the new weatherstripping.

4.11.2(f) Door jamb weatherstripping

4.11.2(f1) See Table 32-2 for allowable types.

4.11.2(f2) Retrofit weatherstripping shall be installed on all three sides of the jamb (Fig. 32-21).

4.11.2(f3) Trim the weatherstripping corners and joints to provide a continuous barrier to infiltration without unnecessary gaps between the adjoining legs.

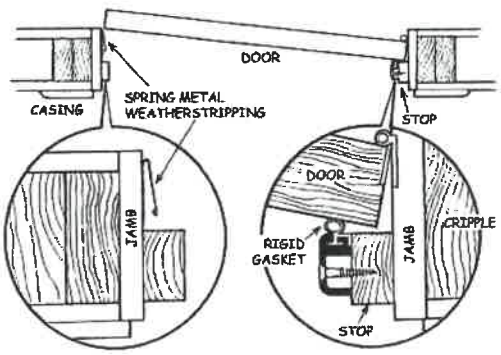

FIG. 32-21: DOOR JAMB WEATHERSTRIPPING

4.11.2(f4) Rigid gasket

- Screws shall be positioned to allow for adjustment of the carrier.
- Each leg shall be one continuous strip.

4.11.2(f5) Gasket contact

- Gasket-to-gasket contact is required at the corners (Fig. 32-22).

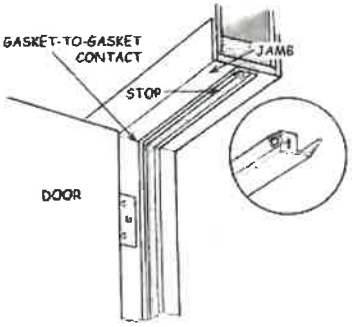

FIG. 32-22: WEATHERSTRIPPING DOOR JAMB WITH RIGID GASKET

- Gasket-to-threshold contact is required at the door bottom.
  - Contact shall not be achieved by the addition of caulk.

4.11.2(f6) Spring and cushion metal

- Sealing surfaces shall be mitered at the corners.
- Ends shall be overlapped when possible to provide a seal when compressed.
- Mechanical attachments (e.g., ¼" x ⅜" staples) shall be placed within 1" of each end and at intervals not exceeding 4".

4.11.2(f7) Cushion synthetic, flanged bulb, and foam tape

- The mounting surface shall be thoroughly cleaned.
- The existing adhesive residue shall be removed with solvent.
- Material shall be joined and mitered at jamb corners as needed to seal the joint.

4.11.2(f8) Corner pads

- Adhesive backing shall be supplemented with staples, tacks, etc. that penetrate the wood a minimum of ⅜".

4.11.3 Door Bottom and Threshold Weatherstripping

4.11.3(a) Refer to Thresholds.

4.11.3(b) See Fig. 32-8.

4.11.4 Attic and Crawlspace Access Covers Located in Conditioned Space

4.11.4(a) Access cover frames will be weatherstripped.

4.11.4(a1) Gaps between the frame and the ceiling/floor shall be caulked.

4.11.4(b) A damaged/missing cover shall be replaced as a minor envelope repair (MER) before weatherstripping is installed.

4.11.4(c) When ceiling or floor insulation will be installed, the access cover will be insulated in accordance with the insulation standard.

4.11.4(d) Allowable weatherstripping applications are shown in Table 32-3.

TABLE 32-3: ATTIC/CRAWLSPACE ACCESS COVER WEATHERSTRIPPING APPLICATIONS

Access Cover type	Acceptable types
Horizontal Access Doors/ Covers	• Open-cell foam is standard; however, in visible locations, closed-cell foam, cushion synthetic, and flanged bulbs are acceptable if the thickness is ≤3/16" after the access door/cover is closed.
Vertical Access Doors (e.g., Knee Wall Doors)	• Materials approved for entrance doors shall be used.
Pull-Down Attic Stairs	• Materials approved for attic access covers shall be used.

4.11.4(e) Install weatherstripping on attic (Fig. 32-23) and crawlspace entry doors/covers accessed from a conditioned space.

4.11.4(e1) Access cover weatherstripping shall be installed on the surface that provides the best adhesion (i.e., smooth wood trim rather than a textured drywall lid).

4.11.4(e2) The mounting surface shall be free of dust and debris.

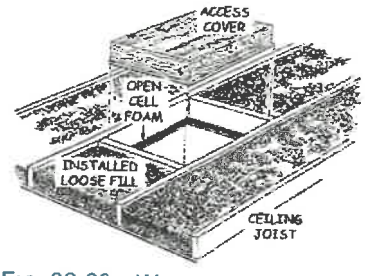

FIG. 32-23: WEATHERSTRIPPING HORIZONTAL ATTIC ACCESS COVER

4.11.4(f) Attic stairs with bottom door or stairs with top lids

4.11.4(f1) Weatherstrip the bottom door (or top lid if there is no bottom door).

4.11.4(g) Pull-down stairs

4.11.4(g1) The entire pull-down stair assembly will be covered with an airtight and removable/openable enclosure inside the attic space.

4.11.5 Appliance Enclosure Door Weatherstripping

4.11.5(a) Weatherstripping shall be installed to prevent the entry of combustion byproducts into the living space in accordance with Appendix A Combustion Appliance Safety Protocol and only when the CVA is all taken from the outdoors and is adequate.

4.11.5(b) Allowable applications are shown in Table 32-4.

4.11.5(c) Weatherstripping shall be installed in accordance with the instructions for exterior doors.

TABLE 32-4: APPLIANCE ENCLOSURE WEATHERSTRIPPING APPLICATIONS

Enclosure Component	Acceptable Types
Enclosure Door Jamb	• Rigid gasket • Spring and cushion metal • Cushion synthetic • Flanged bulb • Open- or closed-cell foam tape (open-cell foam shall not be exposed to sunlight).
Enclosure Door Bottom and Threshold	• Materials approved for exterior door bottoms and thresholds shall be used. See Door Repair.

4.11.6 Window Weatherstripping

4.11.6(a) Continuous and complete weatherstripping will be installed on the bottom of the lower sash where it makes contact with the sill and at the top off the upper sash (when applicable) where it makes contact with the upper part of the frame.

4.11.6(b) Windows that do not open (e.g., fixed type, windows that are painted or blocked shut, etc.) do not require weatherstripping.

4.11.6(b1) When the top sash of a double-hung window is held in a partially-open position by paint and if repair is feasible, it must be freed (by cutting paint), closed as tightly as possible, latched, and caulked as needed to stop air leaks.

4.11.6(c) With the installation of weatherstripping, all windows shall continue to be operable.

4.11.6(c1) The operation of egress windows shall not be impeded by weatherstripping or caulking.

4.11.6(d) Allowable applications are shown in Table 32-5.

TABLE 32-5: WINDOW WEATHERSTRIPPING MATERIAL BY WINDOW TYPE

Window Type	Acceptable Types	
Metal Casements	• Cushion synthetic • Closed-cell foam	• Rigid gasket
Wooden Casements	• Cushion synthetic • Spring or cushion metal	• Closed-cell foam • Rigid gasket
Wooden Double-Hung	• Rigid gasket • Spring or cushion metal • Flanged bulb	• Closed-cell foam • Vinyl or metal jamb liner
Metal and Plastic Vertical Sliders	• Cushion synthetic • Flanged bulb	• Closed-cell foam • Vinyl jamb liner

TABLE 32-5: WINDOW WEATHERSTRIPPING MATERIAL BY WINDOW TYPE

Window Type	Acceptable Types	
Horizontal Sliding Aluminum Windows and Glass Doors	• Replacement pile • Cushion synthetic	• Flanged bulb • Closed-cell foam
Awning and Jalousie Windows	• Commercially available specialty materials may be installed on a window with a functional operating mechanism. • Weatherstripping shall effectively reduce air leakage without hampering window operation.	

4.11.6(e) Window preparation

4.11.6(e1) Window repairs (e.g., including but not limited to replacement of missing glazing compound on the sash, installation of exterior caulking and exterior storm windows, etc.) will be conducted prior to the installation of weatherstripping.

4.11.6(e2) Repairs to reduce air infiltration (e.g., new latch for meeting rail connection, pulley seals, rope caulking for other cracks, interior storm windows, etc.) will be done prior to the installation of weatherstripping.

4.11.6(e3) Sash locks on wooden double-hung windows

- When needed to prevent catastrophic leakage, install new sash locks or adjust existing sash locks so that the meeting rails of the upper and lower sashes are flush and in full contact.
- After installation or adjustment of the sash locks, no gaps shall be visible between the two sashes.

4.11.6(e4) Install and/or adjust stops on wood windows to eliminate visible gaps between the stops and the jamb.

- Wood stops will be sealed to glass with an appropriate sealant.

4.11.6(e5) Wood windowsills

- Before installing weatherstripping, prime and water-seal the windowsill if it is bare wood. Scrape and sand the sill smooth before sealing if the paint is degraded so much that the weatherstripping will not properly seal against it.

4.11.6(f) Window weatherstripping installation

4.11.6(f1) The existing weatherstripping and sash sealant shall be removed.

4.11.6(f2) Surfaces where the sill meets the sash shall be cleaned.

4.11.6(f3) Weatherstripping shall be installed and adjusted to provide a continuous barrier to infiltration along all edges of the window opening (Fig. 32-24). Mechanically installed weatherstripping will be sealed to the surface.

4.11.6(f4) Weatherstripping will be installed on the bottom of the lower sash where it makes contact with the sill and at the top of the upper sash where it makes contact with the upper jamb.

4.11.6(f5) The seal between the fixed components of the window (e.g., jambs, sill) shall be continuous and complete while maintaining the operability of the window.

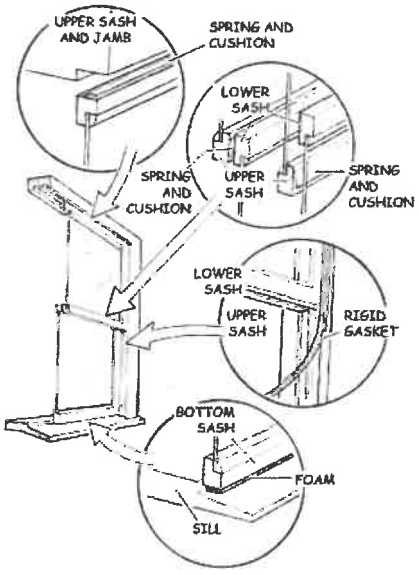

FIG. 32-24: WINDOW WEATHERSTRIPPING PLACEMENT

4.11.6(f6) Replacement pile

- Fit the pile snugly into the retaining channel (Fig. 32-25).

4.11.6(g) Weatherstripping sliding glass doors (SGDs)

4.11.6(g1) Pile

- Worn pile shall be replaced with new pile in the retaining channels when feasible (Fig. 32-26).

4.11.6(g2) Self-adhesive compression material

- The existing material shall be removed, and the surface cleaned.
- Cushion synthetic, flanged bulb, or closed-cell foam tape shall be installed in the compression location only (e.g., on the latch side of the jamb).
- Following installation, the door must close and latch properly.

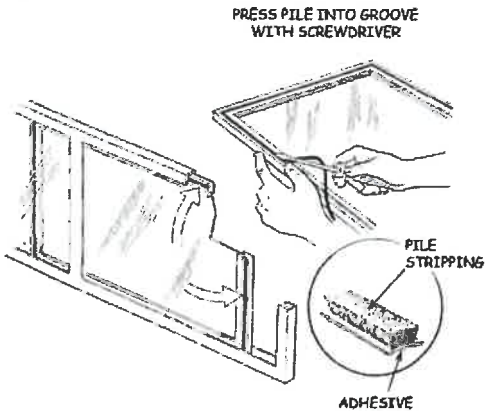

FIG. 32-25: REPLACING WINDOW PILE WEATHERSTRIPPING

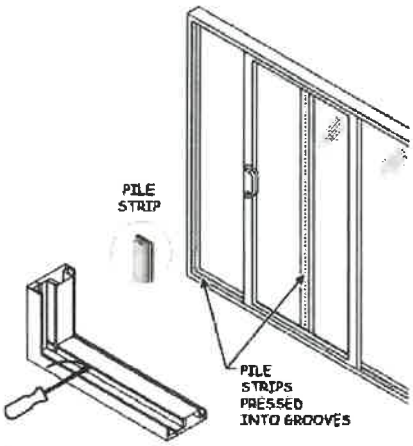

FIG. 32-26: SLIDING GLASS DOOR PILE WEATHERSTRIPPING

4.12. Window and SGD Repair

4.12.1 Window and SGD Replacement

4.12.1(a) Window and SGD replacement as an IRM must be justified by catastrophic leakage. See Section 33 Windows and Sliding Glass Doors for more information.

4.12.2 Window Repair

4.12.2(a) Window repair includes:

4.12.2(a1) Repair, sealing, or component installation to reduce infiltration (e.g., new latch for meeting rail connection, pulley seals, rope caulking for other cracks)

4.12.2(a2) Repair of the window sash or frame and installation of glazing compound, gaskets, and other items required to seal the glass and sash

4.12.3 SGD Repair

4.12.3(a) SGD repair includes replacement of:

4.12.3(a1) The interlock between the panes of a dual-pane glass door

4.12.3(a2) Malfunctioning roller assemblies

4.12.4 Glass Replacement

4.12.4(a) The following conditions apply regarding glass replacement:

4.12.4(a1) When only one pane in a dual-pane window is broken, the broken pane will be removed only if it presents a safety issue.

- If both panes in a dual-pane window are broken, the window will be assessed for catastrophic leakage and replacement.

4.12.4(a2) Cracks <6" from window edge to window edge will be ignored.

4.12.4(a3) Operable windows (movable sashes) shall not be converted to fixed panes.

4.12.4(a4) A storm windows shall not be installed as a substitute for replacing broken glass.

4.12.4(a5) When four or fewer BB holes are present, fill them with clear caulk.

4.12.4(b) Documentation of window repair condition(s) is required for each window to be repaired. To prove catastrophic leakage, measurements and calculations of the gap size must be provided on the CSD 540 Dwelling Assessment Form.

4.12.4(c) Pre-treatment of sash

4.12.4(c1) Glass channels will be clean and free of debris.

4.12.4(c2) Remove push point or stops from replacement area.

4.12.4(c3) Treat wood sashes with mineral oil before glazing compound is installed.

4.12.4(c4) Remove rust from steel sashes and apply rust-inhibiting metal primer.

4.12.4(d) Glass selection

4.12.4(d1) Replacement glass will be sized ⅛"–3⁄16" smaller than the opening to allow for movement of the frame.

4.12.4(d2) Glass will be selected with comparable tint and coating (color and look).

4.12.4(d3) Safety glass

- See Section 1 General Installation Guidelines, Safety Glass in Windows and Doors.
- Polycarbonate may be used instead of tempered glass when allowed by the client.

4.12.4(d4) Bathroom windows

- Replace obscure glass on the ground floor with obscure glass when the bottom edge of the window is <60" above the finished floor.

4.12.4(e) Glazing compound

4.12.4(e1) Glazing compound must be used only in sashes designed for its use.

4.12.4(e2) Caulk must not be used as a substitute for glazing compound.

4.12.4(f) Glazing channel

4.12.4(f1) Metal and vinyl windows:

- A watertight seal must be present around the sash.
- Secure/seal the glazing with a glazing spline, glazing channel gasket, or snap-in glazing bead.
  - The replacement gasket/spline must be properly sized.
  - The existing gasket/spline may be reused when it is in satisfactory condition to provide a complete seal.
- Clear silicone caulk or equivalent may be added to fill any gaps.
- Where a proper gasket/spline cannot be provided, stabilize the glass with clear silicone caulk or equivalent.

4.12.4(g) Wood sash

4.12.4(g1) Install push points:

- A maximum of 8" apart
- Within 4" of each corner
- On each edge to secure the glass in the frame

4.12.4(g2) Cushion and finish beads (Fig. 32-27)

- The cushion bead must be continuous and free of voids.
- The finish bead will:
  - Be free of gaps
  - Be tooled in place and uniform with existing beads
  - Not be visible from the interior side

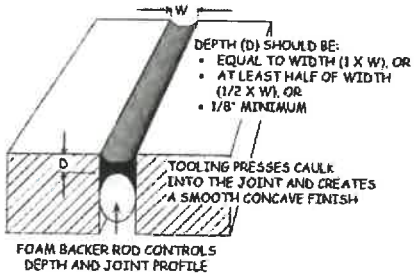

FIG. 32-27: A HIGH-QUALITY FINISHED BEAD

4.12.4(h) Metal sash

4.12.4(h1) Reinstall spring clips (Fig. 32-28):

- A maximum of 12" apart and
- Within 4" of each corner

4.12.4(h2) Reinstall continuous angles, stops, or glazing spline to keep the glass securely in place.

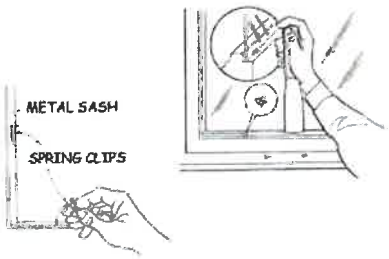

FIG. 32-28: SPRING CLIP INSTALLATION

5. MOBILE HOME–SPECIFIC

5.1 Mobile home installations are the same as those for conventional homes except as specified below.

5.2. Access Hatches

5.2.1 Access cover requirements for conventional homes do not apply to mobile homes.

5.3. Mobile Home Doors

5.3.1 All Mobile Home Doors

5.3.1(a) Ensure the opening is structurally sound, square, plumb, and level in accordance with the manufacturer's recommendations (Fig. 32-29).

5.3.1(b) When diagonal measurements of the door opening differ by more than ⅛":

5.3.1(b1) The chassis should be checked and leveled when possible or

5.3.1(b2) The rough opening must be adjusted/ shimmed to provide satisfactory mounting surfaces for the replacement frame

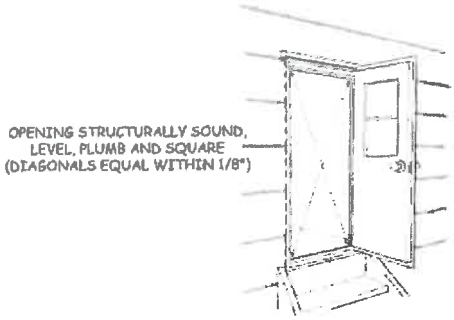

FIG. 32-29: MOBILE HOME DOOR REQUIREMENTS

5.3.1(c) Seal water penetration points.

5.3.1(d) Sound anchorage is necessary for the replacement unit.

5.3.1(e) The floor must be structurally solid to properly support the replacement sill.

5.3.1(f) Remove the existing door frame, anchors, and sealant and ensure all mounting surfaces are clean and smooth (Fig. 32-30).

5.3.1(g) Install insulation in gaps between the door frame and rough opening (e.g., mineral fiber or backer rod.

5.3.1(g1) Injected foam is not allowed.

5.3.1(h) Caulk exterior and interior gaps in accordance with Caulking.

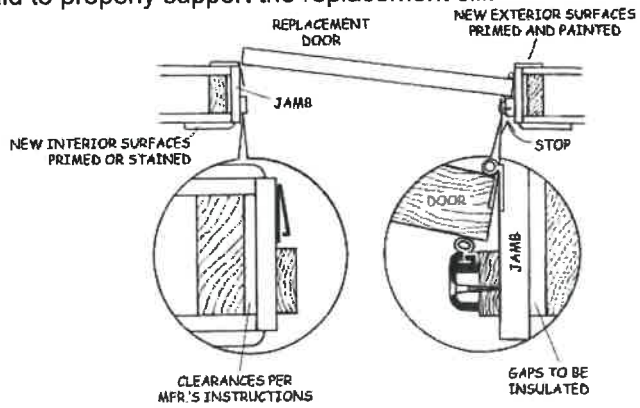

FIG. 32-30: MOUNTING SURFACES PREPARED AND GAPS CAULKED/INSULATED

5.3.2 All Swinging Doors

5.3.2(a) Install the sill and ensure it is level.

5.3.2(b) The hinge side must be securely supported and plumb.

5.3.3 In-Swinging "House-Type" Doors

5.3.3(a) Installation requirements for door blanks and pre-hung units with wooden frames are the same as for conventional home hinged doors.

5.3.3(b) For a pre-hung door with a flanged metal frame, see the applicable procedures in Flush-Mount Doors with External Flange/Fin for positioning, sealing, and attaching out-swinging flanged units (Fig. 32-31).

5.3.4 Out-Swinging Doors

5.3.4(a) Position the replacement mounting flange to cover the holes left by the removal of the pre-existing door (Fig. 32-32).

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5.3.4(b) Apply elastomeric caulk or non-hardening sealant/putty tape to the back of the mounting flange.

5.3.4(c) The sill must rest on the floor or have solid support from jamb to jamb.

5.3.4(d) Center the unit side-to-side in the opening with the sides plumb and the frame square.

5.3.4(e) Anchor the flange securely with screws spaced in accordance with the manufacturer's instructions.

5.3.4(f) Install hardware per the manufacturer's instructions (e.g., lockset, door chain, pneumatic closer, etc.).

5.3.5 Flush-Mount Doors with External Flange/Fin

5.3.5(a) Door bottom

5.3.5(a1) A door shoe or shoe-and-threshold combination shall be utilized.

5.3.5(a2) If not feasible, a bumper threshold is allowed.

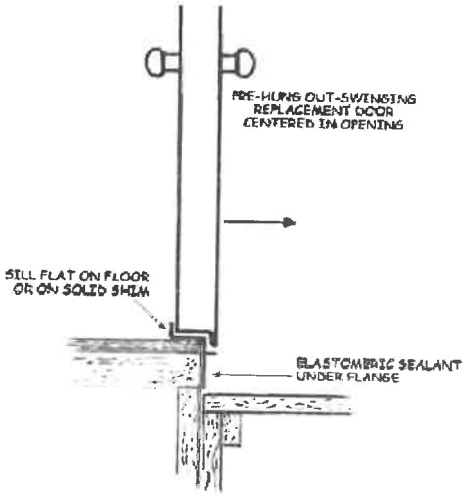

FIG. 32-31: PRE-HUNG OUTSWINGING MOBILE HOME DOOR

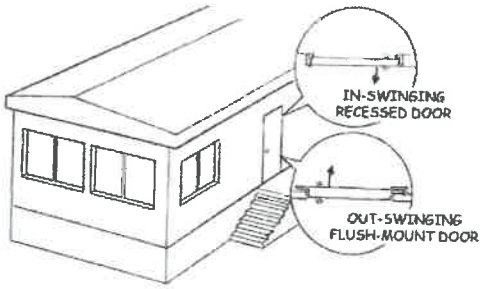

FIG. 32-32: IN-SWINGING AND OUT-SWINGING DOORS FOR MOBILE HOMES

5.4. Mobile Home Glass Replacement

5.4.1 General Requirements

5.4.1(a) Select glass with comparable tint and coating (standard color and look).

5.4.1(b) Seal the glass in accordance with the original installation design.

5.4.1(c) Replace or install stops as needed to prevent catastrophic leakage.

5.4.2 Glass Replacement in Awning Windows

5.4.2(a) Replace broken glass and repair or replace damaged gaskets.

5.4.2(b) Glass thickness must allow for proper installation into the channel with the gasket installed.

5.4.2(c) Adjust the reassembled sash as needed to operate smoothly and close properly.

5.4.2(d) The applicable procedures for awning windows will be used for glass replacement in sliding windows.

5.4.3 Flanged Window Frame Removal

5.4.3(a) When a flanged window frame is removed to facilitate glass replacement:

5.4.3(a1) Maintain the integrity of the sealant on the back side of the flange

5.4.3(a2) Use elastomeric caulk or non-hardening sealant/putty tape as needed for a complete seal

5.4.3(a3) Ensure the sealant application surface is clean

5.4.3(a4) Replace stripped or damaged screws

5.5. Mobile Home Window Repair

5.5.1 Items that reduce infiltration may be repaired, replaced, sealed, or installed to prevent catastrophic leakage.

5.5.2 Items that reduce water infiltration (e.g., replacement glazing on sash, exterior caulking, exterior storm windows, storm doors, drip cap, J-channel, flashing) will be repaired, replaced, or installed.

5.6. Mobile Home Weatherstripping

5.6.1 Installation must conform with the manufacturer's instructions, Department of Housing and Community Development (HCD) requirements, and installation guidelines for conventional homes.

5.6.2 Installation requirements for mobile homes are the same as those for conventional homes except as specified below and identified in Table 32-1.

5.6.3 Flush-Mount Doors with Exterior Flange

5.6.3(a) When mechanically attached materials are not feasible, the most effective and durable of the following alternatives will be used:

5.6.3(a1) Cushion synthetic

5.6.3(a2) Flanged bulb

5.6.3(a3) Closed-cell foam tape

5.6.3(a4) Round tube

5.6.3(a5) Vinyl V-strip

5.6.3(b) A bumper threshold may be used to seal the door bottom when that is the best option.

5.7. Mobile Home Sealing Activities

5.7.1 The assessment of the unit will determine the structural integrity, size of wall studs, insect infestations, accessibility, and the number, type, size, and location of penetrations.

5.7.2 See "Prescriptive Shell Sealing Priority List" on the CSD 704 Shell Leakage Data Sheet for mobile home caulking priority.

5.7.3 Top/bottom bypasses on ventilated metal exterior walls will not be sealed.

5.7.4 Work will not be attempted on any mobile home roof that is substandard or unsafe.

5.7.5 Caulking Locations in Mobile Homes

5.7.5(a) Interior envelope leaks ≥1⁄16" wide:

5.7.5(a1) Gaps <3⁄8" will be caulked without filler material.

5.7.5(a2) Gaps 3⁄8"–5⁄8" will be caulked only if filler material (e.g., foam backer rod) can be properly installed/secured and covered with at least a 1⁄8"-deep bead of caulk.

5.7.5(b) Interior seams and joints

5.7.5(b1) Gaps 1⁄16"–5⁄8" will be caulked, including:

- Trim around windows and doors, in room corners, and along ceiling perimeters
- Accessible baseboards (i.e., not covered with carpeting or obstructed by heavy furniture)

5.7.5(b2) Trim down the center (marriage line) of a double-wide unit on both edges whenever possible.

5.7.5(c) Appliance enclosure walls and exhaust duct penetrations will be repaired/patched or sealed per Non-visible interior locations.

5.7.5(d) Exterior envelope holes and penetrations

5.7.5(d1) All exterior leaks and penetrations will be sealed to the extent possible.

5.7.5(d2) Exterior wall air sealing:

- Intentionally ventilated walls will not be sealed at vent locations (e.g., weep holes).
- Backing or infill will be provided as needed to meet the specific characteristics of the selected sealant and the characteristics of the penetration.

5.7.6 Marriage Line

5.7.6(a) All accessible holes and penetrations at marriage lines will be sealed continuously at end walls, floors, and ceiling.

5.7.6(b) Backing or infill will be provided at the marriage line as needed.

5.7.6(c) All remaining gaps will be sealed with an approved material.

5.7.6(d) External caulking at marriage lines will be elastomeric caulk or minimally expanding foam.

5.7.6(d1) It is acceptable to leave foam exposed in the undercarriage area.

5.7.7 Ceilings

5.7.7(a) Ceiling repair material must meet or exceed the strength of the existing ceiling material.

5.7.7(b) The ceiling repair must span from truss to truss, or blocking must be added as needed for support.

5.7.7(c) All accessible damaged penetrations through the ceiling air barrier must be repaired.

5.7.7(d) All accessible damaged vapor barriers will be repaired.

5.7.8 Floors

5.7.8(a) Floor repair material will meet or exceed the strength of the existing floor material.

5.7.8(b) The repair will span from joist to joist with blocking added as needed to support the floor.

5.7.8(c) Patches <1 sq. ft. do not require repairs from joist to joist.

5.7.8(d) Floor repair material will be glued, fastened, and air sealed.

5.7.9 Bellyboard/Bottomboard

5.7.9(a) Patching material must meet the specific characteristics of the bottom board material and the characteristics (hole size and type) of the penetrations (e.g., electrical, polyvinyl chloride, gas line, dryer vent).

5.7.9(b) The patch will not bend, sag, or move once installed.

5.7.9(c) The patch will be permanent and have a minimum service life of 20 years.

5.7.9(d) Combustion air supplies will be labeled for identification and will not be blocked or sealed.

5.7.9(e) DOE: when installation of a ducted central return is not possible per Section 8 Ducting Repair, Sealing, and Insulation, sealing of a mobile home belly return shall comply with the specifications in Table 32-6.

5.7.10 HPDs in Mobile Homes

5.7.10(a) High-temperature sealant will be used.

5.7.10(b) Flue pipe ceiling penetrations (Table 32-2)

5.7.10(b1) Gaps ≤¼" wide will be sealed with high-temperature caulk or repaired/patched.

5.7.10(b2) Gaps >¼" will be repaired/patched as prescribed in Shell Sealing.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 Fire-rated doors and jambs

6.1.2(a) Check the labeling on the dwelling unit door to the hallway/common area to confirm the fire rating.

6.1.2(a1) Doors and jambs labeled to have a fire rating of >20 minutes shall not be weatherstripped, have screws installed in the door or jamb, or be modified at the door bottom unless:

- Installation is allowed by the local building department or fire marshal
- The weatherstripping and installation meet the specifications and listing requirements of the door and jamb manufacturer(s)
- Documentation of compliance is kept in the client file

6.1.3 Common area installation is allowed when justified by an energy audit for a whole-building project (e.g., in a lobby, utility room, laundry room, etc. within the same thermal boundary as dwelling units). See Appendix D Energy Audit/Priority List Protocol.

6.1.3(a) Common area installation is not allowed when only an individual unit will be served.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 Shell leakage testing, infiltration reduction (shell sealing), and inspector retesting, are required on 100% of units for which DOE funds are used.

7.1.1(a) Exception: Shell leakage testing is not required for multi-family dwellings of four stories or more.

7.1.2 Shell testing and shell sealing shall be blower door–driven and conducted in accordance with Appendix C Shell Leakage Testing Protocol.

7.1.3 This measure may be a DOE Audit path, audit driven measure, or Priority List path, Mandatory measure.

7.1.4 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.5 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.5(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.6 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.7 To assess for the Infiltration Reduction measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.7(a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.7(b) When assessing for this measure for the Audit path, feasibility will be decided by the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.7(b1) When the measure is feasible based on the audit, and the measure is categorized as a "Major" measure (i.e., Infiltration Reduction, Duct Sealing, Ceiling Insulation, Floor Insulation, and Wall Insulation), it shall be installed or the dwelling must be deferred.

7.1.7(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.7(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.7(c2) If an energy conservation measure is not on the PL for a specific building type, a site-specific energy audit with all feasible measures shall be conducted.

7.1.7(d) Exceptions:

7.1.7(d1) Door repair or replacement for catastrophic leakage is not allowed with DOE WAP funds, either as an individual measure or collectively within the Infiltration Reduction measure.

7.1.7(d2) Door replacement as an energy efficiency upgrade is not permitted with DOE WAP funds.

7.1.7(d3) Door repair or replacement shall be allowed only as an incidental repair when necessary to protect or preserve an ECM being installed as a Limited Home Repair (LHR). The LHR must be justified by a site-specific energy audit according to the procedures described in the Appendix D Energy Audit/Priority List Protocol.

7.1.8 If a client refuses a feasible Major Audit path measure, Mandatory Priority List path measure, or Health & Safety measure, the entire dwelling shall be deferred.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP except as specified below

TABLE 32-6: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
AIR SEALING, GENERAL					
3.0101.1c, 3.0102.9c, 3.0102.10c, 3.0102.11d	Air Sealing - General	For small holes (less than 1/4"): If using backing or infill material (not required), install it at least 1/8" below the surface where sealant is applied. For medium holes (1/4" to 3"): Install backing or infill in or over all holes to be sealed. For large holes (greater than 3"): Install rigid backing or infill in or over all holes to be sealed. Install support materials for spans wider than 24", except when the air barrier material is rated to span greater distance under load (e.g., wind, insulation). Support materials installed for any walking/working surface (attics or floors) must support the weight of a worker and any insulation applied in the area.	X	X	X
3.0102.2d, 3.0102.4c	Air Sealing High-Temperature Devices and Firewalls	Install non-combustible backing or infill in any gap or crack greater than 1/4". Install rigid non-combustible backing or infill for gaps or cracks greater than 1" using mechanical fasteners.	X	X	X
3.0102.9e, 3.0102.11e	Air Sealing Dropped Soffit/ Bulkhead and Roof/Wall Connection	Install rigid air barrier material over the entire soffit opening in alignment with the attic's pressure boundary.	X	X	X
3.0102.9f, 3.0102.11f	Air Sealing Dropped Soffit/ Bulkhead and Roof/Wall Connection	Mechanically fasten air barrier material to prevent movement.	X	X	X
ATTIC/CEILING AIR SEALING					
3.0102.10e	Dropped Ceiling Air Sealing	Install a permanent air barrier either above or below the existing ceiling material that will structurally support the final insulation level.	X	X	X
3.0103.2c	Exterior Roof Access Panel and Hatch Air Sealing	Repair or adjust the roof access to properly fit the curb/jamb and allow for ease of operation (e.g., hardware adjustment and/or replacement).			X

TABLE 32-6: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
3.0103.2e	Exterior Roof Access Panel and Hatch Air Sealing	Seal access frame/curb to both the exterior and interior side of the roof/wall. Seal the roof access stop to the frame/curb. Seal abandoned penetrations in the existing frame/curb.			X
3.0103.2f	Exterior Roof Access Panel and Hatch Air Sealing	Insulate the access with a non-compressible insulation to an R-value sufficient to prevent condensation on either the conditioned or unconditioned side, based on local climate conditions. The hatch curb must be durably insulated where feasible.			X
3.0103.2g	Exterior Roof Access Panel and Hatch Air Sealing	When access hatches are part of a fire-resistance-rated assembly, or are used for smoke or heat removal, added insulating materials are not allowed.			X
3.0102.4e	Firewall Air Sealing	If a firewall assembly is not monolithic (e.g., constructed with balloon framing, CMU, open chase, attic bypass, or with a similar penetration through the attic floor plane), penetrations within the firewall assembly will be accessed through the firewall, fully sealed, and the firewall surface must be restored. Sealing will prevent current or future breaches of the firewall below the attic floor plane from establishing an airflow path to the attic space.	X	X	X
3.0103.4c	Tenting of Wet Sprinkler Systems	Install a rigid enclosure around the entire sprinkler system exposed within the attic. Maintain a minimum 3" clearance from all system components.	X		X
3.0103.4d	Tenting of Wet Sprinkler Systems	Insulate the sprinkler system enclosure to an equivalent R-value as the rest of the attic.	X		X
3.0103.4f, 3.0104.1j	Tenting of Wet Sprinkler Systems, Closed Crawlspaces	Foam plastics, where permissible, will be provided with ignition and thermal barriers as required.	X		X
FOUNDATION/CRAWLSPACE AIR SEALING					
3.0104.1d, 3.0104.2c, 3.0104.3c, 3.0105.1d`	Foundation Space Air Sealing	Install steel wool or other pest-proof material as infill in gaps greater than 1/4" before sealing.	X		X
GARAGE AIR SEALING					
3.0105.1f	Isolating Garage From Living Space	When ducts are located in the garage, seal all accessible ductwork joints and connections. Where the same duct system serves any other living space, all supply and return openings in the garage (including intentional openings designed to heat or cool the garage space) must be disconnected, capped with sheet metal using mechanical fasteners, and completely sealed.	X		X
3.0105.1h	Isolating Garage From Living Space	Replace, point, and glaze broken glass panes in doors or windows where needed. Where glazing is permitted by code, verify that replacement glass meets the intended fire resistance of the assembly penetrated and is safety glazing. Glazing located in walls connecting garages to conditioned spaces with fire-resistance ratings may be prohibited. Confirm that existing glazing application is consistent with all applicable building codes.	X		X

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Ensure the CSD 704 Shell Leakage Data Sheet is properly filled out and IRM sealing measures were properly performed.

8.1.2 Perform CAS testing in accordance with Appendix A Combustion Appliance Safety Protocol to ensure that no open combustion appliances located in the living space are creating a hazardous atmosphere as a result of the IRM activities.

8.1.3 Retesting for shell leakage is required on a minimum of 20% of inspected units as part of the quality assurance post-inspection for LIHEAP units per Appendix C Shell Leakage Testing Protocol.

8.1.4 Verify safe operation of doors, windows, and all components.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure-specific verbal and written instructions include:

8.2.2(a) Changes or repairs made to doors and/or windows

8.2.2(b) The need to keep the door from the garage to the house closed

8.2.2(c) To not warm up vehicles or use any gas engine appliances or grills in the garage, even if the main door is left open.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 Access Covers

9.1.1(a) LIHEAP: 4 years

9.1.1(b) DOE: 20 years

9.1.2 Caulking

9.1.2(a) LIHEAP: 4 years

9.1.2(b) DOE: 10 years

9.1.3 Cover Plate Gaskets

9.1.3(a) LIHEAP: 20 years

9.1.3(b) DOE: 10 years

9.1.4 Door Replacement

9.1.4(a) LIHEAP: 15 years

9.1.4(b) DOE: 20 years

9.1.5 Door Repair (Including SGDs)

9.1.5(a) LIHEAP: 15 years

9.1.5(b) DOE: 10 years

9.1.6 Glass Replacement

9.1.6(a) LIHEAP: 10 years

9.1.6(b) DOE: 10 years

9.1.7 MER

9.1.7(a) LIHEAP: 4 years

9.1.7(b) DOE: 10 years

9.1.8 SGD Replacement

9.1.8(a) LIHEAP: 15 years

9.1.8(b) DOE: 10 years

9.1.9 Storm Windows

9.1.9(a) LIHEAP: 10 years

9.1.9(b) DOE: 15 years

9.1.10 Vent Covers

9.1.10(a) LIHEAP: 4 years

9.1.10(b) DOE: Not applicable to this measure.

9.1.11 Weatherstripping

9.1.11(a) LIHEAP: 4 years

9.1.11(b) DOE: 10 years

9.1.12 Window Repair

9.1.12(a) LIHEAP: 20 years

9.1.12(b) DOE: 10 years

9.1.13 Window Replacement

9.1.13(a) LIHEAP: 20 years

9.1.13(b) DOE: 20 years

9.1.14 Whole House Air Sealing

9.1.14(a) LIHEAP: Not applicable to this measure.

9.1.14(b) DOE: 10 years

9.2 Restricted Materials

9.2.1 All MER sealing materials shall be used in accordance with safety data sheet instructions, material specifications, and manufacturers' instructions. The following special restrictions also apply:

9.2.2 UL 181 metallic tape shall not be used for any shell sealing purpose in any location (exposed or non-visible).

9.2.3 Foam board may be left exposed only in the attic and crawlspace.

9.2.3(a) Foam board installed in other locations shall be covered in accordance with local codes.

9.2.4 Foam sealant may be used to seal gaps in penetrations (e.g., plumbing and electrical), subject to the following limitations:

9.2.4(a) Gap size and use shall conform with the manufacturer's specifications and local code.

9.2.4(b) Fire-resistant foam (e.g., orange or red) shall be used to seal penetrations in common walls/floors/ceilings between adjacent residences (e.g., multi-unit dwellings).

9.3 General Sealants/Caulking

9.3.1 Select sealants that:

9.3.1(a) Create an adequate air barrier with a weather-appropriate seal.

9.3.1(b) Are durable and pest resistant.

9.3.1(c) Are compatible with the surfaces being sealed and allow for expansion and contraction differentials between dissimilar materials.

9.3.1(d) Will fill to the size of the gap (using backing or in-fill as needed).

9.3.1(e) Comply with temperature limits (thermal and ignition barriers).

9.3.1(e1) Be rated for the operating temperature of the heat-producing devices (HPDs) they touch.

9.3.1(e2) Only fire-resistant materials with an ASTM E136 listing will be used between attached dwelling units, and in contact with HPDs (e.g. chimneys, combustion appliance vents, and non-insulation contact (IC)–rated recessed lights).

9.3.1(e3) High-temperature caulk must be rated for constant service up to at least 450°F (e.g., room-temperature vulcanizing [RTV] red silicone available for service up to 600°F, such as automotive RTV gasket sealant).

9.3.1(f) Meet or exceed expected wind and mechanical pressure loads.

9.3.1(g) For use inside the pressure boundary:

9.3.1(g1) Meet Proposition 65 requirements.

9.3.1(g2) Are low volatile organice compound (VOC) sealants that meet independent testing and verification.

9.3.2 Bond Breaker Tapes

9.3.2(a) Shall be polyethylene, polypropyiene, PTFE, or closed-cell foam, and have self-adhesive backing.

9.3.3 Elastomeric Joint Sealants (e.g., polysulfide, polyurethane, and silicone)

9.3.3(a) Must be compliant with American Society of Testing and Materials (ASTM) C920.

9.3.3(b) Neutral cure (oxime or alkoxy) sealants must be used for masonry applications.

9.3.4 Foam Sealants

9.3.4(a) Must be:

9.3.4(a1) UL-classified and Class A/Class 1 per ASTM E84

9.3.4(a2) Minimally expanding

9.3.4(b) Fire-Resistant Foams

9.3.4(b1) Must be compliant with ASTM E814, UL 1479, or ASTM E84 Class 1.

9.3.4(b2) Firestop or fireblock foam

9.3.4(b3) Usually red or orange in color

9.3.5 Latex Sealant (e.g., latex, acrylic latex, and siliconized acrylic)

9.3.5(a) Must be compliant with ASTM C 834

9.3.6 Solvent-Release Sealant (e.g., acrylic, butyl rubber, and chlorosulfonated polyethylene)

9.3.6(a) Must be compliant with ASTM C 1311

9.4. Specific Applications

9.4.1 Attic Access Cover—Horizontal

9.4.1(a) Cover Material

9.4.1(a1) Field-fabricated access door: Gypsum (drywall), minimum ⅝" thick

9.4.1(a2) Prefabricated access door assembly: Commercially available

9.4.1(b) Framing Material (Joist Blocking)

9.4.1(b1) Same dimension as joist (e.g., 2" x 4" or 2" x 6")

9.4.1(b2) No. 2 hem-fir or better

9.4.1(c) Trim Material

9.4.1(c1) Window/door trim/molding (interior- or exterior-grade)

9.4.1(c2) Adequate thickness and width to attach to ceiling joists and extend into the opening far enough to support the cover (e.g., ⅝" x 3½")

9.4.1(c3) Spackle or wood putty (to cover recessed nails)

9.4.1(d) Attachments

9.4.1(d1) Minimum 3" nails for blocking

9.4.1(d2) Finish nails for attaching trim (long enough to penetrate joist at least ½", e.g., 1⅝" long)

9.4.1(e) Weatherstripping

9.4.1(e1) Open or closed cell foam tape, in accordance with the material specification for weatherstripping

9.4.1(f) Insulation

9.4.1(f1) Flexible or rigid insulation, with an R-value equal to the R-value of insulation on the attic floor

9.4.2 Attic Access Cover—Vertical

9.4.2(a) Cover Material

9.4.2(a1) Gypsum (drywall), minimum ½" thick with plywood backing

9.4.2(a2) Minimum ⅝" plywood (interior- or exterior-grade, CCX or better), for wood-only cover/door

9.4.2(a3) Minimum ½" plywood (interior- or exterior-grade, CDX or better) to serve as backing for gypsum-clad cover/door

9.4.2(b) Framing Material

9.4.2(b1) Same dimension as studs (e.g., 2" x 4")

9.4.2(b2) No. 2 hem-fir or better

9.4.2(c) Trim Material

9.4.2(c1) Window/door trim/molding (interior- or exterior-grade), minimum 2" wide

9.4.2(c2) Spackle or wood putty (to cover recessed nails)

9.4.2(d) Hinges in Firewall Applications

9.4.2(d1) Minimum 3½" x 3½" spring-loaded with adjustable tension

9.4.2(d2) Adequate spring tension to make access cover self-closing

9.4.2(e) Attachments

9.4.2(e1) Minimum 3" nails for blocking

9.4.2(e2) Finish nails for attaching trim (long enough to penetrate the joist at least ½", e.g., 1⅝" long)

9.4.2(e3) Corrosion-resistant screws for hinges

- Sized per hinge manufacturers specifications and
- Long enough to penetrate framing at least ½"

9.4.2(e4) Heavy-duty construction adhesive (to glue plywood to gypsum)

9.4.2(f) Weatherstripping

9.4.2(f1) Open or closed cell foam tape, in accordance with the material specification for weatherstripping or

9.4.2(g) Insulation

9.4.2(g1) Flexible or rigid insulation with an R-value equal to knee walls

9.4.3 Cover Plate Gaskets

9.4.3(a) All gaskets shall be:

9.4.3(a1) Fire-resistant

9.4.3(a2) Pre-cut to fit when the correct size is available

- Rocker-type switches and rectangular receptacles:
  - Gaskets shall have rectangular perforations shaped for those applications (rather than using standard receptacle gaskets with rounded perforations).
    - Closed-cell foam
    - Minimum ⅛" thick

9.4.4 Crawlspace Access Cover—Horizontal (Indoors)

9.4.4(a) Cover Material

9.4.4(a1) Prefabricated access door assembly (commercially available) or

9.4.4(a2) Field-fabricated access door

9.4.4(a3) Substrate of ¾" plywood, CCX or better

9.4.4(a4) Finish lumber: No. 2 or better

9.4.4(b) Framing Material (Joist Blocking)

9.4.4(b1) Same dimension as joist (e.g., 2" x 4" or 2" x 6")

9.4.4(b2) No. 2 hem-fir or better

9.4.4(c) Attachments

9.4.4(c1) Minimum 3" nails for blocking

9.4.4(c2) Corrosion-resistant screws for hinges

9.4.4(c3) Sized in accordance with hinge manufacturer's specifications and

9.4.4(c4) Long enough to penetrate framing at least ⅝"

9.4.4(d) Weatherstripping

9.4.4(d1) Open- or closed-cell foam tape, in accordance with material specification for weatherstripping

9.4.4(e) Insulation

9.4.4(e1) Flexible or rigid insulation with R-value equal to the R-value of the floor insulation

9.4.5 Crawlspace Access Cover—Vertical (Outdoors)

9.4.5(a) Cover Material

9.4.5(a1) Metal

- Screened metal vent (commercially available or shop-fabricated) or
- Solid metal access cover (commercially available or shop-fabricated)
- Metal: Minimum 20-gauge
- Screen: ¼" metal mesh or expanded metal or equivalent

9.4.5(a2) Wood

- Minimum ½" exterior-grade plywood, CCX or better

9.4.5(b) Framing Material (box frame)

9.4.5(b1) Minimum 1" x 2" redwood or pressure-treated fir, no. 2 or better

9.4.5(c) Hinges

9.4.5(c1) Cabinet hinges or better

9.4.5(c2) Corrosion-resistant

9.4.5(d) Latches

9.4.5(d1) Cabinet latches or better

9.4.5(d2) Corrosion-resistant

9.4.5(e) Attachments

9.4.5(e1) Box frame and metal frame

- Concrete nails or corrosion-resistant screws and anchors
- Sized for ½" penetration into concrete

9.4.5(e2) Corrosion-resistant screws for hinges

- Sized in accordance with hinge manufacturer's specifications and
- Long enough to penetrate framing at least ⅝"

9.4.6 Glazing in Doors

9.4.6(a) Safety glass is required except in jalousie windows and windows with panes >3" in width and height.

9.4.6(a1) Polycarbonate may be used in lieu of glass if allowed by local code.

9.4.6(a2) U-factor and solar heat gain coefficient (SHGC) shall comply with Table 32-7.

9.4.6(a3) Safety glazing shall be permanently labeled and installed per the 2013 CRC, §R308.4.

TABLE 32-7: GLAZED DOOR PERFORMANCE REQUIREMENTS

Efficiency Factor	Climate Zone	Maximum Value
U-Factor	All	0.32
SHGC	1, 3, and 5	No requirement
	2 and 6–16	0.25

9.4.7 Door Repair/Replacement Materials

9.4.7(a) Doors—Fire-Resistance

9.4.7(a1) Garage door to living space shall be:

- A 20-minute fire-rated door tested per National Fire Protection Association (NFPA) 252
- Equipped with a self-closing and self-latching device

9.4.7(a2) Entrance doors in multi-family units shall have the fire rating specified by the local jurisdiction.

9.4.7(b) The jamb shall be:

9.4.7(b1) Exterior-grade only

9.4.7(b2) ⅝"-thick stock standard; ¾" minimum

9.4.7(c) Hardware

9.4.7(c1) All door closure system components shall be base models. Ornate or complex lockset materials are not allowed.

9.4.7(c2) A deadbolt is required to have a thumb turn on the interior side. (An interior key deadbolt is not allowed.)

9.4.7(d) Door Jamb Sealant

9.4.7(d1) Injected foam is allowed only if appropriate for the intended use and installed strictly in accordance with the manufacturer's instructions.

9.4.7(e) Nails

9.4.7(e1) Use finishing or casing nails for interior applications.

9.4.7(e2) Use galvanized nails for exterior applications.

9.4.7(f) Shoes, Door Bottoms, and Sweeps

9.4.7(f1) Solid aluminum extrusions

9.4.7(f2) Pliable gasket of vinyl, thermoplastic elastomer (TPE), silicone, or equivalent

9.4.7(f3) Solid aluminum carrier, 0.05" minimum nominal thickness, with elongated mounting holes 9" OC maximum

- Exception: For shoes, a plastic carrier is allowed when standard aluminum will not fit.

9.4.7(f4) Shoes

- A U-shoe is standard; an L-shoe is allowed when a U-shoe will not fit.
- Shall have rain drip in exposed outdoor locations

9.4.7(f5) A tall (e.g., 3"-high) U-shoe may be used when the door bottom is cut too short or is too worn/weak to accept a standard (1½"-high) U-shoe.

9.4.7(f6) Stationary sweeps shall have a pliable gasket of vinyl or silicone.

9.4.7(f7) Automatic door bottom

- Retractable type only; a flip sweep is not allowed

9.4.7(f8) Metal saddle threshold

- Solid aluminum only; a "gasket saddle" with a vinyl top gasket is not allowed
- Shall have a floor-sealer gasket of vinyl, TPE, silicone, or equivalent

9.4.7(f9) Wooden saddle threshold

- Hardwood only; a "gasket saddle" with a vinyl top gasket is not allowed

9.4.7(f10) Bumper threshold

- Solid aluminum with bumper gasket of vinyl, TPE, silicone, or equivalent

9.4.7(g) Threshold Risers

9.4.7(g1) Risers shall be made of material that matches the threshold (aluminum or hardwood).

9.4.7(g2) Screws (minimum three per riser) must be compatible with threshold materials.

9.4.7(h) Threshold Shim/Elevator Materials

9.4.7(h1) Non-wood: Aluminum and plastic (e.g., vinyl)

9.4.7(h2) Solid wood: Redwood, cedar, pressure-treated fir, or solid hardwood (degradation-resistant and exterior-grade)

9.4.8 Exterior Doors

9.4.8(a) Doors shall comply with the fire-resistance requirements of local code (e.g., 2016 CRC Section R337.8).

9.4.8(b) When equipped with glass, the door shall be equipped with safety glass unless the pane is <3" in height or width

9.4.8(c) Replacement doors shall be limited to standard solid core slab or panel doors. (No ornate design, stained glass, decorative windows, etc., is allowed unless required by the State Historical Preservation Office and approved by weatherization waiver.)

9.4.8(d) Dimensions

9.4.8(d1) A 1¾" door is required when jambs are replaced.

9.4.8(d2) A 1⅜" door is allowed when jabs are not replaced and a 1¾" door will not fit.

9.4.8(e) Composition

9.4.8(e1) Non-metallic veneer: Minimum ⅛" thick with exterior-grade glue

9.4.8(e2) Core:

- Wood doors must be solid core.
- Metal doors must have a minimum R-6 insulated core.

9.4.8(f) Finish/Sealer

9.4.8(f1) All doors, including those that are cut to fit on-site, will be sealed (painted or primed) to prevent moisture intrusion.

9.4.8(f2) Pre-hung doors will be factory-sealed (primed or painted).

9.4.8(f3) Wood Doors

- Acceptable sealers are paint, urethane, and varnish.
  - Clear "water seal" products are not allowed.

9.4.8(f4) Metal doors

- Acceptable sealers are oil-based or epoxy paint only.

9.4.8(f5) Jamb and casing/trim

- Acceptable sealers are paint, urethane, and varnish.
  - Clear "water seal" products not allowed.
  - Exterior-grade material must be used in exterior locations.

9.4.8(g) Hinges

9.4.8(g1) Hinges shall:

- Conform to American National Standards Institute (ANSI)/Builders Hardware Manufacturers Association (BHMA) A156.1
- Be constructed of brass or stainless steel, minimum 0.120" thick
- Be loose-pin type unless mounted toward the exterior
- Be fixed-pin type when mounted toward the exterior
  - A fixed pin is not required on the middle hinge.

9.4.8(g2) 1⅜" doors require a minimum hinge size of 3½" x 3½".

9.4.8(g3) 1¾" doors require a minimum hinge size of 4" x 4".

9.4.8(g4) Hinges in firewall applications

- Minimum 3½" x 3½" spring-loaded with adjustable tension
- Adequate spring tension to make access cover self-closing

9.4.8(h) Screws to Attach Hinges

9.4.8(h1) Wood and metal jambs: Brass or stainless steel flathead screws or as specified/ supplied by manufacturer

9.4.8(h2) Pre-hung units and replacement jambs: Screws shall penetrate the trimmer stud at least ⅝".

9.4.9 Interior/Appliance Enclosure Doors and Hardware

9.4.9(a) Interior-grade, hinged, hollow-core, and louvered doors are allowed (e.g., for appliance enclosures and communication between rooms for combustion ventilation air).

9.4.9(b) Thickness: 1⅜" or 1¾"

9.4.9(c) Veneer: Minimum ⅛" thick

9.4.9(d) Hinges

9.4.9(d1) Two or three hinges (three hinges for solid wood or solid core)

9.4.9(d2) Constructed of brass or stainless steel

9.4.9(d3) Conforming with ANSI/BHMA A156.1

9.4.9(d4) Minimum hinge size: 3½" x 3½" and 0.120" thick.

9.4.9(e) Screws for hinges: Brass or stainless steel flathead screws

9.4.10 Mobile Home Swinging Exterior Replacement Doors

9.4.10(a) Doors must have:

9.4.10(a1) Rigid stiles and rails (e.g., channel steel and/or wood)

9.4.10(a2) Permanently finished skin (e.g., fiberglass or vinyl-clad metal)

9.4.10(b) Out-Swinging Doors

9.4.10(b1) Must be pre-hung entrance doors manufactured for mobile homes

9.4.10(b2) Must have a flanged metal frame (jambs, header, and sill) with integral weather seals (e.g., extruded flap vinyl, bulb seal, etc.)

9.4.10(c) In-Swinging "House-Type" Doors

9.4.10(c1) Material and installation criteria for house-type doors installed in mobile homes are the same as those for conventional entrance doors.

9.4.10(c2) The door blank may be installed independently if feasible.

9.4.10(c3) A pre-hung unit may be installed when it is the best option.

9.4.11 Fireplace Chimney Damper

9.4.11(a) Factory-Built (Zero Clearance) Fireplaces

9.4.11(a1) Repair or replacement parts shall be specified by the fireplace manufacturer.

9.4.11(b) Masonry Fireplaces

9.4.11(b1) Commercially available top-sealing (chimney top) dampers

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9.4.11(b2) Sized to fit the chimney termination

9.4.11(b3) Controllable from indoors (e.g., with a control cable inside the fireplace)

9.4.12 Fireplace Glass Doors

9.4.12(a) All glass doors shall:

9.4.12(a1) Fit the smallest dimensions of the fireplace opening

9.4.12(a2) Seal against the fireplace surface (e.g., with gasket or strips of fiberglass insulation)

9.4.12(a3) Meet the requirements listed below based on fireplace type

9.4.12(b) Factory-Built (Zero Clearance) Fireplaces

9.4.12(b1) Commercially available glass doors

9.4.12(b2) Designed for use with zero clearance fireplaces

9.4.12(b3) Sized and shaped to fit against and seal off the fireplace opening

9.4.12(c) Masonry Fireplaces

9.4.12(c1) Commercially available glass doors

9.4.12(c2) Designed for use with masonry fireplaces

9.4.12(c3) Sized and shaped to fit against and seal off the fireplace opening

9.4.13 Wall or Shell Patching

9.4.13(a) Mesh Plumbing Patches

9.4.13(a1) 28–30-gauge non-corrosive metal with self-adhesive backing

9.4.13(a2) Backing shall be a strong pressure-sensitive adhesive film

9.4.13(a3) Backing shall be reinforced with fiberglass mesh or equivalent

9.4.13(a4) Patches shall be cut to fit snugly around pipes (e.g., pre-cut for installation around 2", 1½", ¾", and ½" pipes)

9.4.13(b) Finishing Compound

9.4.13(b1) Lightweight, non-shrinking spackling compound or

9.4.13(b2) Drywall joint compound or equivalent

9.4.13(c) Sheet Metal

9.4.13(c1) Aluminum or galvanized sheet metal; minimum thickness 0.007"

9.4.13(d) Radiant Barrier Material

9.4.13(d1) Commercially available foil/bubble/foil

9.4.13(d2) Class A/Class 1, minimum thickness 5⁄16"

9.4.13(e) Foam Board

9.4.13(e1) Polyisocyanurate foil–clad on both sides, ASTM C 1289 or Federal Standard (FS) HH-I-1972

9.4.14 Weatherstripping

9.4.14(a) Rigid gasket jamb materials (aluminum carrier)

9.4.14(a1) Solid extruded aluminum carrier, 0.05" minimum nominal thickness

9.4.14(a2) Pliable gasket of vinyl, TPE, silicone, or equivalent

9.4.14(a3) The carrier shall have elongated mounting holes, 9" OC maximum

9.4.14(a4) The secondary seal between the carrier and the mounting surface shall be a minimum of ⅛" wide and extend the full length of the carrier

9.4.14(b) Spring and Cushion Metal

9.4.14(b1) Brass, bronze, or stainless steel only; aluminum is not allowed

9.4.14(c) Cushion Synthetic Pressure-Sensitive Door Gaskets

9.4.14(c1) Polypropylene, TPE, silicone, or equivalent

9.4.14(c2) L-shaped stabilizer with self-adhesive backing

9.4.14(d) Flanged bulb (Compression Bulb)

9.4.14(d1) Pliable gasket of TPE or silicone (e.g., teardrop-shaped seal)

9.4.14(d2) Minimum ⅜" wide with self-adhesive stabilizer flange

9.4.14(e) Round Tube

9.4.14(e1) Pliable gasket of TPE, silicone, or equivalent

9.4.14(f) Foam Tape

9.4.14(f1) The color shall be compatible with the surrounding materials (e.g., light-color foam for light-color surfaces).

9.4.14(f2) Closed-cell foam tape shall be UV-resistant with self-adhesive backing.

9.4.14(f3) Open-cell foam tape shall have self-adhesive backing.

9.4.14(g) V-Shape Fin Seal

9.4.14(g1) Durable V-seal of silicone or equivalent material, with stabilizer flange and adhesive backing. (This is different from a vinyl V-strip.)

9.4.14(h) Replacement Kerf-In Bulb and Foam

9.4.14(h1) Properly sized for the retaining channel

9.4.14(i) Replacement Pile

9.4.14(i1) Fin seal type whenever feasible

9.4.14(i2) Properly sized for the retaining channel

9.4.14(j) Corner Pads

9.4.14(j1) Pile pad shall have self-adhesive backing

9.4.14(k) Mechanical Attachments

9.4.14(k1) All screws, nails, staples, and other fasteners shall be:

- Non-corrosive metal
- Properly sized for each application

9.4.14(l) Pressure-Sensitive Adhesive

9.4.14(l1) Minimum adhesion strength of 65 ounces per inch on all self-adhesive products

9.4.14(l2) Required on all self-adhesive products

9.4.15 Window Repair

9.4.15(a) Replacement glass will be sized to the original width, height, and depth and comply with Table 32-8.

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TABLE 32-8: MATERIALS REQUIREMENTS BY GLASS TYPE AND HOME TYPE

Glass Type	Maximum Pane Size	
	Conventional Home*	Mobile Home
Single-strength (SS): Allowed when double-strength glass is too thick for the frame	16 sq. ft.	11 sq. ft.
Double-strength (DS): Recommended to replace single-strength glass when the frame thickness is adequate	24 sq. ft.	15 sq. ft.
3/16" Plate Glass	45 sq. ft.	30 sq. ft.
1/4" Plate Glass	65 sq. ft.	43 sq. ft.
Heat-Strengthened Glass	SS: 32 sq. ft. DS: 48 sq. ft. 3/16" plate: 90 sq. ft. 1/4" plate: 130 sq. ft.	SS: 22 sq. ft. DS: 30 sq. ft. 3/16" plate: 60 sq. ft. 1/4" plate: 86 sq. ft.
Fully Tempered Glass	SS: 64 sq. ft. DS: 96 sq. ft. 3/16" plate: 180 sq. ft. 1/4" plate: 260 sq. ft.	SS: 44 sq. ft. DS: 60 sq. ft. 3/16" plate: 120 sq. ft. 1/4" plate: 172 sq. ft.
*The listed glass sizing criteria are for installation in conventional home locations with low design pressure. For code requirements applicable to other locations, see chapter 24 of the current California Building Code or consult the local building department.		

9.4.15(b) Plastic Window Materials

9.4.15(b1) All panes must be ultraviolet-treated polycarbonate, minimum 1/8" thick.

9.4.15(b2) All sheeting must have sufficient rigidity to prevent bowing after installation.

9.4.15(b3) Acrylic sheets and plastic film are not allowed.

9.4.15(c) Jalousie Windows

9.4.15(c1) Minimum 3/16" glass will be installed.

9.4.15(c2) Maximum pane length will be 48".

9.4.15(c3) All attachment clips must be present.

9.4.15(c4) Regular, patterned, frosted, tempered, and heat-strengthened glass is allowed.

9.4.15(c5) Wired, laminated, and sandblasted glass is not allowed.

9.4.15(d) Safety glass must be:

9.4.15(d1) Compliant with ANSI Z97.1

9.4.15(d2) Permanently labeled per the current CRC

9.4.15(e) Glass Quality

9.4.15(e1) The quality of the replacement glass will equal or exceed that of the existing glass.

9.4.15(f) Wood Casing/Trim

9.4.15(f1) Use exterior-grade casing/trim in exterior locations.

9.4.15(f2) Paint-grade casing/trim is acceptable unless the existing jamb has a natural finish.

10. WARRANTY

10.1 Manufacturer—One year on all products except as specified by the manufacturer or unless otherwise specified below

10.1.1 Caulk—10 years

10.1.2 Weatherstripping—3 years

10.2 Contractor—1 year

33. Windows & Sliding Glass Doors

Table of Contents

1. **MEASURE OBJECTIVES** **33-1**

2. **INSTALL THIS MEASURE WHEN:** **33-1**
   - 2.1. Repair 33-1
   - 2.2. Install 33-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **33-1**

4. **INSTALLATION GUIDELINES** **33-1**
   - 4.1. General Requirements 33-1
     - *4.1.3 Safety Glass* *33-1*
     - *4.1.4 Egress Requirement* *33-2*
   - 4.2. Installation Procedure 33-2
     - *4.2.9 Retrofit Replacement Window into an Existing Frame* *33-2*
       - 4.2.9(c) Preparation of the opening 33-2
       - 4.2.9(d) Window installation 33-3
     - *4.2.10 Full-Frame Replacement Windows (Existing Frame Removed)* *33-4*
       - 4.2.10(b) Preparation of the opening 33-4
       - 4.2.10(c) Additional preparation of the opening for an SGD 33-4
       - 4.2.10(d) Full-frame replacement window and SGD installation 33-4
     - *4.2.11 Window Sealing* *33-6*
       - 4.2.11(a) Exterior sealing 33-6
       - 4.2.11(b) Wood frame sealing materials 33-7
       - 4.2.11(c) Interior sealing 33-7
     - *4.2.12 Casing/Trim* *33-7*
       - 4.2.12(b) Wood casing/trim 33-7

5. **MOBILE HOME–SPECIFIC** **33-7**
   - 5.1. Installation Requirements 33-7

6. **MULTI-FAMILY–SPECIFIC** **33-8**
   - 6.1. Installation Requirements 33-8

7. **DOE-SPECIFIC** **33-9**
   - 7.1. Assessment Requirements 33-9
   - 7.2. Installation Requirements 33-9

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8. POST-INSTALLATION GUIDELINES 33-9

8.1. Quality Check 33-9

8.2. Client Education 33-10

8.3. Clean-Up and Disposal Requirements 33-10

9. MATERIAL SPECIFICATIONS 33-10

10. WARRANTY 33-11

Windows & Sliding Glass Doors

1. MEASURE OBJECTIVES

1.1 New windows reduce solar heat gain, thermal transmission, and air infiltration.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable for this measure. See Section 32 Infiltration Reduction.

2.2. Install

2.2.1 The window or sliding glass door (SGD) separates a conditioned space from an unconditioned space and

2.2.2 Energy Efficiency Upgrade for the window or SGD has a savings-to-investment ratio (SIR) ≥1.0 as proven by an energy audit or

2.2.3 An individual window or SGD is documented to meet the CSD definition for catastrophic leakage per Appendix C Shell Leakage Test Protocol

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The window frame or glass can be repaired rather than replaced under Section 32 Infiltration Reduction

3.2 One or more of the following conditions exist and cannot be corrected within the program scope, which limits the home to non-infiltration measures only (the home is NIM):

3.2.1 A non-correctable environmental or combustion appliance safety (CAS) hazard or CAS fail exists under Appendix E Health and Safety Requirements, Environmental Hazards, or Appendix A Combustion Appliance Safety Protocol

3.2.2 Mechanical ventilation assessment/installation is required by contract but cannot be installed

3.2.3 The dwelling envelope is damaged or deteriorated, or the home is being remodeled, and the thermal boundary is incomplete beyond small infiltration gaps and cracks

3.3 Catastrophic leakage cannot be proven and documented, per Appendix C Shell Leakage Testing Protocol

3.4 Installation would violate the Appendix E Health and Safety Requirements

3.5 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 To prove catastrophic leakage, measurements and calculations of gap size for an individual window or SGD must be provided on the CSD 540 Dwelling Assessment Form.

4.1.2 Audited Measures

4.1.2(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded, it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.2(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.3 Safety Glass

4.1.3(a) See Section 1 General Installation Guidelines, Safety Glass in Windows and Doors.

4.1.4 Egress Requirement

4.1.4(a) See Section 1 General Installation Guidelines, Window Egress (Conventional Homes).

4.2. Installation Procedure

4.2.1 The type of window replacement depends on the existing materials and an evaluation of the condition of the existing window (sash, jamb, sill, framing, etc.).

4.2.2 Installation procedures vary depending on the window replacement type.

4.2.3 When appropriate, masking tape or register film will be applied to existing broken panes to stabilize broken pieces and prevent them from falling out of the sash/frame during removal.

4.2.4 All mounting surfaces and contact areas must be smooth, clean, and free of protrusions.

4.2.5 The seal between the fixed components of the window (e.g., jambs, sill, exterior stops) will be continuous and complete while maintaining the operability of the window.

4.2.6 Windows shall be installed:

4.2.6(a) Plumb, level, and square with the sash edge parallel to the frame edge

4.2.6(b) With interior and exterior trim that provides a barrier to water and air infiltration and a finished appearance

4.2.7 Windows and doors will be adjusted to properly fit the jamb and allow for ease of operation and security.

4.2.8 Sash replacement (one or multiple window sashes replaced in an existing window frame)

4.2.8(a) Replace decayed or deteriorated sashes if a complete replacement window is not installed.

4.2.8(b) Existing weatherstripping and sash sealant will be removed.

4.2.8(c) Springs and sash weight systems must operate properly after sash replacement.

4.2.8(d) The lower sash must have the same bevel on the bottom rail as the sill.

4.2.8(e) The sash must be water-sealed and primed to prevent moisture intrusion.

4.2.8(f) The surface where the sill meets the sash will be cleaned.

4.2.8(g) Continuous and complete weatherstripping will be installed on the bottom of the lower sash where it makes contact with the sill and at the top of the upper sash where it makes contact with the upper part of the window frame.

4.2.8(h) Stops will be installed to keep the window securely in place and adjusted to eliminate visible gaps between the stops and the jamb while maintaining operability of the window.

4.2.8(i) Sash locks shall be installed and adjusted so that the rails of the upper and lower sashes are flush and in full contact with no visible gaps.

4.2.9 Retrofit Replacement Window into an Existing Frame

4.2.9(a) "Box frame" windows (also known as "insert" or "pocket replacement" windows) can be installed into an existing window frame when the frame and sill are structurally sound and no moisture damage or rot is evident.

4.2.9(a1) Interior and exterior trim/casing usually will not be disturbed.

4.2.9(b) "Flush fin" windows are similar to box frame windows except they have an exterior flange that conceals the perimeter of the existing window opening and trim. This type of window is typically used when replacing metal frame windows. New interior trim/ casing is usually required.

4.2.9(c) Preparation of the opening

4.2.9(c1) All frames

- All existing components associated with the installation must be structurally sound.
- Water penetration points must be sealed.

- All necessary repairs shall be made to facilitate the installation of the replacement unit.

4.2.9(c2) Wood frames

- Remove and repair any decayed material and clean the opening before the new window is installed.
- The existing frame must be securely attached in the rough opening.

4.2.9(c3) Metal frames

- Remove sashes, screens, and hardware from the frame (Fig. 33-1).
- The maximum rough opening should be maintained by cutting away the metal frame as needed. See Section 1 General Installation Guidelines, Window Egress (Conventional Homes).
- Remove or correct any burrs, sharp corners and edges, and other such hazards.

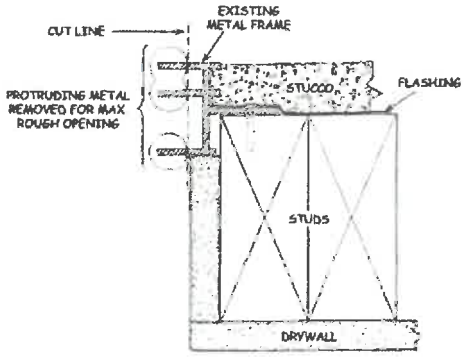

FIG. 33-1: METAL WINDOW FRAME INSTALLATION

4.2.9(d) Window installation

4.2.9(d1) Bottom support

- The sill jamb of the replacement window must not rest directly on anything that would cause damage (e.g., the sharp edge of the original aluminum frame).

4.2.9(d2) Clearances

- Between the window and the rough opening, ensure side and top clearances conform to the manufacturer's specifications.
- Between the exterior of the window and the siding, provide clearances as specified by the manufacturer and fill spaces with caulk.

4.2.9(d3) Attachment

- Do not anchor the top to the header unless prescribed by the manufacturer.
- When large windows must be secured at the top, allowance must be made for flexing and sagging of the header.
- Anchors must be corrosion-resistant and compatible with the materials they contact/penetrate.
- Screws must penetrate solid wood at least ⅝".
- Anchors for vinyl windows must be placed at least 10" from corners or per manufacturer instructions.
- Installing flush fin retrofit windows (Fig. 33-2)
  - Install the fin over the exterior surface (e.g. stucco, siding).
  - Anchor the frame to the structural framing with non-corrosive #8 or larger screws.
  - Do not:
    - Place screws in the fin
    - Attach the retrofit frame to the old window frame

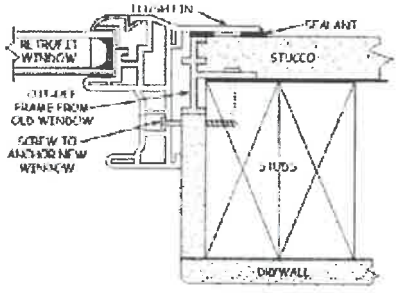

FIG. 33-2: FLUSH FIN WINDOW INSTALLATION

4.2.9(d4) Closure at the bottom (Fig. 33-3)

- The beveled sill will be flush with the interior wall and sloped to the exterior.
- Install a step sill, step extender, or equivalent when the gap between the existing sill and the new sill jamb exceeds ¼".

- Seal the bottom of the unit except for small gap(s) near the center (for drainage).

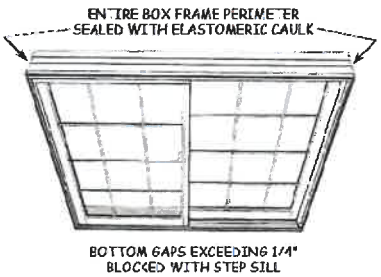

FIG. 33-3: BOX FRAME WINDOW BOTTOM CLOSURE

4.2.9(d5) Buildout (jamb extension)

- Extend (build out) the window frame when it is narrower than the wall thickness.
- Buildout material must be compatible with the frame material and be finished to match the frame.

4.2.10 Full-Frame Replacement Windows (Existing Frame Removed)

4.2.10(a) When the existing window frame, jamb, sill, and/or rough framing show signs of water leaks, rot, or other damage, the entire window unit must be removed down to the rough opening. A complete window assembly is installed, including new window frame, sill, and nailing fin for attachment of the window unit to the framing. New interior and exterior trim/casing is required.

4.2.10(b) Preparation of the opening

4.2.10(b1) Remove the old window frame and all obstructions, such as nailing fins, nails, stops, pulleys, and hardware, from the rough opening, that will prevent proper installation.

4.2.10(b2) Remove the exterior trim or cut back the exterior siding to fit the new window frame and trim. Replace all decayed material to ensure the framing is structurally sound.

4.2.10(c) Additional preparation of the opening for an SGD

4.2.10(c1) Remove the existing door frame, anchors, and sealant.

4.2.10(c2) The opening must be structurally sound, square, plumb, and level.

- Seal water penetration points.
- Provide sound anchorage for the replacement unit.
- Ensure the floor is structurally adequate to properly support the replacement sill in a level condition.

4.2.10(c3) The tread under the door or landing surface must be no less than 9" in depth (Fig. 33-4).

4.2.10(c4) Insulate gaps between the door frame and the rough opening with mineral fiber or backer rod.

- If minimally expanding foam is used, it must be installed properly to avoid warping the frame.

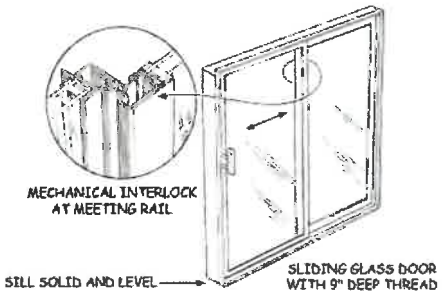

FIG. 33-4: SGD ATTRIBUTES

4.2.10(c5) The threshold will be installed a maximum height of 1" above the interior floor surface.

- When the occupant is physically handicapped, extend the threshold above the interior finished floor surface a maximum of ½".

4.2.10(d) Full-frame replacement window and SGD installation

4.2.10(d1) The mounting detail will be determined based on the depth of the window and the location of the window liner.

4.2.10(d2) Shims

- Install shims as required to:
  - Ensure square installation and proper operation of sashes
  - Minimize distortion or rotation of the frame or sill
- The sill jamb must be uniformly supported with doubled shims (Fig. 33-5).
  - Double-up tapered shims (one on top of the other, facing in opposite directions).

- Shims used to establish spacing at anchor points must be:
  - Penetrated by the anchor
  - Trimmed as needed but not removed
- Temporary shims in other locations can be removed after the window is securely anchored (Fig. 33-6).

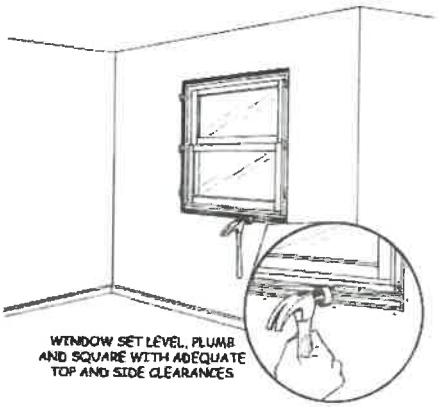

FIG. 33-5: INSTALLING SHIMS TO MAINTAIN REQUIRED CLEARANCE

4.2.10(d3) Clearances

- Between the window and the rough opening, ensure side and top clearances conform to the manufacturer's specifications.
- Between the exterior of the window and the siding, provide clearances as specified by the manufacturer and fill spaces with caulk.

4.2.10(d4) Attachment

- Do not anchor the top to the header unless prescribed by the manufacturer.
- When large windows must be secured at the top, allowance must be made for flexing and sagging of the header.
- Anchors
  - Anchors must be corrosion-resistant and compatible with the materials they contact/penetrate.
  - Nails must penetrate solid wood at least ¾".
  - Screws must penetrate solid wood at least ⅝".
  - Anchors for vinyl windows must be placed at least 10" from corners or per the manufacturer.

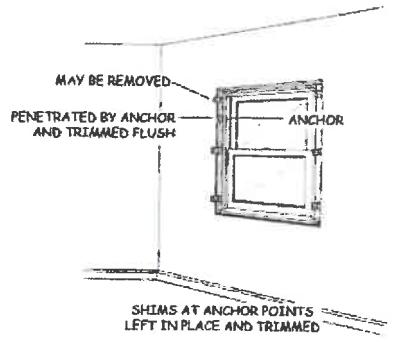

FIG. 33-6: SHIM INSTALLATION AT ANCHOR POINTS

4.2.10(d5) Flashing and drip cap

- Install flashing per the window manufacturer's instructions (Fig. 33-7):
  - When the fins are attached directly to the sheathing or framing
  - When the windows are not secured by fins, but the existing flashing is damaged
- Install a drip cap when recommended by the window manufacturer to direct rain water away from the top of the window.

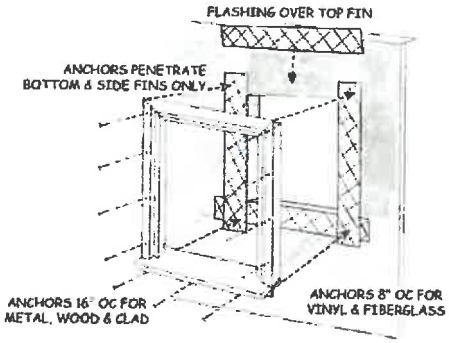

FIG. 33-7: ATTACHMENT AND FLASHING REQUIREMENTS FOR FULL-FRAME REPLACEMENT WINDOWS

4.2.10(d6) Cavity insulation

- Insulate open cavities between the rough framing and the window jamb (Fig. 33-8).
  - Exception: Do not insulate cavities where window weights are being utilized.

4.2.10(d7) Additional procedures—SGDs

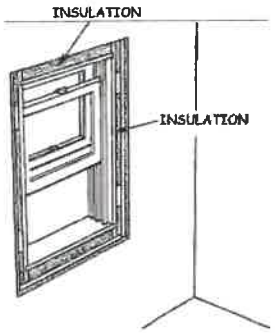

FIG. 33-8: CAVITY INSULATION

- Header, jambs, and sill
  - The jambs and header must be flashed and sealed as prescribed for the SGD replacement type.
  - Protect aluminum sills from contact with corrosives such as concrete, stucco, and steel (e.g., with sill pan or wood).
  - Support the sill (e.g., with shims or solid wood) to prevent sagging or twisting during door operation.
  - Apply two continuous, parallel, ⅜" nominal beads of elastomeric sealant to the entire length of the rough sill and 6" up each jamb into which the door sill or the sill pan is set.
  - When the door is set into a sill pan, apply a continuous sealant bead along the upturned leg of the sill pan. Also apply a bead of sealant near the front of the pan where the door sill makes contact, leaving gaps in the bead for water to escape.
- Install the door square, level, and plumb and secure it through pre-drilled holes placed 3"–10" from each corner and 16" on center (OC) or as prescribed by the manufacturer.
- Flanged SGDs
  - Position the replacement mounting flange to cover holes created by the pre-existing door.
  - Apply elastomeric caulk or non-hardening sealant/putty tape to the back of the mounting flange.
  - The sill must rest on the floor or have solid support from jamb to jamb.
  - Center the unit side-to-side in the opening, with the sides plumb and the frame square.
  - Securely anchor the flange with screws spaced in accordance with the manufacturer's instructions.

4.2.11 Window Sealing

4.2.11(a) Exterior sealing

4.2.11(a1) Seal windows and SGDs with elastomeric caulk.

4.2.11(a2) Seal any holes in frame left by abandoned hardware.

4.2.11(a3) Cracks wider than ⅝" must be repaired, not caulked.

4.2.11(a4) Before caulking, fill cracks ¼"–⅝" wide to within ½" of the surface with closed cell polyethylene rod or mineral fiber insulation.

4.2.11(a5) Dissimilar metals must be separated from each other with a non-conductive tape, coating, or sealant material.

4.2.11(a6) Flanged windows

- Caulk the window flange or frame perimeter to ensure a watertight seal.

4.2.11(a7) Block frame windows

- Caulk the entire exterior perimeter to ensure a watertight seal.

4.2.11(a8) Under fins

- Place a generous bead of caulk between the fins and the mounting surface.
- Ensure the sealant bead is continuous except for small gap(s) near the center of the bottom fin (for drainage).

4.2.11(a9) Around the casing perimeter

- Caulk the joint (gap) where the casing and siding meet except for small gap(s) near the center of the bottom trim (for drainage).

4.2.11 (a10) Between the window frame and the siding (no casing)

- Caulk the seam (gap) between the frame and the siding.

4.2.11 (b) Wood frame sealing materials

4.2.11 (b1) Prime all bare wood on the exterior per manufacturer's instructions and industry standards to prevent moisture damage (Fig. 33-9).

4.2.11 (b2) Lap the finish coat 1/16" onto the glass for a proper moisture seal.

4.2.11 (b3) Do not apply paint to weatherstripping, vinyl, plastic, and other non-wood parts unless specifically allowed by the manufacturer.

4.2.11 (b4) Acceptable sealers are paint, urethane, and varnish.

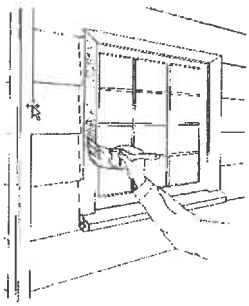

FIG. 33-9: PAINT OR PRIME ALL BARE WOOD ON EXTERIOR FRAME

4.2.11 (b5) Exterior-grade material (e.g., high-quality oil-based or latex paint) is required in exterior locations.

4.2.11 (c) Interior sealing

4.2.11 (c1) Seal the gap between the window frame and the rough opening with elastomeric caulk.

4.2.11 (c2) Sealant must be applied before the casing/trim is installed and may also be applied around the outside of the casing/trim.

4.2.11 (c3) Wood frame sealing materials

- Prime or stain interior surfaces in accordance with manufacturer instructions.

4.2.12 Casing/Trim

4.2.12 (a) Install sealant on the interior and exterior of all units (except on flush fin retrofit windows) (Fig. 33-10).

4.2.12 (b) Wood casing/trim

4.2.12 (b1) Paint-grade sealant is acceptable unless the existing jamb has a natural finish.

4.2.12 (b2) Exterior-grade sealant is required in all exterior locations.

4.2.12 (b3) The existing casing and miters must be matched.

4.2.12 (b4) Nails

- Finishing or casing nails are required for interior applications.
- Galvanized casing nails are required for exterior applications.

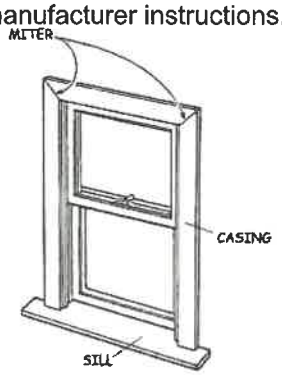

FIG. 33-10: CASING/TRIM

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation of windows and SGDs in mobile homes is the same as conventional homes except as specified below.

5.1.1 (a) Windows shall not be installed in mobile homes when:

5.1.1 (a1) Window or SGD replacement requires removal of siding

5.1.1 (a2) An open combustion gas-burning space heater or water heater that draws combustion air from the living space is present

5.1.1 (a3) An open combustion solid-fuel burning space heater (i.e., fireplace, insert, wood stove) that draws combustion air from the living space is present

- Exception: Pressure diagnostics and infiltration-reduction measures will be allowed when:
  - Pressure measurement shows the combustion appliance zone (CAZ) of each appliance is less negative than the house depressurization limit (HDL) and
  - Installed measures do not depressurize the CAZ beyond the HDL.
    - See procedures described in Appendix A Combustion Appliance Safety Protocol.

5.1.1 (b) Mobile Home Egress Windows

5.1.1 (b1) See Section 1 General Installation Guidelines, Window Egress (Mobile Homes).

5.1.1 (b2) Screws anchoring into the framing structure of the mobile home must penetrate wood at least ¾".

5.1.1 (b3) Attachment of flanged windows (Fig. 33-11)

- Place screws within 4" of each corner.
- For metal frames:
  - Place additional screws a maximum of 12" apart.
  - Use a minimum of three screws on each side exceeding 18" in length.
- For vinyl frames:
  - Place additional screws a maximum of 8" apart.
  - Use a minimum of three screws on each side exceeding 14" in length.

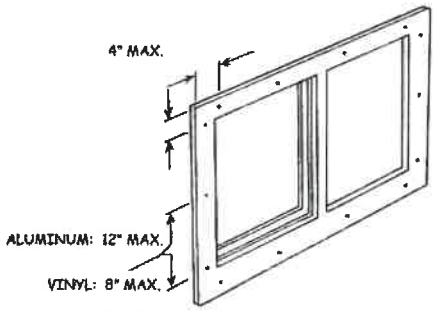

FIG. 33-11: ATTACHMENT OF FLANGED WINDOWS

5.1.1 (b4) Attachment of box frame windows (no flange)

- Secure the window in place with screws and/or stops fastened to the rough opening.
- Install screws perpendicular to the window frame.
  - Do not angle screws to pull the window into the rough opening.
- Install flashing at the top of the window.
- Install drip cap in all locations not protected by an awning or porch.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family buildings are the same as those for conventional homes except as specified below.

6.1.1 (a) Window or SGD Energy Efficiency Upgrades are not allowed for individual units in a multi-family building.

6.1.1 (b) Replacement of an individual window or SGD for catastrophic leakage in an individual unit in a multi-family building will only be allowed under LIHEAP.

6.1.2 Whole-building window or SGD Energy Efficiency Upgrades must be justified in an energy audit with an SIR ≥1.0 per Appendix D Energy Audit/Priority List Protocol.

6.1.3 Common area installations (e.g., in a lobby, waiting area, entertainment room, etc. within the same thermal boundary as dwelling units) are allowed when justified by energy audit for a whole-building project per Appendix D Energy Audit/Priority List Protocol.

6.1.3 (a) Common area installation is not allowed when only an individual unit in a multi-family building will be served.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 Window/SGD repair is only allowed when justified as an incidental repair.

7.1.2 Window/SGD replacement shall not be performed as an infiltration reduction measure.

7.1.3 To install this measure with DOE funding as an energy efficiency upgrade, use of the Priority List (PL) or a site-specific energy audit is required, or it may be justified as an incidental repair.

7.1.3(a) Window repair/replacement to correct catastrophic leakage is not allowed.

7.1.4 This measure may be a DOE Audit path, audit driven measure, or Priority List path, Optional measure.

7.1.5 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.6 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.6(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.7 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.8 To assess for this measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.8(a) The form will determine if the measure will be installed in the Audit path or the PL path.

7.1.8(b) When assessing for this measure for the Audit path, measure feasibility will be decided by the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.8(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.8(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.8(c2) This measure shall be applied to the PL only in mobile homes with propane or oil-fired primary heat. It shall not apply for other building types.

7.1.8(c3) If an energy conservation measure is not present on the PL for a specific building type, a site-specific energy audit with all feasible measures shall be conducted.

7.1.9 If a client refuses a feasible Major Audit path measure, Mandatory Priority List path measure, or Health & Safety measure, the entire dwelling shall be deferred.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Perform post-installation CAS testing of open-combustion appliances that draw combustion air from the living space. See Appendix A Combustion Appliance Safety Protocol.

8.1.2 Window and SGD units shall operate smoothly.

8.1.3 The frame shall be square so sashes/panels close properly at all corners and edges (Fig. 33-12).

8.1.4 Interlocks and latches must function properly.

8.1.5 Clean all replacement window and SGD glass inside and out.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Remove all replaced windows, SGDs, broken glass, debris, and miscellaneous parts from the property.

8.3.1(a) Wrap old sash and any removed materials in plastic and dispose of them off-site in a manner that is compliant with local, state, and federal regulation.

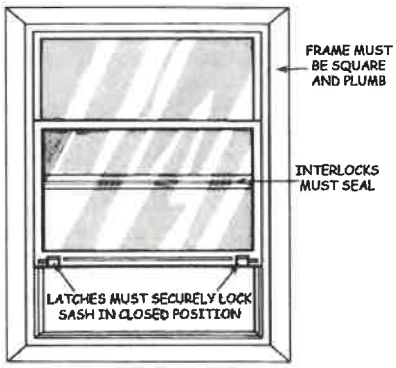

FIG. 33-12: POST-INSTALLATION QUALITY CHECK

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 20 years

9.1.2 DOE: 20 years

9.2 All replacement window and SGD materials shall be:

9.2.1 ENERGY STAR®–certified

9.2.2 Compliant with local code and bear an National Fenestration Rating Council (NFRC) temporary label

9.2.3 Compliant with the warranty requirements below

9.2.4 Compliant with the following Title 24 energy efficiency standards:

9.2.4(a) U-Factor in all California Energy Commission (CEC) climate zones: Maximum 0.30

9.2.4(b) Solar heat gain coefficient:

9.2.4(b1) CEC climate zones 1, 3, 5, 16: No requirement

9.2.4(b2) CEC climate zones 2, 4, 6–15: Maximum 0.23

9.2.5 Selected by type in accordance with Table 33-1:

TABLE 33-1: REPLACEMENT WINDOWS BY TYPE

Existing Window Type	Replacement Window Type
Horizontal slider	Horizontal slider
Vertical slider	Vertical or horizontal slider
Picture window	Picture or sliding window
Jalousie window	Vertical or horizontal slider

9.3 Mobile home windows and SGDs shall be designed for manufactured home use.

9.3.1 Egress windows must be labeled to show they comply with the Code of Federal Regulations (CFR) Title 24 3280.404 and American Architectural Manufacturers Association (AAMA) 1704.

9.4 An SGD must have an interlock at the meeting rail.

9.5 Openable windows must have insect screens.

9.6 Exterior wooden stop and casing materials must be exterior-grade.

9.7 Sealing materials must comply with the material specifications in Section 32 Infiltration Reduction.

9.8 Attachment materials:

9.8.1 Screws must be non-corrosive #8 or larger.

10. WARRANTY

10.1 Manufacturer—10 years (insulated glass unit [IGU])/3 years (other)

10.2 Contractor—1 year

34. Storm Windows

Table of Contents

1. **MEASURE OBJECTIVES** **34-1**

2. **INSTALL THIS MEASURE WHEN:** **34-1**
   - 2.1. Repair 34-1
   - 2.2. Install 34-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **34-1**

4. **INSTALLATION GUIDELINES** **34-1**
   - 4.1. General Requirements 34-1
     - *4.1.5 Safety Glass* *34-2*
     - *4.1.6 Egress Requirement* *34-2*
   - 4.2. Installation Procedures 34-2
     - *4.2.1 Storm Window Type, Size, and Shape* *34-2*
     - *4.2.2 Sash Requirements* *34-2*
     - *4.2.3 Weepage System* *34-2*
     - *4.2.4 Thermal Barrier* *34-2*
     - *4.2.5 Air Sealing* *34-3*
     - *4.2.6 Air Space* *34-3*
     - *4.2.7 Primary Window Operation* *34-3*
     - *4.2.8 Preparation of Opening* *34-3*
     - *4.2.9 Exterior Storm Window Attachment* *34-3*
     - *4.2.10 Interior Storm Window Attachment* *34-4*

5. **MOBILE HOME–SPECIFIC** **34-5**
   - 5.1. Installation Requirements 34-5
     - *5.1.4 Mobile Home Storm Window Egress Requirements* *34-5*
     - *5.1.5 Operable Interior and Exterior Storm Windows* *34-5*
     - *5.1.6 Fixed Storm Windows* *34-5*

6. **MULTI-FAMILY–SPECIFIC** **34-5**
   - 6.1. Installation Requirements 34-5

7. **DOE-SPECIFIC** **34-6**
   - 7.1. Assessment Requirements 34-6

8. **POST-INSTALLATION GUIDELINES** **34-6**
   - 8.1. Quality Check 34-6

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8.2. Client Education 34-6
8.3. Clean-Up and Disposal Requirements 34-6

9. MATERIAL SPECIFICATIONS 34-6

10. WARRANTY 34-8

Storm Windows

1. MEASURE OBJECTIVES

1.1 Storm windows improve the thermal insulation of existing windows.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure

2.2. Install

2.2.1 The window or sliding glass door separates a conditioned space from an unconditioned space

2.2.2 The primary window is a single-paned type and is intact

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The existing storm window functions properly

3.2 The existing primary window is a dual-pane type or the window unit will be replaced with a dual-pane window under Section 33 Windows and Sliding Glass Doors

3.3 The primary window is in a sleeping room and would not meet egress requirements with a storm window installed. (See Section 1 General Installation Guidelines, Window Egress (Conventional Homes).

3.4 The primary window is damaged and cannot be repaired. Refer to Section 32 Infiltration Reduction.

3.5 The window has tinted glass or window film

3.6 One or more of the following conditions exist and cannot be corrected within the program scope, which limits the home to non-infiltration measures only (the home is NIM):

3.6.1 A non-correctable environmental or combustion appliance safety (CAS) hazard or CAS fail exists under Appendix E Health and Safety Requirements, Environmental Hazards, or Appendix A Combustion Appliance Safety Protocol

3.6.2 Mechanical ventilation assessment/installation is required by contract but cannot be installed

3.6.3 The dwelling envelope is damaged or deteriorated, or the home is being remodeled, and the thermal boundary is incomplete beyond small infiltration gaps and cracks

3.7 Installation would violate the Appendix E Health and Safety Requirements

3.8 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 All existing components associated with the primary window must be structurally sound.

4.1.2 All mounting surface contact areas must be smooth, clean, and free of protrusions.

4.1.3 Sealant is required on all bare wood, except redwood, before installation of the storm unit.

4.1.4 Attachment of the storm window shall in no way impede the proper operation of the primary window.

4.1.5 Safety Glass

4.1.5(a) See Section 1 General Installation Guidelines, Safety Glass in Windows and Doors.

4.1.6 Egress Requirement

4.1.6(a) See Section 1 General Installation Guidelines, Window Egress (Conventional Homes).

4.2. Installation Procedures

4.2.1 Storm Window Type, Size, and Shape

4.2.1(a) The type, size, and shape of the storm window shall match the primary window (Fig. 34-1).

4.2.1(b) Storm window frames, grids, and meeting rails shall align with those of the primary window.

4.2.1(c) Storm windows built for interior use must be installed only on the interior.

4.2.1(d) Storm windows built for exterior use must be installed only on the exterior.

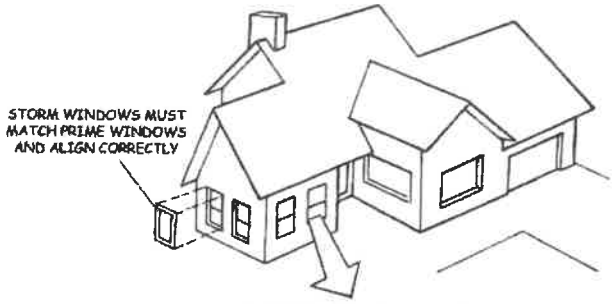

FIG. 34-1: STORM WINDOW WILL MATCH PRIMARY WINDOW

4.2.2 Sash Requirements

4.2.2(a) Windows must be constructed to allow easy and accessible removal of movable lites and fixed sash panels for cleaning, "set-aside" storage, and egress.

4.2.2(a1) Removal must not require special tools.

4.2.2(b) All operable windows must be operable from inside the home.

4.2.2(c) All removable lites and sash panels must be free of sharp edges or other conditions that could cause injury during normal use.

4.2.2(d) Sash travel must be controlled to prevent free fall.

4.2.2(e) All vertical sliders shall be equipped with one of the following:

4.2.2(e1) An automatic "sash lock" mechanism that stops at the next lower latch position when the sash is allowed to drop (Fig. 34-2)

4.2.2(e2) A pressure/friction system that will effectively prevent free fall

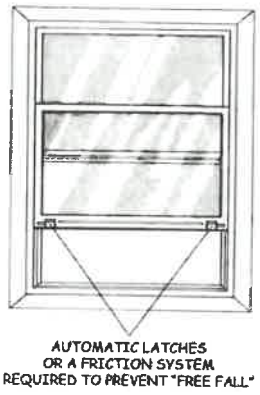

FIG. 34-2: SASH REQUIREMENTS

4.2.3 Weepage System

4.2.3(a) A weepage system shall be provided on exterior storm windows (Fig. 34-3).

4.2.3(a1) There will be a minimum of two weep holes per track.

4.2.3(a2) The holes will be a minimum of ⅛" diameter or equivalent.

4.2.4 Thermal Barrier

4.2.4(a) A non-corrosive thermal barrier must be installed to prevent metal-to-metal contact between primary windows and storm units.

4.2.4(a1) The barrier must be minimum ⅛" thick glazing tape, gasket, or elastomeric material.

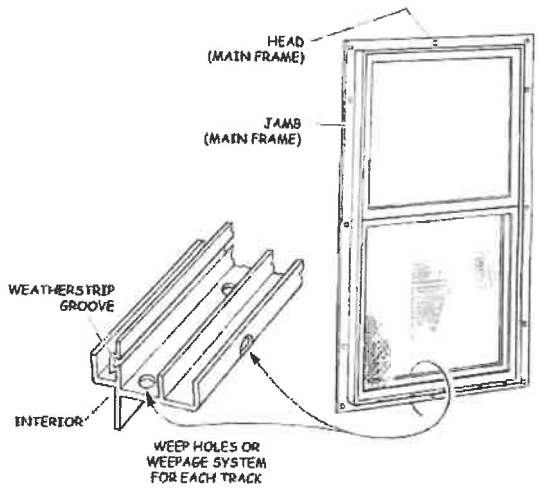

FIG. 34-3: WEEPAGE SYSTEM

4.2.5 Air Sealing

4.2.5(a) All storm windows

4.2.5(a1) All framed storm units must be installed with a permanent, airtight seal between the storm frame and the mounting surface (Fig. 34-4).

4.2.5(a2) Sealants must be resilient, non-hardening, long-life materials.

4.2.5(a3) All joints and gaps over 1/32" must be sealed.

4.2.5(a4) All exterior attachment penetrations must be watertight.

4.2.5(a5) Weep holes must not be sealed.

4.2.5(b) Framed interior storm windows

4.2.5(b1) Install the frame using glazing tape, caulking, or other effective sealant between the storm frame and the mounting surface so that a complete and permanent seal is provided around the entire perimeter of the storm window.

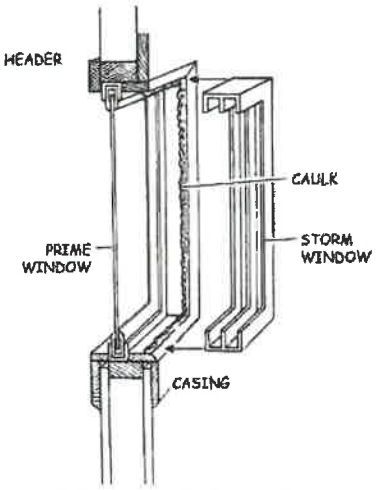

FIG. 34-4: CAULKING USED FOR AIR SEALING

4.2.5(c) Unframed interior storm windows

4.2.5(c1) Seal the mounting surface with minimum 1/8"-thick, closed cell foam tape or equivalent.

4.2.5(c2) Panels attached with continuous magnetic strips require no additional gaskets if the attachment system provides an airtight seal.

4.2.6 Air Space

4.2.6(a) The space between the storm windows and primary windows must be between 1/2"–4" (Fig. 34-5).

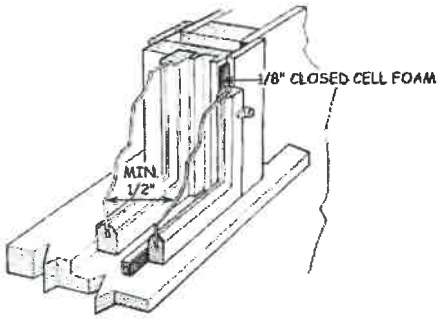

FIG. 34-5: AIR SPACE REQUIREMENTS

4.2.7 Primary Window Operation

4.2.7(a) Permanently mounted "self-storing" operable storm windows

4.2.7(a1) Opening primary windows must remain operable without removal of the storm window sash or frame.

4.2.7(a2) Interior access to primary window latches must not be impaired.

4.2.8 Preparation of Opening

4.2.8(a) All existing components associated with the installation shall be structurally sound.

4.2.8(b) All necessary repairs shall be made to facilitate installation of the storm window.

4.2.8(c) Water penetration points must be sealed.

4.2.8(d) All mounting surfaces must be smooth and clean.

4.2.9 Exterior Storm Window Attachment

4.2.9(a) Permanently anchor exterior frames with corrosion-resistant screws per the manufacturer's instructions or the following guidelines, whichever is more stringent (Fig. 34-6).

4.2.9(b) All frames shall have screws placed within 4" of each corner.

4.2.9(b1) For wood frames, screws anchoring into solid wood must penetrate the wood at least 3/4".

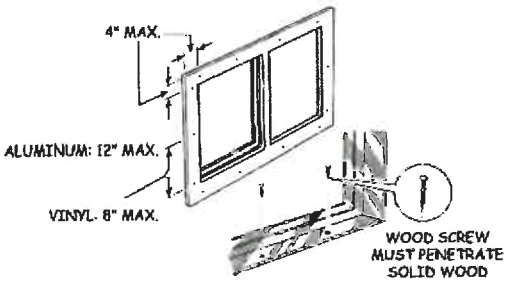

FIG. 34-6: EXTERIOR STORM WINDOW ATTACHMENT

4.2.9(b2) For metal frames:

- Place additional screws a maximum of 12" apart
- Use a minimum of three screws on each side that exceeds 18" in length

4.2.9(b3) For vinyl frames:

- Place additional screws a maximum of 8" apart
- Use a minimum of three screws on each side that exceeds 14" in length

4.2.10 Interior Storm Window Attachment

4.2.10(a) Framed interior storm windows

4.2.10(a1) Install framed interior storm windows with mounting fins as prescribed above for exterior storm windows.

4.2.10(a2) Securely attach block frame windows (without fins) within the primary window opening with screws.

- Use a minimum of two screws per jamb for pre-assembled frames.
- Use a minimum of two screws per piece when the jambs, header, and sill are independent.

4.2.10(a3) Install shims as needed to prevent torquing or warping the frame.

4.2.10(b) Unframed fixed interior storm windows (applies to windows not in egress locations)

4.2.10(b1) When secured with rotating clips, locate clips within 4" of each corner and elsewhere, as needed, to provide a tight seal around the entire sash perimeter (Fig. 34-7).

4.2.10(b2) When secured with magnetic strips, attachments must be permanently bonded to the sash and mounting surface and have sufficient holding strength to retain the panel securely and maintain an airtight seal (Fig. 34-8).

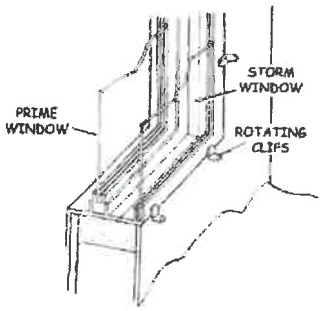

FIG. 34-7: INTERIOR STORM WINDOW SECURED WITH ROTATING CLIPS

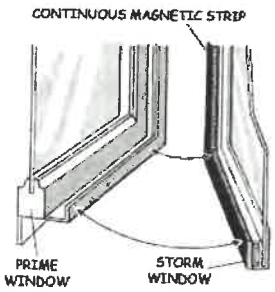

FIG. 34-8: INTERIOR STORM WINDOW SECURED WITH MAGNETIC STRIP

4.2.10(c) Sash-mount storm windows (Fig. 34-9)

4.2.10(c1) The storm sash must be securely attached to the primary sash with screws within 4" of each corner and elsewhere as required to create a complete seal.

4.2.10(c2) The perimeter of the storm sash must be made airtight with sealant or weatherstripping.

4.2.10(c3) There must be a minimum ½" air space between storm windows and primary windows.

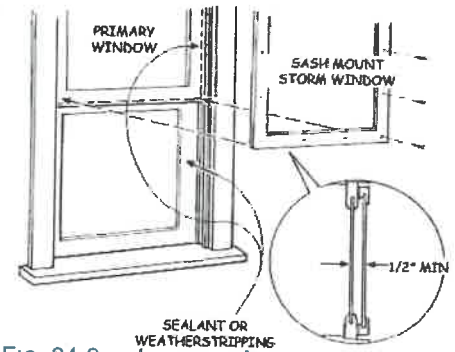

FIG. 34-9: INTERIOR ATTACHMENT FOR SASH-MOUNT STORM WINDOWS

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.2 Storm windows shall not be installed in mobile homes when:

5.1.2(a) An open combustion solid-fuel burning space heater (i.e., fireplace, insert, wood stove) that draws combustion air from the living space is present

5.1.2(a1) Exception: Pressure diagnostics and infiltration-reduction measures will be allowed when:

- Pressure measurement shows the combustion appliance zone (CAZ) of each appliance is less negative than the house depressurization limit (HDL) and
- Installed measures do not depressurize the CAZ beyond the HDL
  - See procedures described in Appendix A Combustion Appliance Safety Protocol.

5.1.3 Installations shall conform with Housing and Urban Development (HUD) Manufactured Home Construction and Safety Standards (MHCSS), the California Code of Regulations for Mobile Homes, and Housing and Community Development (HCD) code.

5.1.4 Mobile Home Storm Window Egress Requirements

5.1.4(a) See Section 1 General Installation Guidelines, Window Egress (Mobile Homes).

5.1.5 Operable Interior and Exterior Storm Windows

5.1.5(a) The horizontal or vertical force required to open the window for egress must not exceed 20 lbs.

5.1.5(b) Windows must have no more than two locks or latches that require operation to achieve egress.

5.1.6 Fixed Storm Windows

5.1.6(a) Windows must be installed only on the interior.

5.1.6(b) Removable lites and panels (with or without sash) that require set-aside for egress must:

5.1.6(b1) Have a maximum weight of 20 lbs.

5.1.6(b2) Be removable by application of force not to exceed 20 lbs.

5.1.6(c) Storm windows that are held in place with pivot or swivel devices (rotating clips) must have no more than four such devices requiring operation for egress (Fig. 34-10).

5.1.6(c1) Rotating clips must be placed a maximum of 54" above the floor.

5.1.6(c2) Rotating clips must turn to open by application of force not exceeding 5 lbs.

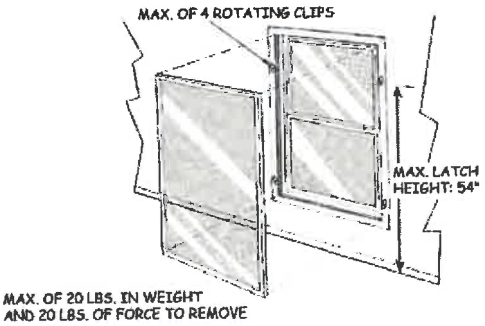

FIG. 34-10: MOBILE HOME FIXED STORM WINDOWS

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a lobby, entertainment room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Perform post-installation CAS testing of open-combustion appliances that draw combustion air from the living space. See Appendix A Combustion Appliance Safety Protocol.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 10 years

9.1.2 DOE: Not applicable to this measure

9.2 Storm Window Frame

9.2.1 Aluminum frame windows must conform to American National Standards Institute (ANSI)/ American Architectural Manufacturers Association (AAMA) 1002.10.

9.2.2 Wood frame windows must conform to Section 3 of ANSI/National Wood Window and Door Association (NWWDA) I.S.2.

9.2.3 Rigid vinyl frame windows must be ultraviolet (UV)-resistant and conform to American Society of Testing and Materials (ASTM) standards.

9.3 Storm Window Glazing

9.3.1 Glass must conform to ASTM C1036 Standard Specification for Flat Glass for conventional homes and AAMA 1701.2 for mobile homes.

9.3.2 Polished wire glass must conform to ANSI Z97.1.

9.3.3 Safety glass must conform to ANSI Z97.1 and be permanently labeled.

9.3.4 Plastic glazing must:

9.3.4(a) Be UV- and scratch-resistant polycarbonate

9.3.4(b) Be a minimum of ⅛" thick

9.3.4(c) Conform to ANSI Z97.1

9.3.5 Glass Selection

9.3.5(a) Conventional home

9.3.5(a1) Glass shall be selected in accordance with the currently adopted California Residential Code (CRC).

9.3.5(a2) The maximum pane size for each frame type and thickness of glass must be as specified in Table 34-1 unless location-specific requirements of the CRC are more restrictive.

TABLE 34-1: GLASS THICKNESS

Glass Thickness	Maximum Glass Size	
	Aluminum or Wood Frame	Rigid Vinyl Frame
Single strength	16 sq. ft.	Not allowed
Double strength	24 sq. ft.	17 sq. ft.*
3/16" plate	45 sq. ft.	25 sq. ft.
1/4" plate	65 sq. ft.	Not allowed
*Vertical measurement shall not exceed 4'.		

9.3.5(b) Mobile home

9.3.5(b1) The maximum pane size for each frame type and thickness of glass will be as specified in Table 34-2.

TABLE 34-2: GLASS THICKNESS—MOBILE HOMES

Glass Thickness	Maximum Glass Size	
	Aluminum or Wood Frame	Rigid Vinyl Frame
Single strength	11 sq. ft.	Not allowed
Double strength	15 sq. ft.	15 sq. ft.**
3/16" plate	30 sq. ft.	25 sq. ft.
1/4" plate	43 sq. ft.	Not allowed
**Vertical measurement shall not exceed 4'.		

9.4 Hardware and fasteners must be aluminum, stainless steel, or other non-corrosive material compatible with the frame.

9.5 Angled Corners (Rake Windows)

9.5.1 Frame corners shall be metal.

9.5.2 Adjustable internal frame corners are allowed.

9.5.2(a) Durable, solid plastic (two legs riveted in the center) is acceptable when adjustable metal frame corners are not available.

9.6 Sealants

9.6.1 Glazing tape must:

9.6.1(a) Be closed cell foam

9.6.1(b) Be a minimum of 1/8" thick

9.6.1(c) Conform to ASTM C509

9.6.2 Pre-formed gaskets must conform to ASTM C509.

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9.6.3 Caulk

9.6.3(a) The contractor must comply with Proposition 65 requirements.

9.6.3(b) Sealants applied indoors must be non-toxic.

9.6.4 Solvent release sealants include acrylic, butyl rubber, and chlorosulfonated polyethylene and must conform to ASTM C1311.

9.6.5 Latex sealants include latex, acrylic latex, and siliconized acrylic and must conform to ASTM C834.

9.6.6 Elastomeric joint sealants include polysulfide, polyurethane, and silicone and must conform to ASTM C920 or other ASTM standards for elastomeric sealants (e.g., C603, C734, C1250, and D2202).

9.6.7 Foam sealants must be:

9.6.7(a) Minimally expanding

9.6.7(b) Class A or Class 1 per ASTM E84

9.6.7(c) Fire-resistant foam compliant with ASTM E814 or Underwriters Laboratories (UL) 1479

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

35. Shade Screens

Table of Contents

1. **MEASURE OBJECTIVES** **35-1**

2. **INSTALL THIS MEASURE WHEN:** **35-1**
   - 2.1. Repair 35-1
   - 2.2. Install 35-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **35-1**

4. **INSTALLATION GUIDELINES** **35-1**
   - 4.1. General Requirements 35-1
   - 4.2. Installation Procedure 35-2
     - *4.2.2 Window Frame Preparation* *35-2*
     - *4.2.3 Screen Frame Corners* *35-2*
     - *4.2.4 Bracing* *35-2*
     - *4.2.5 Screen Fabric Attachment* *35-2*
     - *4.2.6 Frame Attachment* *35-2*

5. **MOBILE HOME–SPECIFIC** **35-3**
   - 5.1. Installation Requirements 35-3

6. **MULTI-FAMILY–SPECIFIC** **35-3**
   - 6.1. Installation Requirements 35-3

7. **DOE-SPECIFIC** **35-3**
   - 7.1. Assessment Requirements 35-3

8. **POST-INSTALLATION GUIDELINES** **35-3**
   - 8.1. Quality Check 35-3
   - 8.2. Client Education 35-3
   - 8.3. Clean-Up and Disposal Requirements 35-4

9. **MATERIAL SPECIFICATIONS** **35-4**

10. **WARRANTY** **35-4**

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Shade Screens

1. MEASURE OBJECTIVES

1.1 Shade screens minimize solar heat gain from windows exposed to the sun.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 The window meets orientation requirements

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The window opens outward

3.2 Existing shade screens are installed and operable

3.3 The window orientation is between 315° (-45°) and 45° of true north (Fig. 35-1)

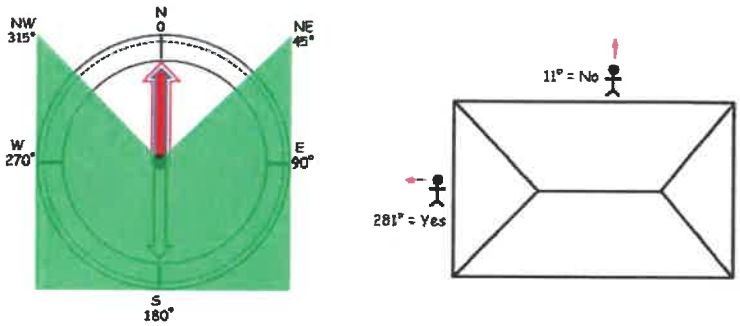

FIG. 35-1: SHADE SCREENS ARE ALLOWED ONLY ON WINDOWS FACING COMPASS READINGS WITHIN THE DARKENED AREA

3.4 The window is in a sleeping room and egress requirements cannot be met

3.5 The window is in shade (e.g., from tree shade, an overhang, or side fins) more than 50% of the time in summer

3.6 Installation would violate the Appendix E Health and Safety Requirements

3.7 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Egress requirements must be retained for sleeping room windows in accordance with Section 1 General Installation Guidelines, Window Egress (Conventional Homes).

4.1.2 The entire window frame must be covered by the shade screen, not just the operable window area.

4.1.3 Replacement of exterior screen material in existing frames with shade screen fabric is acceptable when:

4.1.3(a) The existing screen serves the entire window and

4.1.3(b) The existing frame meets Material Specifications and is not bent or damaged

4.1.4 Patching of an existing screen will not be allowed.

4.1.5 The existing interior insect screen frame shall not be used as a shade screen (Fig. 35-2).

4.1.6 The existing window frame, sashes, and panes must be structurally sound.

4.1.7 Shade screens will be mounted on the exterior only.

4.1.8 Bowing and warping of the screen frame are not allowed.

4.1.9 Windows over 7' wide will be covered with screening constructed of two or more panels.

4.1.10 Tension-mounted shade screens are not allowed.

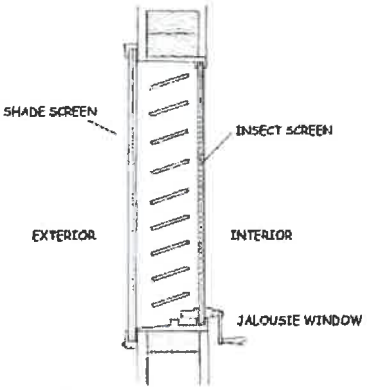

FIG. 35-2: AN EXISTING INSECT SCREEN MAY NOT BE USED AS A SHADE SCREEN

4.2. Installation Procedure

4.2.1 Determine the window orientation per Section 1 General Installation Guidelines, Window Orientation.

4.2.2 Window Frame Preparation

4.2.2(a) Water penetration points will be sealed.

4.2.2(b) Limited dry rot damage to the window frame must be repaired before the shade screen installation in accordance with Section 1 General Installation Guidelines, Limited Home Repair.

4.2.3 Screen Frame Corners

4.2.3(a) Securely join frame corners.

4.2.3(b) Corners on rectangular frames will be square. (Fig. 35-3)

4.2.3(c) Angled corners (rake windows)

4.2.3(c1) Adjust angled corners to match the window frame before the screen fabric is installed and the unit is secured to the window.

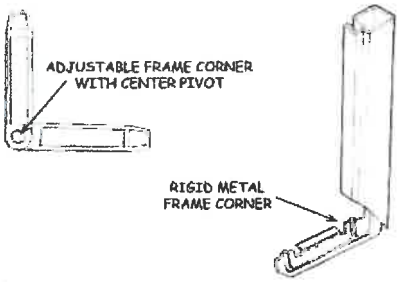

FIG. 35-3: ADJUSTABLE OR RIGID ANGLED CORNERS

4.2.4 Bracing

4.2.4(a) Bracing is required in windows larger than 25 sq. ft.

4.2.4(b) Align the bracing with the meeting rails and grids, when present. (Fig. 35-4)

4.2.5 Screen Fabric Attachment

4.2.5(a) Fasten the screen fabric to the frame in a manner that permits replacement of the screen and the spline.

4.2.5(b) If heavier lines are present in the fabric, they will be positioned vertically.

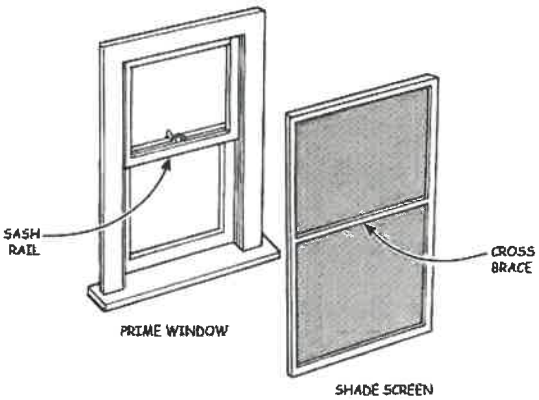

FIG. 35-4: BRACING

4.2.6 Frame Attachment

4.2.6(a) Provide a minimum of ½" of space between the shade screen and the glass.

4.2.6(b) Use a minimum of four fasteners per screen (Fig. 35-5):

4.2.6(b1) Within 4" of each corner on each vertical side

4.2.6(b2) Spaced at intervals of no more than 2'

4.2.6(c) Fasteners will be compatible with the screen frame and the existing window hardware.

4.2.6(d) Use corrosion-resistant metal rotating clips and screws.

4.2.6(d1) Install the rotating clip so that the barrel of the clip rests on the mounting surface.

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4.2.6(d2) Use screws for installations on surfaces into which screws can be installed (e.g., wood trim and traditional thick cement stucco).

4.2.6(d3) Do not install screws in:

- Vinyl window frames
- Exterior insulation and finish systems (EIFS) (thin synthetic stucco over foam board)

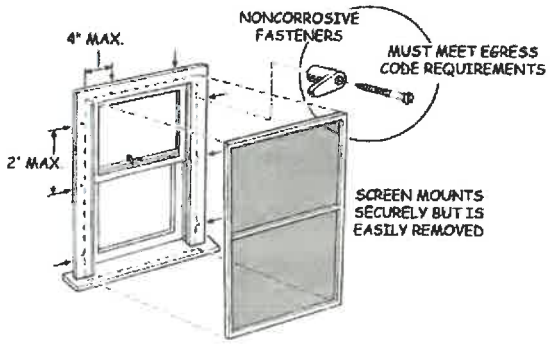

FIG. 35-5: FRAME ATTACHMENT

4.2.6(e) Vinyl windows

4.2.6(e1) Anchors are attached to the window surround (casing or wall), not to the vinyl frame.

4.2.6(e2) U-channel brackets and hook-and-loop (e.g., Velcro®) attached to the window frame are not allowed.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a lobby, entertainment room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Screens will be:

8.1.1(a) Square, plumb, and in alignment with the existing windows

8.1.1(b) Securely mounted but easily removable

8.1.2 Screen fabric will be straight and tight within the frame.

8.1.3 Horizontal bracing will align with meeting rails and grids.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 4 years

9.1.2 DOE: Not applicable to this measure

9.2 Square Corners

9.2.1 Rigid metal internal frame corners will be used.

9.2.2 Adjustable and plastic corners are not allowed.

9.3 Angled Corners (Rake Windows)

9.3.1 Frame corners shall be metal.

9.3.1(a) Adjustable internal frame corners are allowed.

9.3.1(b) Durable, solid plastic (two legs riveted in the center) are acceptable when adjustable metal frame corners are not available.

9.4 Window Screen Frame Materials

9.4.1 Wood is not allowed.

9.4.2 Rigid vinyl is not allowed.

9.4.3 Steel shall be zinc- or cadmium-plated.

9.4.4 Aluminum

9.4.4(a) A minimum of .025" thickness, 7/16" x 1" dimension for windows up to 25 sq. ft.

9.4.4(b) A minimum of .032" thickness, 7/16" x 1" dimension for windows larger than 25 sq. ft.

9.4.5 Vinyl or fiberglass shall be lead-free and flame-resistant (e.g., National Fire Protection Association [NFPA] 101 Class B CS-191 53, Code of Federal Regulations [CFR] Part 1610.61, International Building Code [IBC] 903.1 Class A).

9.4.6 Metal louvers are not allowed.

9.5 Shading Coefficient

9.5.1 Shade screens must have a shading coefficient of 0.36 or less at a 75° profile angle on clear single-pane glass or be rated to block/absorb/dissipate at least 70% of the sun's heat and glare.

9.6 Clips

9.6.1 Clips must be:

9.6.1(a) Corrosion-resistant metal (not plastic)

9.6.1(b) Compatible with the screen frame

9.6.1(c) Sized so the barrel rests on the mounting surface

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

36. Window Film

Table of Contents

1. **MEASURE OBJECTIVES** **36-1**

2. **INSTALL THIS MEASURE WHEN:** **36-1**
   - 2.1. Repair 36-1
   - 2.2. Install 36-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **36-1**

4. **INSTALLATION GUIDELINES** **36-1**
   - 4.1. General Requirements 36-1
   - 4.2. Installation Procedure 36-2
     - *4.2.2 Window Film Application* *36-2*

5. **MOBILE HOME–SPECIFIC** **36-2**
   - 5.1. Installation Requirements 36-2

6. **MULTI-FAMILY–SPECIFIC** **36-2**
   - 6.1. Installation Requirements 36-2

7. **DOE-SPECIFIC** **36-2**
   - 7.1. Assessment Requirements 36-2

8. **POST-INSTALLATION GUIDELINES** **36-2**
   - 8.1. Quality Check 36-2
   - 8.2. Client Education 36-2
   - 8.3. Clean-Up and Disposal Requirements 36-3

9. **MATERIAL SPECIFICATIONS** **36-3**

10. **WARRANTY** **36-3**

Window Film

1. MEASURE OBJECTIVES

1.1 Window film blocks ultraviolet (UV) rays to help reduce cooling costs in the summer. In winter, window film helps retain heat to reduce heating costs.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 The window orientation is between 45° and 315°

2.2.2 The window is single-paned

2.2.3 It is feasible to install film on the interior surface of the window

2.2.4 Shade screen installation is not feasible or practical

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The existing tinted window film is installed and functional

3.2 The existing window is dual-pane or jalousie

3.3 The window orientation is between 315° (-45°) and 45° of true north (Fig. 36-1).

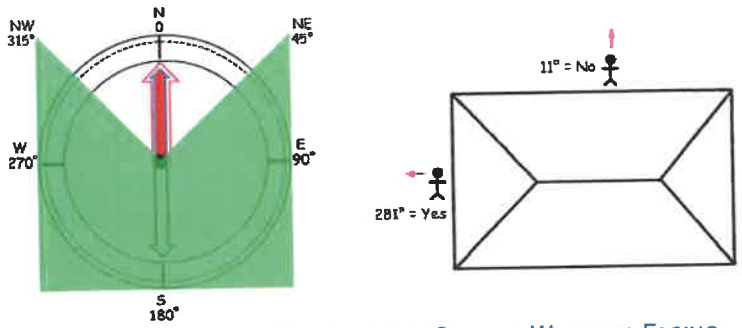

FIG. 36-1: SHADE SCREENS ARE ALLOWED ONLY ON WINDOWS FACING COMPASS READINGS WITHIN THE DARKENED AREA

3.4 The window is in shade more than 50% of the time in summer (e.g., from tree shade, an overhang, or side fins).

3.5 The window or glass is damaged and cannot be repaired. Refer to Section 32 Infiltration Reduction

3.6 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 The existing panes, sashes, and frame shall be structurally sound.

4.1.2 The glass surface shall be free of cracks, holes, and blemishes.

4.2. Installation Procedure

4.2.1 Determine the window orientation per Section 1 General Installation Guidelines, Window Orientation.

4.2.2 Window Film Application

4.2.2(a) Remove all paint spots, adhesive residue, etc. from the window

4.2.2(b) Thoroughly clean the glass to remove all grease and dirt using a manufacturer-approved cleaner.

4.2.2(c) Install the film only on the interior surface of single-pane windows.

4.2.2(c1) The distance between the window frame and the film shall be ≤⅛".

4.2.2(c2) The film must not touch the window frame or sash material (e.g., wood, metal, plastic mullions).

4.2.2(d) Apply a single sheet of film to all windows ≤60" in width or height.

4.2.2(e) In windows >60" in width or height, install splices in accordance with the manufacturer's specifications.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a lobby, entertainment room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 The installed film shall have a uniform appearance, without streaks, wrinkles, pinholes, spots, or discoloration.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure specific verbal and written instructions include:

8.2.2(a) A hazy or foggy look to the window immediately following installation of the film is normal and should disappear within a few days

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 4 years

9.1.2 DOE: Not applicable to this measure

9.2 All Types

9.2.1 Film shall:

9.2.1 (a) Be selected to reduce heat and light energy transmission through windows

9.2.1 (b) Have a solar heat gain coefficient of 0.35

9.2.1 (c) Have a U-factor of 0.40

9.2.1 (d) Be UV-treated

9.2.1 (e) Be self-adhesive

9.2.1 (e1) Non-adhesive film is not allowed.

9.3 Polyester

9.3.1 Minimum thickness: 0.0010" (1 mil)

10. WARRANTY

10.1 Manufacturer—10 years

10.2 Contractor—1 year

37. Attic and Ceiling Insulation

Table of Contents

1. **MEASURE OBJECTIVES** **37-1**

2. **INSTALL THIS MEASURE WHEN:** **37-1**
   - 2.1. Repair 37-1
   - 2.2. Install 37-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **37-1**

4. **INSTALLATION GUIDELINES** **37-2**
   - 4.1. General Requirements 37-2
     - *4.1.9 K&T Wiring* *37-2*
     - *4.1.10 Knee Wall Insulation* *37-2*
     - *4.1.11 Adding New Insulation* *37-2*
     - *4.1.12 R-Value Defaults for Existing Insulation* *37-4*
     - *4.1.13 R-Value of Existing Flexible Insulation (Batts)* *37-5*
     - *4.1.14 Attic Ventilation Verification Requirements* *37-5*
     - *4.1.15 Recessed ("Can") Lighting Requirements* *37-5*
     - *4.1.16 Sealing of the Attic Floor Requirements* *37-5*
       - 4.1.17 (k) Attic open to uninsulated soffits 37-7
   - 4.2. Installation Procedure 37-10
     - *4.2.1 Protection of Dwelling and Contents* *37-10*
     - *4.2.2 Equipment Preparation* *37-10*
     - *4.2.3 Attic Preparation* *37-10*
     - *4.2.4 Installation of Insulation* *37-11*
     - *4.2.5 Insulation Certificate* *37-12*

5. **MOBILE HOME–SPECIFIC** **37-12**
   - 5.1. Installation Requirements 37-12
     - *5.1.3 Structural Requirements* *37-13*
     - *5.1.4 Ceiling Soundness* *37-13*
     - *5.1.5 HPD Blocking* *37-13*
     - *5.1.6 Roof Repair* *37-13*
     - *5.1.7 Insulation Methods* *37-14*
   - 5.2. Installation Procedure 37-14
     - *5.2.1 Preparation of the Home* *37-14*
     - *5.2.2 Ceiling Preparation* *37-15*
     - *5.2.3 Cavity-Fill Insulation Methods* *37-15*

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5.2.4 Roof Cap Method 37-15
5.2.5 Gable End Method 37-17
5.2.6 Exterior Roof Edge Cavity Fill Method 37-18
5.2.7 Interior Ceiling Bore Cavity Fill Method 37-18
5.2.8 Installation Integrity 37-19

6. MULTI-FAMILY–SPECIFIC 37-19
6.1. Installation Requirements 37-19

7. DOE-SPECIFIC 37-19
7.1. Assessment Requirements 37-19
7.2. Installation Requirements 37-20

8. POST-INSTALLATION GUIDELINES 37-22
8.1. Quality Check 37-22
8.2. Client Education 37-22
8.3. Clean-Up and Disposal Requirements 37-22

9. MATERIAL SPECIFICATIONS 37-23

10. WARRANTY 37-25

Attic and Ceiling Insulation

1. MEASURE OBJECTIVES

1.1 Attic/ceiling and knee wall insulation slows the transfer of heat through the thermal boundary, reducing the amount of heat entering the home on a warm day and the amount of heat loss on a cold day.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 The attic/ceiling or knee wall separates conditioned and unconditioned space and

2.2.2 At least 100 sq. ft. of attic or knee wall is feasible to insulate per Table 37-1 or

2.2.2(a) If the attic access is uninsulated but the remaining attic/ceiling has adequate insulation, the cover shall be insulated as a Limited Home Repair - ECM Support item. See Section 1 General Installation Guidelines, Limited Home Repair Policy.

2.2.2(a1) Exception: When insulation is unfeasible due to a safety condition in the attic (e.g., presumed asbestos, knob-and-tube wiring, etc.), insulation shall not be added to the access cover.

2.2.3 Insulation has a savings-to-investment ratio (SIR) ≥1.0 as proven by an energy audit

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The existing insulation R-value is measured to be adequate

3.2 One or more of the following conditions are present and have not been (or cannot be) corrected:

3.2.1 Structural defects exist, such as:

3.2.1(a) 2" x 4" joists measure >24" on center (OC)

3.2.1(b) Bowed and sagging joists are present

3.2.1(c) Fiberboard or ¼" gypsum ceiling material is present

3.2.1(d) Roof leaks that cannot be repaired per Section 1 General Installation Guidelines, Limited Home Repair Policy

3.2.2 An exhaust system terminates in the attic and cannot be vented to the outdoors

3.2.2(a) For bathroom and laundry venting (including a gas or electric clothes dryer), see Section 1 General Installation Guidelines, Limited Home Repair Policy.

3.2.2(b) For kitchen exhaust, see Section 11 Kitchen Exhaust.

3.2.3 Existing insulation has been damaged by moisture and is not dry, and the source of the moisture has not been corrected

3.2.4 A combustion appliance safety (CAS) hazard or CAS fail exists, per Appendix A Combustion Appliance Safety Protocol

3.2.5 Electrical hazards exist that cannot be corrected

3.2.6 Hazardous materials are present

3.2.7 There is inadequate attic venting and it cannot be corrected per Section 40 Attic Ventilation

3.2.8 Knob-and-tube (K&T) wiring is present and has not been certified safe for encapsulation or permanently disconnected by a licensed C-10 electrical contractor, per the Section 1 General Installation Guidelines, Knob-and-Tube (K&T) Wiring Guidelines.

3.3 Installation would violate the Appendix E Health and Safety Requirements

3.4 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Attic ventilation may be installed in conjunction with attic/ceiling insulation, or as a stand-alone measure per Section 40 Attic Ventilation.

4.1.2 This measure is a whole-building measure. In single-family dwellings (1-4 units) and multi-family buildings (with 5+ units), the whole building must be is served for attic and ceiling insulation to be installed. See Appendix D Energy Audit/Priority List Protocol.

4.1.2(a) Under the Low Income Home Energy Assistance Program (LIHEAP), when an energy audit will not be conducted, attic/ceiling insulation may be installed for an individual unit in a duplex, tri-plex, or four-plex only when there are no shared attic spaces between dwelling units (i.e. the attic spaces are separated by a complete and continuous pressure boundary or firewall, and the units have separate heating and/or cooling units).

4.1.3 Title 24 and Permit Requirements

4.1.3(a) When required by the local jurisdiction, a permit is required when ceiling insulation is installed because the ceiling is considered "altered" (2022 Title 24).

4.1.4 Audited Measures

4.1.4(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded, it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.4(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.5 If existing insulation is a potential fire hazard due to insulation covering heat-producing devices (HPDs) or combustion ventilation air (CVA) vents, these fire hazards shall be corrected by field personnel. See Section 1 General Installation Guidelines, Fire hazards and venting obstructions.

4.1.6 All air leakage locations (including duct and shell leaks, and thermal bypasses in the ceiling) shall be sealed prior to installation of insulation per Section 32 Infiltration Reduction and Section 8 Ducting Repair, Sealing and Insulation.

4.1.7 All repairs or installations requiring attic access shall be completed before insulation is installed.

4.1.8 Attic must be accessible in accordance with the clearance requirements for attics identified in Section 1 General Installation Guidelines, Attic and Crawlspace Accessibility.

4.1.9 K&T Wiring

4.1.9(a) If a C-10 electrician certifies the K&T wiring is safe for encapsulation, insulation may be installed per Section 1 General Installation Guidelines, Knob-and-Tube (K&T) Wiring Guidelines.

4.1.10 Knee Wall Insulation

4.1.10(a) Uninsulated knee walls may be insulated even when ceiling insulation is not installed.

4.1.11 Adding New Insulation

4.1.11(a) Existing insulation shall be in contact with the air barrier prior to the installation of additional insulation.

4.1.11(b) New insulation installed over existing insulation (new + existing) shall bring the level up to the final R-value shown in Table 37-1.

4.1.11 (c) Ceiling insulation must be installed on the attic floor to a level of R-49, except when:

4.1.11 (c1) New insulation would disturb ACM or PACM located in the ceiling, attic, or ductwork

4.1.11 (c2) Knob-and-tube wiring is in the attic

4.1.11 (c3) The installation of insulation would be in a shared attic (multi-unit) where other dwelling units (attic spaces) do not receive insulation.

4.1.11 (d) A minimum of 1" air gap must be kept between the insulation and roof deck, as well as at all vent locations.

4.1.11 (d1) The use of blocking and installation of insulation must not block the free flow of air.

4.1.11 (d2) If the attic height prevents installing to the required insulation level (per Table 37-1), as much insulation as possible must be added while still maintaining roof clearance and attic ventilation requirements.

4.1.11 (e) When insulating to R-49, permanent blocking materials/dams shall be mechanically attached to prevent overblow of insulation where clearances must be maintained.

4.1.11 (f) If using loose fill insulation, baffles shall be installed at eaves or soffit vents to prevent insulation from blocking ventilation and to prevent air movement under the insulation.

TABLE 37-1: INSULATION INSTALLATION CRITERIA

Existing Insulation R-Value	CEC Climate Zone[1]	Required Action
Ceiling and Horizontal Access Cover Insulation		
Less than R-19	1, 3	Verify/install attic ventilation. Confirm IC fixtures or cover non-IC fixtures. Increase insulation to R-49. Not required: Sealing of the attic floor
	2, 4, 8 – 16	Verify/install attic ventilation. Seal the attic floor. Confirm IC fixtures or cover non-IC fixtures. Increase insulation to R-49.
	5, 7	Verify/install attic ventilation. Increase insulation to R-49[2]. If required by local jurisdiction: • Sealing of the attic floor • IC fixture replacements/non-IC cover retrofits
	6	Verify/install attic ventilation. Increase insulation to R-49. Not required: • Sealing of the attic floor • IC fixture replacements/non-IC cover retrofits

TABLE 37-1: INSULATION INSTALLATION CRITERIA

Existing Insulation R-Value	CEC Climate Zone[1]	Required Action
Between R-19 and R-38	1, 3, 5 – 7	Verify/install attic ventilation. Increase insulation to R-49[2]. If required by local jurisdiction: • Sealing of the attic floor • IC fixture replacements/non-IC cover retrofits
	2, 4, 8 – 10	Verify/install attic ventilation. Increase insulation to R-49.
	11 – 16	Verify/install attic ventilation. Confirm IC fixtures or cover non-IC fixtures. Increase insulation to R-49.
Knee Wall, Skylight Well, and Vertical Access Cover Insulation		
None existing	2x4" framing	Increase to R-13
None existing	2x6" framing	Increase to R-19
[1]As defined by the California Energy Commission [2]Not required by Title 24, but required by Program		

4.1.12 R-Value Defaults for Existing Insulation

4.1.12(a) When there are multiple layers of different insulation types, the R-value of each layer is evaluated separately (Table 37-2).

4.1.12(b) The sum of the R-values equals the overall existing R-value for the attic.

4.1.12(c) Compression by the weight of added new insulation shall be factored in when estimating the effective R-value of existing insulation.

4.1.12(d) When the existing insulation level in an attic is uneven (more than one level is present), an "average existing R-value" shall be determined and documented.

4.1.12(d1) The "average existing R-value" is defined as the lowest R-value presently installed in more than 50% of the attic.

TABLE 37-2: INSULATION R-VALUE DEFAULTS

Insulation Type and Material	Insulation R-Value per Inch
Loose Fill	
Cellulose	3.7
Fiberglass—Virgin (White)	2.8
Fiberglass—Pink & Yellow	2.8
Rock Wool	3.0
Perlite	2.7
Redwood Bark	1.0
Unidentifiable Material	1.0
Batts and Blankets	
Fiberglass	3.0
Rock Wool	3.0

4.1.13 R-Value of Existing Flexible Insulation (Batts)

4.1.13(a) Properly installed batts in excellent condition are assumed to have the R-value marked on the facing. If the insulation is not compressed but there are no markings on the facing, use the following defaults:

4.1.13(a1) 3½" = R-11

4.1.13(a2) 6" = R-19

4.1.13(a3) 10" = R-30

4.1.13(b) If batts are compressed or damaged:

4.1.13(b1) Measure the average thickness and

4.1.13(b2) Use the R-value per inch in Table 37-2

4.1.14 Attic Ventilation Verification Requirements

4.1.14(a) When any work occurs in an existing attic, minimum ventilation must be met, with no exception. Refer to Section 40 Attic Ventilation.

4.1.14(b) The net free venting area (NFVA) must be a minimum 1/150 of the attic space area.

4.1.14(c) Vent mesh shall be no smaller than 1/16"and no greater than ¼".

4.1.15 Recessed ("Can") Lighting Requirements

4.1.15(a) When required by Table 37-1, recessed/can lighting fixtures in the ceiling must be covered with insulation to the same depth as the attic floor.

4.1.15(a1) Any standard recessed lighting fixtures must be:

- Replaced with an air-tight IC-rated fixture (IC = Insulation Contact), or
- The existing fixture must be made safe for, and retrofitted with, a listed fireproof cover or box.

4.1.15(b) For a cover to be installed on a non-IC rated fixture, the fixture must have a "thermal switch" to disconnect the electricity to the light if the temperature exceeds safe levels. If the thermal switch is not present, the non-IC-rated fixture shall be replaced.

4.1.15(c) If it cannot be determined whether a fixture is IC-rated or not, it should be assumed that it is not.

4.1.15(d) Existing IC-rated fixtures do not need to be airtight. Installed IC-rated fixtures must be sealed with a gasket or caulking between the light fixture housing and the ceiling.

4.1.15(e) Visibly flag enclosure above the final insulation level.

4.1.15(f) When this work is required as a condition of permit for ceiling insulation, the materials and labor shall be attributed to the Limited Home Repair-H&S Support measure.

4.1.16 Sealing of the Attic Floor Requirements

4.1.16(a) Prior to the installation of ceiling insulation, all accessible areas of the attic floor between the attic and the conditioned space must be air sealed, except when:

4.1.16(a1) Table 37-1 indicates that it is not required.

4.1.16(a2) The dwelling has open combustion space heating or water heating appliances located inside the building pressure boundary. This exception does not apply when the open combustion appliance is in a vented attic, garage, or crawlspace.

4.1.16(a3) The existing insulation is vermiculite (unless the existing insulation does not contain asbestos as tested by a certified laboratory).

4.1.17 Blocking Requirements

4.1.17(a) Blocking shall be used to:

4.1.17(a1) Prevent new and existing loose-fill insulation from contacting HPDs, appliances, etc. (Fig. 37-1)

4.1.17(a2) Prevent insulation from obstructing vents required for combustion ventilation air and attic ventilation.

4.1.17(a3) Keep loose-fill insulation surrounding the attic access in place.

4.1.17(b) Blocking is not required when loose fill is not present.

4.1.17(c) Permanent blocking shall extend from the attic floor and exceed the height of the loose fill by 4" or to the prescribed height using structural wood or a combination of structural wood and other approved material.

4.1.17(d) When batt insulation is installed over loose fill, the blocking/barrier shall prevent the existing loose fill from entering the clearance zone (Fig. 37-1).

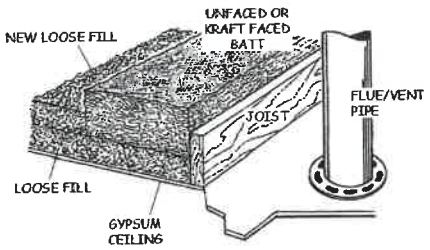

FIG. 37-1: AN EXAMPLE OF BLOCKING

4.1.17(e) Batt blocking using unfaced and faced batts:

4.1.17(e1) Shall extend from the clearance zone at least an additional 14½" in all directions

4.1.17(e2) Temporary blocking may be used to shield an HPD clearance zone or vent for accidental "overblow" of loose fill but must be removed following insulation installation.

4.1.17(f) After loose-fill insulation has been installed, the clearance zone shall be free of overblown insulation and other material.

4.1.17(g) HPD blocking

4.1.17(g1) Permanent blocking materials are as noted in the section for each HPD:

- Faced or unfaced batts when allowed
- Corrosion-resistant metal attached to structural framing members when allowed
- Plastic chutes, cardboard baffles, or metal for eave vent chutes and baffle shall not be used to block HPDs.

4.1.17(g2) HPD clearance zones shall be a minimum of 3" or as specified for the item in the following sections, but no greater than necessary to provide proper blocking.

4.1.17(g3) Blocking is not required if an HPD is mounted above the top of the insulation.

4.1.17(g4) When an HPD is covered by a fire-rated, airtight enclosure, insulation must not cover the top of the enclosure.

- The enclosure material shall:
  - The entire closure will maintain a 3" clearance between the closure and the fixture including wiring, box, and ballast
  - Have a 24" minimum clearance above the HPD
  - Be fire-rated with an R-value of 0.50 or less when airtight
  - Caulk, mastic, or foam will be used on all edges, gaps, cracks, holes, and penetrations of the closure material.
  - Note: Gypsum enclosures that house fluorescent or light-emitting diode (LED) light fixtures do not require protection from loose-fill insulation.

4.1.17(h) Restricted access to eave/soffit vent with HPD present

4.1.17(h1) When the HPD is ≤18" from an eave/soffit vent and the clearance between the ceiling joists and rafters is ≤14" at the edge of the clearance zone (Fig. 37-2):

- The clearance zone shall be free of loose fill
- A minimum 3" clearance is required between the HPD and the blocking material

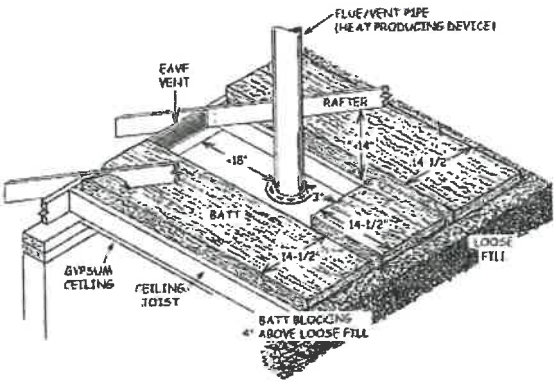

FIG. 37-2: RESTRICTED ACCESS TO EAVE/SOFFIT VENT WITH HPD PRESENT

- Between joists adjacent to the HPD, batt blocking shall be installed that rests on the attic floor, extends inward at least 14½", and/or exceeds the height of the installed loose fill by 4"
- Along the outside of each joist adjacent to the HPD, batt blocking shall be installed (may rest on existing loose fill) that extends away from the clearance zone at least 14½" and/or exceeds the height of the installed loose fill by 4".

4.1.17(i) Gas and solid fuel vent pipes and masonry chimneys

4.1.17(i1) Gas and solid fuel vent pipes and masonry chimneys shall be blocked.

4.1.17(i2) Unused (e.g., abandoned) vent pipes shall be blocked.

4.1.17(j) Kitchen and bath exhaust vents

4.1.17(j1) If an exhaust fan is an HPD, it shall be blocked.

4.1.17(j2) A vent duct may be covered by loose-fill insulation when the fan is below the ceiling.

4.1.17(k) Attic open to uninsulated soffits

4.1.17(k1) Attic open to uninsulated soffits containing recessed light fixtures may be insulated if loose fill is kept away from the HPDs and off the soffit by one of the following methods:

- Top-fill method (Fig. 37-3)—Cavities are:
  - Filled from the top with loose-fill up to the soffit and
  - Insulated the remaining distance to the top plate with flexible or rigid material
- Top-seal method—Cavities are:
  - Securely sealed at the soffit/ceiling level and
  - Pressure-filled from below and
  - Insulated the remaining distance to the top plate with flexible or rigid material

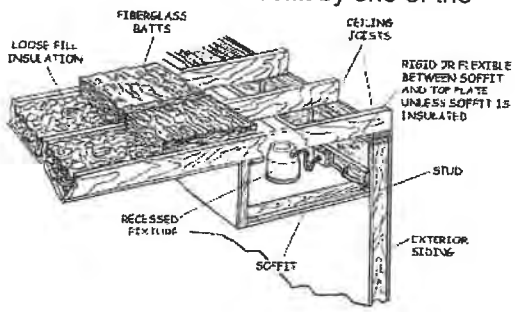

FIG. 37-3: TOP-FILL INSULATION METHOD

4.1.17(l) Appliances located in attics

4.1.17(l1) Insulation overblow shall be cleared from the unit, clearance zone, and platform.

4.1.17(l2) Platforms and catwalks

- Insulation shall be installed underneath both.
- Insulation shall not be installed on top of platforms.

4.1.17(l3) Whole house fans

- Blocking is required even when a shroud is present on the fan. (Fig. 37-4)
- A 3" clearance zone is required for the fan motor.
- The sides of the fan insulation box (shroud) assembly will be insulated to the same R-value as the adjoining insulated assembly.
- The fan insulation box frame shall be continuously weatherstripped to ensure a tight fit.
- The fan insulation box will be constructed at a depth to protect the fan housing and motor from insulation.

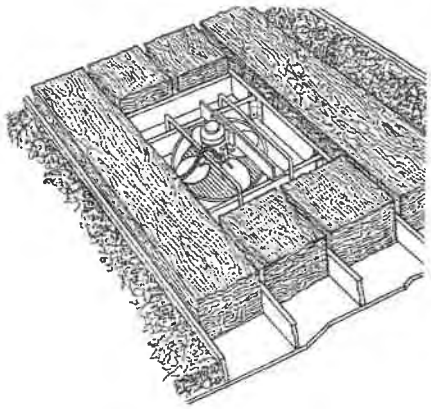

FIG. 37-4: WHOLE HOUSE FAN INSULATION BOX (SHROUD)

4.1.17(l4) Furnaces and heat pumps

- Loose fill:
  - 12" clearance around the back, sides, and top
  - 24" of clearance in front
  - 3" clearance for vent pipes
  - Blocking of the platform is required unless the bottom of the unit is more than 4" above the loose fill.
  - If a heating, ventilation, and air conditioning (HVAC) unit is suspended or draws combustion air from the bottom:
    - A 12" clearance shall be provided below the unit or
    - Batts shall be installed minimum 6" below that extend 12" beyond the unit on all sides (no exposed loose fill beneath the unit)
- Batt insulation:
  - 12" clearance required on all sides
  - 3" clearance for vent pipes
  - 6" clearance below units drawing combustion air from bottom

4.1.17(l5) Electric water heater

- A 3" clearance from the unit is required on all sides.
- Blocking is required if the bottom of the unit touches the installed loose fill.

4.1.17(l6) Gas water heater

- 6" clearance around sides and back
- 12" clearance in front
- 3" clearance for vent pipes

4.1.17(l7) Blocking is required if the bottom of the unit is ≤4" above the installed loose fill.

4.1.17(m) Electrical wiring hazards:

4.1.17(m1) Visible open junction boxes:

- Install a standard cover plate or a minimum 14½" piece of unfaced batt that covers the box and equals or exceeds the height of installed loose fill.
- When a cover plate has been installed, it is acceptable to blow loose-fill insulation over a covered junction box.

4.1.17(m2) Visible wire connections without a junction box require a junction box and cover to be installed.

4.1.17(n) Combustion air vent blocking

4.1.17(n1) Closet openings/ceiling vents to the attic which are not used for CVA are catastrophic leaks and shall be sealed.

4.1.17(o) Attic access blocking

4.1.17(o1) Each functional/usable access and disappearing stairs assembly shall be permanently blocked with a durable, rigid, protective baffle that is higher than the level of the surrounding attic floor insulation to achieve uniform R-value on the attic floor, prevent loose attic floor insulation from entering the living area, and does not interfere with the operation of the access.

4.1.17(o2) Metal blocking material shall not be installed.

4.1.17(o3) Where wood extends from the attic floor to the top of the installed loose fill, additional blocking is not required.

4.1.17(o4) Where wood extends from the attic floor but does not equal the height of the installed loose fill, blocking shall be added.

4.1.17(o5) Batts are acceptable to use in combination with wood members to achieve the required height.

- Where wood is not present, batt blocking shall rest on the attic floor and extend to the top of the loose fill.

- Batts shall extend at least 14½" away from the access opening in all directions.

4.1.17(p) Eave and soffit vent blocking

4.1.17(p1) Applies to individual and continuous vents.

4.1.17(p2) Blocking (batt, chute, baffle, etc.) shall be installed and extend to the top plate.

- Installation will allow for the highest possible R-value above the top plate of the exterior wall.
- Minimum 2½" clearance is required between the roof sheathing and the blocking.
- Vent screens shall be free of loose fill.

4.1.17(p3) Horizontal batt blocking shall rest on existing loose fill, provided no loose fill is exposed at the top plate.

- Blocking that extends inward 14½" shall exceed the height of the loose fill by 4".
- Blocking that extends inward 24" shall equal or exceed the height of the loose fill.

4.1.17(p4) Restricted access to eave or soffit vent

- Batt blocking shall be installed with a minimum 2½" air path/clearance between:
  - The vent and the blocking
  - The blocking and the roof sheathing
  - The insulation and the roof sheathing
- Blocking shall exceed the height of the loose fill or extend inward at least 24".
- Blocking shall be placed over existing loose fill if an unfaced batt is used and loose fill is not blocking the vent.

4.1.17(p5) Baffles and chutes attached to rafters:

- Shall rest on (begin at) the top plate and extend above the loose fill a minimum of 4" and a maximum of 12"
- Shall be permanently attached with a minimum of two mechanical fasteners per rafter
- Shall be kept 3" away from HPDs
- May be composed of pre-formed plastic, pre-cut cardboard, metal, plywood, or gypsum in accordance with the material specifications
- Shall prevent loose fill from entering at the bottom and edges

4.1.17(p6) Pre-formed ventilation chutes

- Molded plastic shall provide a minimum air path of:
  - 2" x 12" for rafters 16" OC
  - 2" x 18" for rafters 24" OC
- Restricted access to ventilation chute
  - Batt blocking shall be installed with minimum 2½" clearance/air path between:
    - The blocking and the roof sheathing and
    - The vent and the blocking

4.1.17(q) Balloon framing blocking

4.1.17(q1) Blocking shall prevent loose fill from falling down into open wall cavities and into the crawlspace or basement

4.2. Installation Procedure

4.2.1 Protection of Dwelling and Contents

4.2.1(a) When attic access is indoors, protect the pathway from the entrance door to the attic access with runners.

4.2.1(b) Before entry is made into the attic from the living space, place a drop cloth under the attic access.

4.2.1(c) When entry is through an access inside a closet, remove or cover the clothing and other personal property in the closet.

4.2.1(d) Prevent damage to the home and furnishings from the insulation hose, ladders, etc.

4.2.1(e) Cut batts outside the living space or inside the attic.

4.2.1(f) When carrying batts, enclose batts in plastic or other method to prevent releasing fibers in the living area.

4.2.1(g) When accessing a flat-roofed attic from the interior, mask the interior for dust control during drilling.

4.2.2 Equipment Preparation

4.2.2(a) When using the client's electricity, confirm the electrical supply will support the blowing machine power demand.

4.2.2(b) Perform the blowing machine pressure test with air on full, feed off, agitator running, and gate closed.

4.2.2(c) Hose outlet pressure will be at least 80 inches of water column (IWC) or 2.9 lbs. per sq. in. (psi) for cellulose insulation; for other types of insulation, check manufacturer specifications for blowing machine set-up.

4.2.3 Attic Preparation

4.2.3(a) Seal all feasible leakage locations (including duct and shell leaks and thermal bypasses in the ceiling) before insulation is installed, per Section 32 Infiltration Reduction and Section 8 Ducting Repair, Sealing and Insulation.

4.2.3(b) Install loose-fill insulation blocking for HPD and vent clearance zones and ceiling access following the requirements in Blocking Requirements.

4.2.3(c) Verify that blocking, hazard mitigation, ventilation, sealing of air leakage/thermal bypasses, exhaust vent termination, ceiling access, and all other measure requirements have been met before installing insulation.

4.2.3(d) Probe each cavity, locating all attic floor joists and blockers.

4.2.3(e) Install one insulation depth marker for every 300 sq. ft. of attic area, with the bottom of the marker at the air barrier to determine where additional insulation is needed.

4.2.3(e1) Leave the markers in place after insulation is installed for verification by the inspector.

4.2.3(f) When existing batts are incorrectly installed with vapor barrier on top (facing upward):

4.2.3(f1) Remove the vapor barrier from the attic or

4.2.3(f2) Turn the batts over to place the facing against the attic floor or

4.2.3(f3) Slash the vapor barrier the entire length of the batt or across the width of the batt at 12" intervals (Fig. 37-5).

4.2.3(f4) Adjust the existing batt insulation to be in full contact with the attic floor and the rafters with no voids.

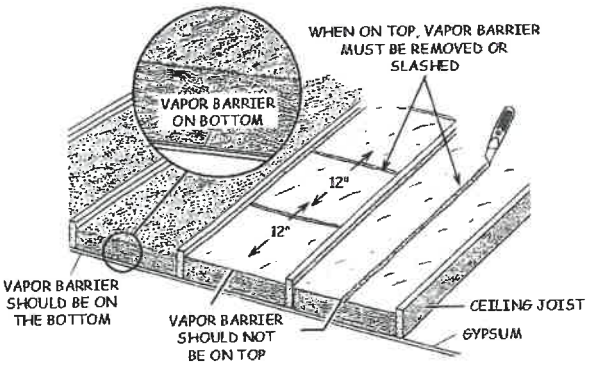

FIG. 37-5: INSTALL VAPOR BARRIER TOWARD WINTER WARM SIDE AND CORRECT IMPROPER INSTALLATION

4.2.4 Installation of Insulation

4.2.4(a) All insulation shall be installed in accordance with the manufacturer's specifications and local code without gaps, voids, compressions, or misalignments.

4.2.4(b) Batt insulation

4.2.4(b1) New unfaced batts shall be placed over existing loose fill or batts to achieve the desired R-value.

- If the top of the existing insulation is below the top of the framing, install new batts parallel with the framing members.
- If the top of the existing insulation is above the top of the framing, install new batts perpendicular to the framing members.

4.2.4(b2) Vapor barrier

- When required by the local jurisdiction, vapor barrier criteria apply to batts installed directly onto the attic floor, knee wall, or skylight well.
- Vapor barrier shall not be installed over existing insulation. When insulation is installed, vapor barrier shall be placed toward the winter warm side (e.g., directly on the attic floor) (Fig. 37-5).

4.2.4(c) Loose-fill insulation

4.2.4(c1) New loose-fill insulation shall be installed over existing loose fill or batts to achieve the desired R-value.

4.2.4(c2) Avoid blowing insulation into clearance zones for HPDs, K&T wiring, vents, etc.

4.2.4(c3) Blown insulation shall be level and even, with no drifts or voids.

4.2.4(c4) After insulation has been installed, clear overblown insulation from vents and clearance zones around HPDs and appliances.

4.2.4(c5) Install a closure system over any access hole created that is airtight, durable, and shows good workmanship.

4.2.4(d) Dense pack insulation

4.2.4(d1) Follow the manufacturer's requirements for the dense pack application filling 100% of each cavity to the correct density.

4.2.4(d2) Cavities shall be free of hazards, intact, and able to support dense pack pressures.

4.2.4(d3) Ensure all existing batts are in full contact with interior cladding and top and bottom plates.

4.2.4(d4) Air barrier material shall not bend, sag, or move once dense packed.

4.2.4(d5) Install a closure system over any dense pack access hole that is airtight, permanent, and shows good workmanship.

4.2.4(d6) Knee wall, partial sloped ceilings, and enclosed cavities

- The existence of air barrier material in line with knee walls shall be verified or installed when dense packing.
- Backing support
  - Verify all knee walls have a top and bottom plate or blockers installed with rigid material.
  - Seal all gaps, holes, and leaks at the floor joist running under the knee wall.
  - When fabric is used, secure the fabric with 1" crown staples every 2" or with furring strips on every wall stud.
  - When rigid material is used, install material to cover the entire accessible surface.
  - When foam sheathing is used, it shall be listed for uncovered use in an attic or covered use with a fire barrier.
- Unvented flat roofs
  - When accessing the cavity from the interior, locate drilling hazards (e.g., wiring, venting, fuel piping) prior to drilling.

4.2.4(e) Attic access insulation

4.2.4(e1) All ceiling entry doors/covers accessed from conditioned space, even if not functional/usable, shall be insulated in accordance with Table 37-1.

4.2.4(e2) Flexible or rigid insulation, with an R-value equal to attic floor, shall be permanently attached to the cover.

4.2.4(e3) Disappearing stairs

- When accessed from conditioned space:
  - A hinged lid shall be installed if not already present
  - Non-compressible insulation with R-value equivalent to the attic floor insulation shall be permanently attached to the lid and include a protective barrier or baffle
- Stairs with a bottom door (or lid if there is no bottom door) or stairs with a top lid:
  - The entire pull-down stair assembly will be covered with an airtight and removable/openable enclosure inside the attic space.

4.2.4(f) Knee walls and skylights

4.2.4(f1) Existing batts shall be in full contact with interior cladding and top and bottom plates.

4.2.4(f2) Uninsulated knee wall areas over 12" in height (after attic floor insulation is installed) and uninsulated skylight wells shall be insulated to the R-value in Table 37-1.

4.2.4(f3) Installed insulation shall be in full contact with all sides of the knee wall cavity.

- All knee walls will have a top and bottom plate or blockers installed using a rigid material.
- All joints, cracks, and penetrations will be sealed in finished material, including interior surface-to-framing connections.

4.2.4(f4) Knee walls without framing

- A rigid insulated sheathing of the required R-value shall be mechanically fastened.

4.2.4(g) Partial sloped ceiling and knee wall combinations

4.2.4(g1) Batts may be installed in partial sloped ceiling cavities.

- Loose fill is not allowed.

4.2.4(g2) A minimum of 1" of air space is required between the batts and the roof sheathing.

4.2.4(h) Unvented flat roofs

4.2.4(h1) Code-compliant ventilation shall be installed before insulation is installed.

4.2.5 Insulation Certificate

4.2.5(a) An insulation certificate (CSD 610 form) shall be completed and signed by the contractor responsible for installing the insulation.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.2 Before installing this measure, prior approval must be granted from the California Department of Housing and Community Development (HCD), or another authority having jurisdiction.

5.1.3 Structural Requirements

5.1.3(a) All methods

5.1.3(a1) Trusses shall be capable of withstanding:

- The added weight of the insulation system
- The increased snow load resulting from reduced heat loss through the roof

5.1.3(a2) The ceiling condition shall be such that all holes, cracks, and other bypasses into the roof cavity can be effectively repaired and sealed to minimize permeation of household moisture into the roof cavity.

5.1.3(a3) See (Fig. 37-6)

5.1.3(b) Cavity fill method–specific

5.1.3(b1) The ceiling shall be structurally adequate to support the weight of the added insulation plus the blowing machine pressure without bulging or sagging.

5.1.3(b2) Maximum ceiling panel deflection after cavity fill shall be ¼" in 4' of lateral run.

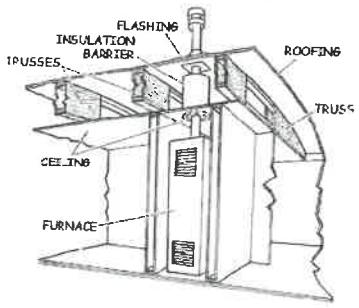

FIG. 37-6: MOBILE HOME ROOF STRUCTURE

5.1.4 Ceiling Soundness

5.1.4(a) Ceiling panel attachments

5.1.4(a1) Additional attachments shall be installed as needed for support and to prevent excessive ceiling sag.

5.1.4(a2) Loose ceiling panels will be secured.

5.1.4(b) Ceiling panel repair

5.1.4(b1) Weak, deteriorated, or broken ceiling panels anywhere in the area to be insulated shall be repaired/replaced as needed to prevent ceiling panel collapse or excessive sag.

5.1.4(b2) Repairs in open, visible areas shall match the existing finish or material as closely as possible.

5.1.5 HPD Blocking

5.1.5(a) Barrier installation access

5.1.5(a1) Access for installation may include the temporary removal of:

- The HPD
- The ceiling trim or trim collar
- A small amount of ceiling material immediately surrounding the HPD
- The roof flashing

5.1.5(b) Post-blocking requirements

5.1.5(b1) HPDs that were removed to facilitate roof cavity insulation installation shall be properly reinstalled.

5.1.5(b2) Gaps created by removing ceiling material shall be filled with the material removed or other appropriate material as needed.

5.1.5(c) Vent pipes

5.1.5(c1) The space between combustion appliance vents and the ceiling that are allowed to be sealed will be sealed with fire-rated materials.

5.1.5(c2) Ceiling collars and other trim material shall be properly reinstalled.

5.1.5(c3) All combustion appliance flues and vents will be terminated to the exterior of the house and terminations will maintain proper clearance above snow loads.

5.1.6 Roof Repair

5.1.6(a) Leaks

5.1.6(a1) All leaks that can allow household moisture to penetrate the walls or ceiling and permeate the roof cavity shall be sealed (Fig. 37-7).

5.1.6(a2) Dishing and pooling issues that allow standing water shall be addressed.

5.1.6(a3) All broken roof cavity vents shall be replaced or removed and sealed.

5.1.6(a4) Leaks in the existing roof shall be sealed prior to installation of a roof cap.

5.1.6(a5) Defective roof-mount flashing devices shall be replaced.

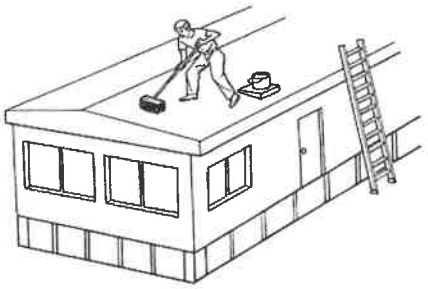

FIG. 37-7: ROOF LEAKS MUST BE REPAIRED BEFORE INSULATION IS INSTALLED

5.1.6(b) Repair methods

5.1.6(b1) All surfaces shall be cleaned, and materials shall be applied as instructed.

5.1.6(b2) All sealants shall be compatible with the existing roof surface.

5.1.7 Insulation Methods

5.1.7(a) Insulation methods shall be selected based on the limitations described below.

5.1.7(b) Roof cap insulation method

5.1.7(b1) Shall be installed only on mobile homes in which:

- The ceiling structure is not capable of supporting, or is too shallow to accept, a minimum R-11 cavity fill
- The dwelling is equipped with a functioning, permanent air conditioner and/or electric forced air heating system

5.1.7(c) Gable end insulation method

5.1.7(c1) Insulate from the gable ends when the truss height is ≥10" at the apex.

5.1.7(c2) Insulation shall be:

- Used to fill the area immediately adjacent to gable ends where proper distribution can be verified by visual inspection
- Performed in conjunction with interior ceiling bore or exterior roof edge cavity fill methods (not used to insulate the entire roof cavity)
- Blown in, leaving a minimum 1" gap below the roof for air circulation
- A minimum R-value of R-11 and a maximum of R-30.

5.1.7(d) Exterior roof edge cavity fill method

5.1.7(d1) Shall be restricted to ceilings and roofs that:

- Can support the weight of added insulation and blowing pressure
- Are covered by metal roofing material
- Do not contain an underlayment of wood sheathing
- Can feasibly be detached and lifted in segments along the edge
- Have sufficient height to allow a minimum R-11 pressure fill

5.1.7(d2) The existing roof shall be free of damage and deterioration that would prevent restoration to a watertight condition following installation.

5.1.7(e) Interior ceiling bore cavity fill method

5.1.7(e1) May be installed in any mobile home with:

- A ceiling structure capable of supporting the added insulation and blowing pressure
- A roof cavity deep enough to accept a minimum R-value of R-11 and a maximum of R-30

5.2. Installation Procedure

5.2.1 Preparation of the Home

5.2.1(a) Avoid damage to the home and furnishings by the insulation hose, ladders, etc.

5.2.1(b) Use special precautions to limit fiberglass and construction dust exposure to the clients and their belongings.

5.2.1(c) When the interior ceiling bore cavity fill method is performed:

5.2.1(c1) Protect all floors, furniture, appliances, clothing, and other personal belongings from dust (e.g., with drop cloths)

5.2.1(c2) Capture drilling dust and debris (e.g., by holding a high-efficiency particulate air [HEPA] filter vacuum intake near the hole being drilled).

5.2.2 Ceiling Preparation

5.2.2(a) Ceiling vents not used for combustion air

5.2.2(a1) Seal the vent openings with minimum ½" gypsum, plywood, or metal and covered with insulation.

5.2.2(a2) Vents shall not be sealed with batts or foam board.

5.2.3 Cavity-Fill Insulation Methods

5.2.3(a) Blower set-up

- Set the hose outlet pressure in accordance with the manufacturer's specifications.
- The blowing machine shall be controlled with a remote switch.
- The fill tube diameter shall be a minimum of 2".

5.2.3(b) Material placement

- Install insulation into the void of the ceiling cavity:
  - If existing insulation is roof-mounted, insulation shall be blown below.
  - If existing insulation is ceiling-mounted, insulation shall be blown above.
  - If existing insulation is mounted at both locations, insulation shall be blown in between.

5.2.3(b1) Avoid overfilling at roof edges and above ceiling trusses.

5.2.3(b2) Installation shall leave a minimum 1" gap below the roof for air circulation.

5.2.3(c) Density of cavity fill

5.2.3(c1) Insulation thickness and density shall be a minimum of R-11 and a maximum of R-30.

5.2.3(c2) Using the fill tube, fill 100% of each cavity to a consistent density.

5.2.3(d) Ceiling performance

5.2.3(d1) Correct any excessive ceiling panel stress caused by insulation weight and pressure.

- Tighten loose attachments.
- Install additional attachments as needed to secure ceiling panels to joists.
- Maximum ceiling panel warpage deflection after cavity fill shall be ¼" in 4' of lateral run.

5.2.3(e) Temporary ceiling bracing is recommended during the installation process.

5.2.4 Roof Cap Method

5.2.4(a) The roof cap method shall consist of minimum R-11 rigid insulating material installed over the existing roof and capped with an overlay of metal roofing or a synthetic membrane

5.2.4(b) Roof cap system design/permitting

5.2.4(b1) System design for roof cap insulation shall be submitted to and approved by HCD prior to any installation activities.

5.2.4(c) Rigid insulation

5.2.4(c1) Rigid foam shall be pre-formed expanded polystyrene or pre-formed polyisocyanurate.

5.2.4(c2) Roof board shall be high-density fiberglass.

5.2.4(c3) Attachment (Fig. 37-8):

- Metal roofing roll-back, cutting, or boring is prohibited.
- Insulating panels shall be secured to the metal roof with screws and washers.

5.2.4(d) Metal roof cap systems

5.2.4(d1) Continuous roll-on roofing with factory-sealed seams:

- Required on a curved roof and recommended on all roofs

5.2.4(d2) Individual panel metal roofing:

- Shall have interlocking standing seams to permanently seal against water penetration (Fig. 37-9)

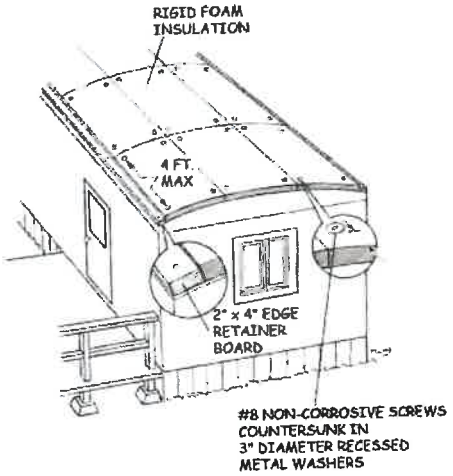

FIG. 37-8: RIGID INSULATION ATTACHMENT

5.2.4(e) Synthetic membranes

5.2.4(e1) Membranes that are spliced and attached with a permanent vulcanizing process may be installed in continuous strips at least 6' wide and run the length of the roof.

5.2.4(f) Wood edging and furring

5.2.4(f1) Wood edging and furring attachment (Fig. 37-10)

- Utilize screws to attach wood members to the framework of the existing roof.

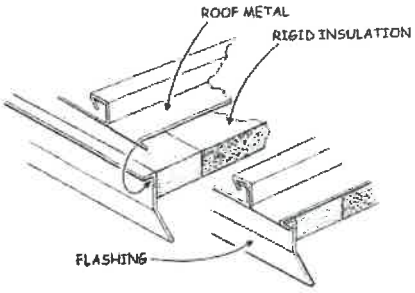

FIG. 37-9: INTERLOCKING STANDING SEAMS ON METAL ROOF CAP SYSTEM

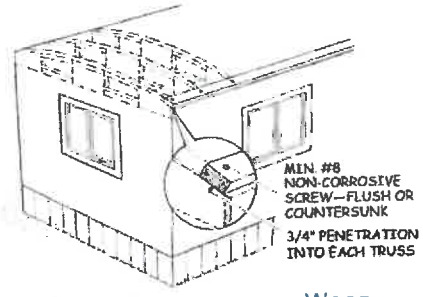

FIG. 37-10: ATTACHMENT OF WOOD EDGING AND FURRING

5.2.4(g) Metal edging, drip rail, ridge cap, and similar components

5.2.4(g1) Securely attach metal components to the mobile home framework with screws to ensure permanent attachment (Fig. 37-11).

5.2.4(h) Component sealing

5.2.4(h1) All penetration points shall be made watertight.

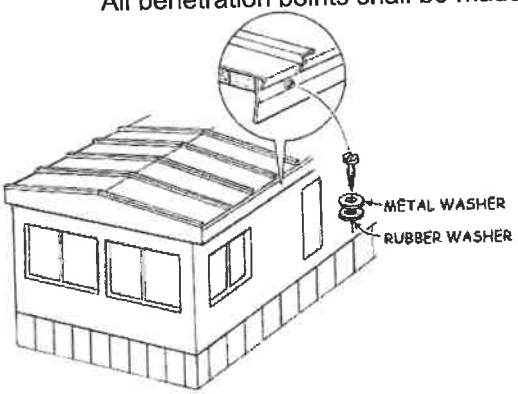

FIG. 37-11: ATTACHMENT OF METAL EDGING

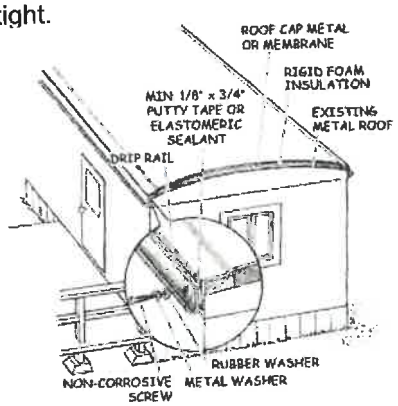

FIG. 37-12: ROOF EDGE COMPONENT REASSEMBLY AND SEALING

5.2.4(h2) Provide additional sealing with elastomeric sealant or putty tape a minimum of ⅛" thick between the component and the mounting surface.

5.2.4(h3) See (Fig. 37-12)

5.2.4(i) Gas and solid fuel appliance vents and flashings

5.2.4(i1) Correct existing, non-conforming conditions.

5.2.4(i2) Plumbing vent pipes shall extend a minimum of 2" above the surface of the roof cap (Fig. 37-13).

5.2.4(i3) Properly reinstall evaporative coolers.

- The plenum shall extend sufficiently through the roof cap to facilitate installation of a watertight seal.
- Install all mounting hardware in a manner which provides adequate support and a watertight seal at the surface of the new roof cap.

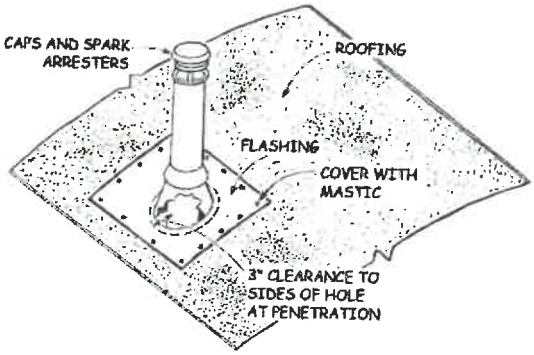

FIG. 37-13: GAS AND SOLID FUEL VENTS AND FLASHINGS

5.2.4(j) Roof cavity ventilation

5.2.4(j1) Existing roof vents (e.g., gable vents) shall be tightly blocked and sealed (Fig. 37-14).

5.2.4(j2) Ventilated walls

- Bypasses into roof cavities at the top of ventilated walls shall be blocked.
- The top and bottom of ventilated walls shall not be caulked or blocked.

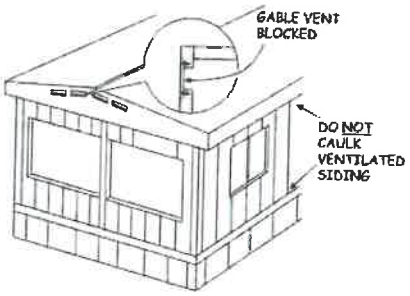

FIG. 37-14: BLOCKED ROOF VENTS

5.2.5 Gable End Method

5.2.5(a) Gable end insulation is used to fill the area immediately adjacent to gable ends where proper distribution can be verified by visual inspection.

5.2.5(b) Exterior surface-mount approach

5.2.5(b1) Insulation materials: Minimum R-11 rigid insulation covered with a watertight metal enclosure

5.2.5(c) Interior truss-mount approach

5.2.5(c1) This approach shall be used only when the gable end siding material can be safely removed and replaced.

5.2.5(c2) Securely install insulation within or behind the exposed gable end framework and replace the gable end siding (Fig. 37-15 and Fig. 37-16).

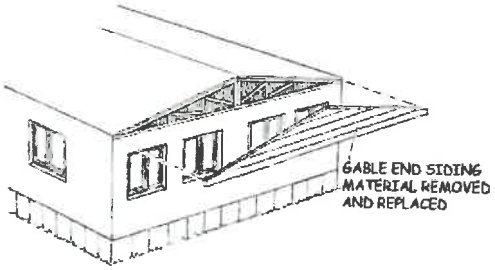

FIG. 37-15: FLEXIBLE OR RIGID INSULATION INSTALLED WITHIN A TRUSS FRAME

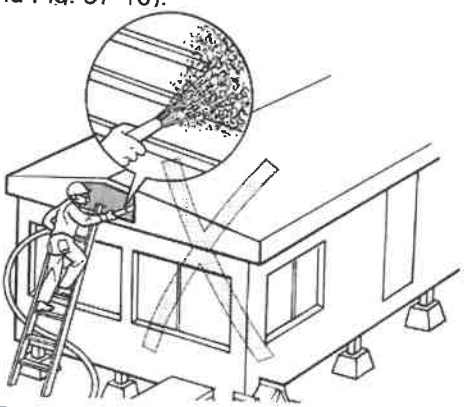

FIG. 37-16: CROSS-BLOW IS NOT ALLOWED FOR THE ENTIRE CEILING

5.2.5(d) Gable end cavity fill approach

5.2.5(d1) This approach shall be used only when the ceiling structure is capable of supporting the weight of the added insulation and the blowing pressure.

5.2.5(d2) Insulation shall be loose-fill fiberglass.

5.2.5(d3) Remove siding material or vent grilles or cut/drill holes for access.

5.2.5(d4) Fill the truss cavity immediately adjacent to each gable end with loose-fill fiberglass to create a thermal barrier over the entire gable end.

5.2.5(d5) Return the gable end to a watertight condition with all holes and vents blocked and sealed.

5.2.6 Exterior Roof Edge Cavity Fill Method

5.2.6(a) The roof edge is lifted and temporarily supported to access the truss space where the fill tube will be inserted.

5.2.6(b) Insulation shall be loose-fill fiberglass.

5.2.6(c) Roll-back of metal roofing is not allowed.

5.2.6(d) Utility penetrations and other holes in the top plate shall be sealed while the roof is lifted.

5.2.6(e) Eave vents and wall bypasses that communicate with the roof cavity shall be blocked and sealed.

5.2.6(f) Material placement

5.2.6(f1) Insert the fill tube to within 6" of the end of each ceiling cavity.

- Maximum insulation travel shall be 2' past the end of the fill tube. (Fig. 37-17)

5.2.6(f2) Using the fill tube, fill 100% of each cavity to a consistent density.

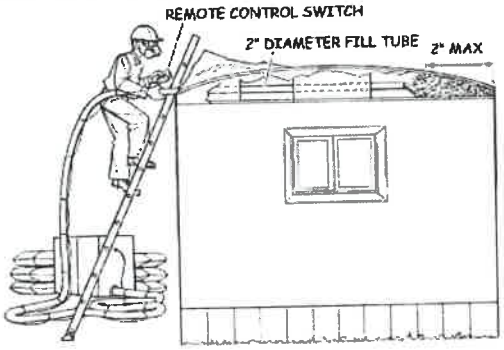

FIG. 37-17: BLOWER MACHINE USE

5.2.6(g) Roofing reassembly

5.2.6(g1) Return metal roofing to its original position and reattach it securely with non-corrosive fasteners (screws, staples, etc.).

5.2.6(h) Reassembly and sealing of roof edge

5.2.6(h1) Replace damaged drip rail, flashing, etc., with compatible materials as needed to ensure proper performance (Fig. 37-12).

5.2.6(h2) Sealing

- Apply sealant between the metal roof and the attached components at all penetration points.
- Apply sealant to exposed seams and screw heads as needed to achieve a permanent, watertight seal.

5.2.7 Interior Ceiling Bore Cavity Fill Method

5.2.7(a) Insulation shall be loose-fill fiberglass.

5.2.7(b) Hole size and spacing

5.2.7(b1) Holes will be large enough to accommodate the chosen fill tube without damaging the ceiling material during installation (≥2" inside diameter [ID], ≤3" ID).

5.2.7(b2) Hole location and size will be placed to provide access to allow for consistent and uniform coverage throughout the ceiling assembly.

5.2.7(b3) Drill equally spaced holes in the ceiling parallel to the exterior wall (except where structural obstructions require alternate spacing).

5.2.7(b4) If a longitudinal ceiling trim piece exists, remove the trim piece and drill holes behind the trim

5.2.7(b5) There shall be at least one hole between each roof truss.

5.2.7(c) Material placement

5.2.7(c1) Fill holes shall extend through the existing vapor barrier and insulation.

5.2.7(c2) Insert the fill tube within 6" of the end of each ceiling cavity.

5.2.7(c3) Using the fill tube, fill 100% of each cavity to a consistent density.

5.2.7(d) Ceiling performance and repair

5.2.7(d1) Correct any excessive ceiling panel stress caused by insulation weight and pressure.

- Tighten loose attachments.
- Install additional attachments as needed to secure ceiling panels to joists.
- Maximum ceiling panel deflection after cavity fill shall be ¼" in 4' of lateral run.
- Reinstall the existing trim if it was removed.

5.2.7(e) Plugs

5.2.7(e1) Custom-made plugs matching the existing ceiling material is a best practice.

5.2.7(e2) Plastic plugs are acceptable.

5.2.7(e3) Seal all plugs in place with caulking, construction adhesive, or other appropriate sealant.

5.2.8 Installation Integrity

5.2.8(a) During the installation process, installers shall verify that damage has not occurred to the roof or ceiling assemblies.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 When only an individual multi-family unit will be served, this measure is not feasible.

6.1.2 Installation requirements for multi-family buildings are the same as those for conventional homes.

6.1.3 Installation of insulation within the same thermal boundary as dwelling units is allowed when justified by the DOE Priority List or an energy audit for a whole-building project. See Appendix D Energy Audit/Priority List Protocol.

6.1.4 When adding or replacing HVAC appliances (including a new or fully replaced duct system) in a vented attic consisting of an open space (not intersected by firewalls), insulation must meet installation criteria in Table 37-1.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure may be a DOE Audit path, audit driven measure, or Priority List path, Mandatory measure.

7.1.2 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.4 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.5 To assess for this measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.5(a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.5(b) When assessing this measure for the Audit path, measure feasibility will be decided by the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.5(b1) When the measure is feasible based on the audit, and the measure is categorized as a "Major" measure (i.e., Infiltration Reduction, Duct Sealing, Ceiling Insulation, Floor Insulation, and Wall Insulation), the measure shall be installed or the dwelling must be deferred.

7.1.5(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.5(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.6 If a client refuses a feasible Major Audit path measure, Mandatory Priority List path measure, or Health & Safety measure, the entire dwelling shall be deferred.

7.1.7 The R-value of added insulation shall be a maximum R-value as set by Table 37-1 or as defined by energy audit.

7.1.8 Attic ventilation will only be installed in conjunction with attic/ceiling insulation.

7.1.9 When installation of ceiling insulation requires IC-rated fixture installation or retrofit of a non-IC-rated fixture with an approved cover/box, the materials and labor shall be billed to the Limited Home Repair-H&S Support line item for DOE WAP jobs.

7.1.9(a) As an incidental repair for DOE WAP, the cost of this work must comply with the incidental repair cost cap considerations as defined in Appendix D Energy Audit/Priority List Protocol.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP except as specified below.

TABLE 37-3: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
ATTIC FLOORS, UNCONDITIONED ATTIC					
4.0104.2c, 4.0104.4c	General Preparation	Remove any existing faulty insulation, vapor barrier materials, and protusions from the installation area.	X	X	X
4.0103.1c	General Preparation	Install flags at all utility junctions that can be seen above the final level of the insulation.	X		X
4.0103.6c, 4.0104.1c, 4.0104.1d	Installation - Dense Pack	Install airtight, rigid, blocking material at all cavity openings that aligns with the pressure boundary and will not fail under dense pack pressures.	X	X	X
4.0104.1d 4.0104.2e	Installation at Knee Walls - Dense Pack, Batt	Secure backing material using mechanical fasteners that penetrate the sub-framing a minimum of 1".	X	X	X
4.0104.4d	Installation at Knee Walls - Rigid Foam	Install rigid insulation to prescribed R-value using mechanical fasteners. Seal all insulation seams, joints and connections with compatible sealant (caulk, tape, mastic, etc.).	X	X	X

TABLE 37-3: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
SOFFITS & VENTED EAVES					
4.0103.1c, 4.0103.2c	Ceiling Insulation	When vented eaves or soffits exist, mechanically fasten the insulation baffles in every roof bay that extends above the final insulation level by at least 6".	X		X
MOBILE HOMES					
4.0103.10c	Mobile Home Blown Insulation (Roof Side Lift)	Remove a small section (no more than 10') of fasteners at a time from the J channel and the roof edge on the most easily accessible side of the dwelling. Separate the roof from the heel plate and siding. Prop the roof open no more than necessary to accommodate the fill tube access to the entire cavity. Avoid performing this method when high winds are expected.		X	
4.0103.10e	Mobile Home Blown Insulation (Roof Side Lift)	Remove the existing sealant from the roof edge and J channel. Install a new J channel if the existing J channel is damaged.		X	
4.0103.11d	Mobile Home Blown Insulation (Roof Top Access for Flat, Bowed, or Vaulted Ceilings)	Create a horizontal opening the full length of the attic by slicing the roof open at the peak. Do not allow more room than is necessary for access to the entire attic cavity using a fill tube, OR Drill or cut uniform holes in the roof, adequately spaced, to access the entire roof cavity to be insulated.		X	
4.0103.11f, part 1	Mobile Home Blown Insulation (Roof Top Access for Flat, Bowed, or Vaulted Ceilings)	If the roof is sliced open: • Install a solid metal ridge cap centered over the slice that overlaps each side of the roof by a minimum of 2". • Install a continuous, permanently flexible and durable sealant between the roof and the entire perimeter of the ridge cap. • Install mechanical fasteners along the perimeter of the ridge cap every 6" or less that do not enter any framing material, prevent wrinkles and create a permanent seal. • Apply a durable and flexible final roof coating over the screws and edge of the ridge cap to create a continuous seal between the roof and the perimeter of the ridge cap.		X	
4.0103.11f, part 2	Mobile Home Blown Insulation (Roof Top Access)	For holes that are drilled or cut: • Prepare at least 6" of surface surrounding the opening by removing any material that will interfere with sealant adhesion. • Install a durable metal patch of equal or greater gauge than the roof material that overlaps the opening by a minimum of 2" on all sides. • Install a continuous bead of flexible and durable all-weather adhesive between the roof patch and the roof. • Mechanically fasten patch along the perimeter every 2" without entering any framing material to prevent wrinkles and create a permanent seal. • Install a durable and flexible 45 mil minimum adhesive roof patch in accordance with manufacturer specifications over the initial patch that overlaps the initial patch by a minimum of 2" on all sides. Confirm surface temperatures are within the manufacturer's guidelines for installation. • Apply a durable and flexible final coating (e.g., elastomeric paint) over the adhesive patch that laps at least 6" over the patch on all sides to create a continuous seal between the roof and the perimeter of the patch.		X	
4.0103.11f, part 3	Mobile Home Blown Insulation (Roof Top Access)	Adhesive patches must meet the following minimum standards: Tensile strength of 640g, elongation of 380%, service temperature between -25 and 150 degrees F.		X	

TABLE 37-3: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
4.0103.9c	Mobile Home Blown Insulation (Gable End Access)	Create access to attic by removing existing gable vents or installing new gable vents on each gable of the home that are large enough for access to install insulation correctly.		X	
4.0103.9e	Mobile Home Blown Insulation (Gable End Access)	Re-install gable vents using mechanical fasteners. Ensure the vents are oriented per the manufacturer's specifications. Install gable vents with a pest intrusion screens with a maximum hole size of 1/2".		X	

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Combustion appliance safety testing must be performed upon completion of all measures that affect air tightness of home, per Appendix A Combustion Appliance Safety Protocol.

8.1.2 Completed attic sections shall be confirmed to have an even level of insulation at the prescribed R-value in accordance with Table 37-1 or to capacity.

8.1.3 Confirm that damage has not occurred to the roof or ceiling during installation

8.1.4 Once installed, insulation shall not be compressed or scattered, which could impact the efficiency of the insulation R-value.

8.1.5 The clearance zone for HPDs and vents shall be cleared of overblown insulation.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Attic/Ceiling Access

8.2.2(a) The purpose of insulation and proper access operation will be communicated to client.

8.2.3 Disappearing Stairs

8.2.3(a) Educate the client on how to use the access to ensure the integrity of the insulated and sealed assembly throughout its service life.

8.2.3(b) The purpose of the entire measure (insulation, air seal, protective barrier, proper attic stair operation) shall be communicated to client.

8.2.4 Whole House Fan

8.2.4(a) When a whole house fan is present, educate the client on how to use it to ensure the integrity of the insulated assembly throughout the fan's service life and to prevent disturbance of the insulation.

8.2.5 Required Documentation

8.2.5(a) A completed copy of the CSD 610 Insulation Certificate shall be provided to the client.

8.2.5(a1) The certificate shall be completed and signed by the contractor responsible for installing the insulation. The manufacturer, brand, total installed R-value, etc. of the insulation installed in the roof/ceiling, walls, floor, and slab edge shall be documented.

8.2.5(a2) The installer shall also verify compliance with ventilation and infiltration reduction measures for the building envelope.

8.3. Clean-Up and Disposal Requirements

8.3.1 Upon completion, the residence shall be returned to its original condition and left free of job-related dust and debris inside and out.

8.3.2 A HEPA filter vacuum shall be used for all vacuuming.

8.3.2(a) All areas between indoor work areas and the home entrance shall be vacuumed.

8.3.2(b) The area between the home entrance/access and the insulation truck shall be swept or vacuumed.

8.3.3 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP:

9.1.1(a) Blown-in/batt—20 years

9.1.1(b) All other types—Not applicable to this measure

9.1.2 DOE:

9.1.2(a) Blown-in/batt—30 years

9.1.2(b) All other types—20 years

9.2 All insulation shall be:

9.2.1 Certified to comply with the material specifications in the California Code of Regulations (CCR), Title 24, Part 12, Chapters 12–13 and "Standards for Insulating Material."

9.2.2 Rated with a flame spread and smoke development index of 25/450 or less in accordance with ASTM E84 or UL 723.

9.2.2(a) Rigid knee wall insulations shall have a flame spread and smoke development index of 75/450 or less when tested in accordance with ASTM E84 or UL 723.

9.2.2(b) Backing materials for batt insulation in attics used for client storage shall have a smoke development index of 450 or less when tested in accordance with ASTM E84 or UL 723.

9.3 Vapor barrier shall be rated no higher than one perm.

9.4 When required as a condition of permit:

9.4.1 Installed IC-rated fixtures must be listed for zero clearance insulation contact, with a label that certifies it as airtight (leakage less than 2.0 CFM at 75 Pascals when tested to ASTM E283).

9.4.2 Installed fixture covers for non-IC-rated fixtures shall be fireproof and listed for the purpose. The covers shall only be used where a non-IC fixture has a thermal switch that disconnects the electricity to the light if the temperature exceeds unsafe levels (e.g., TENMAT® and Insulite® covers). The cover must be able to withstand applied loads.

9.4.2(a) Note: Products that act as dams for can lighting, but do not allow insulation to cover the area over the fixture, are not acceptable.

9.4.3 Sealant exposed to the interior of the fixture or cover must be the same fire rating as the cover.

9.5 Permanent Blocking

9.5.1 Batts: Must comply with American Society of Testing and Materials (ASTM) C665

9.5.2 Non-corrosive metal, minimum 0.007" thick

9.5.3 Commercially available plastic chutes and cardboard baffles (for eave vent chutes and baffles only)

9.6 Mineral Fiber Insulation

9.6.1 Batts and blankets: Must comply with ASTM C665

9.6.2 Loose fill: Must comply with ASTM C764 and ASTM E84

9.7 Cellulose Loose Fill

9.7.1 Must be licensed for sale in California

9.7.2 Must be listed in the Department of Consumer Affairs' "Directory of Certified Insulation Materials"

9.8 Rigid Insulation

9.8.1 Must be reformed polyisocyanurate board, foil-faced on both sides

9.8.2 Must comply with Federal Standard (FS) HH-1-1972

9.8.3 High-density fiberglass board must comply with ASTM C726

9.9 Access Cover Insulation

9.9.1 Refer to Table 37-1.

9.10 Attic/Ceiling Access Door/Cover

9.10.1 Refer to Section 32 Infiltration Reduction, Material Specifications.

9.11 Strapping material must have a minimum expected service life of 20 years

9.12 Material Specifications for Mobile Homes

9.12.1 All insulation shall be certified to comply with the material specifications in the California Code of Regulations, Title 24, Part 12, Chapters 12–13, Article 3, "Standards for Insulating Material." In the applicable methods:

9.12.1(a) Loose-fill fiberglass shall comply with ASTM C764 and ASTM E84.

9.12.1(a1) Loose-fill rock wool or cellulose is not allowed.

9.12.1(b) Pre-formed expanded polystyrene foam board shall:

9.12.1(b1) Comply with ASTM C578

9.12.1(b2) Have a minimum density of 1 lb. per cu. ft.

9.12.1(c) Pre-formed foil faced polyisocyanurate or polyurethane foam board shall comply with FS HH-I-1972.

9.12.1(d) All flexible mineral fiber shall comply with ASTM C665.

9.12.1(e) Roof board shall:

9.12.1(e1) Be high-density fiberglass

9.12.1(e2) Comply with ASTM C726

9.12.1(e3) Have a minimum density of 3 lbs per cu. ft.

9.12.2 Synthetic membranes

9.12.2(a) Polyvinyl chloride material

9.12.2(a1) Minimum thickness: 40 mil

9.12.2(a2) Embedded rip-stop fiber scrim required

9.12.2(b) Ethylene propylene diene monomer and Hypalon™ rubber

9.12.2(b1) Minimum thickness: 45 mil

9.12.2(b2) Shall comply with ASTM D4637

9.12.3 Roofing material

9.12.3(a) Aluminum

9.12.3(a1) Materials shall have a minimum thickness of 0.024" for roofing material and 0.019" for gable end enclosures.

9.12.3(b) Steel

9.12.3(b1) Materials shall have a minimum 30-gauge thickness and comply with ASTM A361/361M.

9.12.3(c) Baked-on enamel or equivalent coating is a best practice.

9.12.4 Roof cover material

9.12.4(a) Materials shall be:

9.12.4(a1) Approved and listed by the Department of Housing and Urban Development (HUD)

9.12.4(a2) Approved by the manufacturer for mobile home roof cap applications

9.12.4(a3) Adequately puncture-resistant to withstand the environmental hazards of the location in which it will be installed (e.g., dropping pinecones, tree branches, etc.)

9.12.4(a4) Light in color

9.12.5 Wood edging and furring

9.12.5(a) Redwood or pressure-treated fir is preferred.

9.12.5(b) #2 or better Douglas fir is acceptable.

9.12.5(c) Nominal cross-sectional dimensions shall be minimum 2" x 2".

9.12.6 Metal edging without wooden perimeter

9.12.6(a) Aluminum: 0.028" thickness

9.12.6(b) Galvanized steel: 26 gauge

9.12.7 Metal drip rail, edge trim and flashing, end and ridge caps

9.12.7(a) Aluminum: 0.024" thickness

9.12.7(b) Galvanized steel: 30 gauge

9.12.8 Mechanical fasteners

9.12.8(a) All screws, nails, or staples shall be a minimum of ¾" long and non-corrosive (cadmium-plated or equivalent)

9.12.8(b) All screws shall be #8 minimum size, flathead, and of the proper type and size to ensure a permanent attachment.

9.12.8(c) All washers shall be 3" minimum diameter and contain a center recess to place the screw head flush with or below the insulation surface

9.12.9 Caulking

9.12.9(a) Elastomeric sealant types include polysulfide, polyurethane, and silicone.

9.12.9(a1) Shall comply with ASTM standards for elastomeric sealants (e.g., C920, C603, C734, C1250, and D2202)

9.12.10 Putty tape shall be self-sealing, pliable, and long-life–type adhesive.

10. WARRANTY

10.1 Manufacturer—Limited lifetime

10.2 Contractor—1 year

38. Wall Insulation

Table of Contents

1. MEASURE OBJECTIVES 38-1

2. INSTALL THIS MEASURE WHEN: 38-1

2.1. Repair 38-1

2.2. Install 38-1

3. DO NOT INSTALL THIS MEASURE WHEN: 38-1

4. INSTALLATION GUIDELINES 38-1

4.1. General Requirements 38-1

4.1.3 Fire Hazards 38-2

4.1.6 Restricted Locations 38-2

4.1.7 Electrical Wiring 38-2

4.1.8 Masonry Fireplaces or Chimneys 38-2

4.1.10 Methods of Installing Pressure-Fill Insulation 38-3

4.1.10(a) Fill tube method—Exterior and top-fill wall installation 38-3

4.1.10(b) Nozzle fill method—Exterior and interior wall installation 38-3

4.1.11 Required R-Values 38-3

4.2. Installation Procedure 38-4

4.2.1 Preparation 38-4

4.2.1(b) Protection of the dwelling and its contents 38-4

4.2.2 Drill and Fill Precautions 38-5

4.2.3 Installing Insulation 38-6

4.2.3(a) Insulation blower set-up 38-6

4.2.3(b) Cavities created by fire blocks and bracing 38-6

4.2.3(c) Walls open to attic or crawlspace (balloon-framed) 38-6

4.2.3(d) Attic open to uninsulated soffits 38-6

4.2.3(e) Walls open to suspended ceilings 38-6

4.2.4 Filling and Patching Walls 38-7

4.2.4(a) Stucco, plaster, and gypsum walls 38-7

4.2.4(b) Wood walls 38-7

4.2.4(c) Holes in moisture barrier 38-7

4.2.4(e) Painting over patches 38-8

4.2.5 Insulation Certificate 38-8

5. MOBILE HOME–SPECIFIC 38-8

5.1. Installation Requirements 38-8

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5.1.3 Wall Cavity Assessment *38-8*
5.1.4 Electrical Wiring Verification *38-8*
5.1.5 Indoor Preparation for Mobile Home Insulation *38-9*
5.1.5(f) Electrical boxes (switch and receptacle) 38-9
5.1.5(g) Blocking 38-9
5.1.6 Outdoor Preparation for Mobile Home Insulation *38-10*
5.2. Installation Procedure 38-10
5.2.1 Mobile Home Installation Methods *38-10*
5.2.1(a) Batt "stuffing" method 38-10
5.2.2 Limited Access Procedures—Blanket/Batt Insertion *38-12*
5.2.2(b) Cavities with electrical wiring and plumbing 38-12
5.2.2(c) Cavities with window, fan, or other obstruction 38-12
5.2.3 Limited Access Locations—Pressure-Fill *38-13*
5.2.3(a) Purpose 38-13
5.2.3(b) Procedure 38-13

6. MULTI-FAMILY–SPECIFIC 38-14
6.1. Installation Procedure 38-14

7. DOE-SPECIFIC 38-14
7.1. Assessment Requirements 38-14
7.2. Installation Requirements 38-15

8. POST-INSTALLATION GUIDELINES 38-15
8.1. Quality Check 38-15
8.2. Client Education 38-16
8.3. Clean-Up and Disposal Requirements 38-16

9. MATERIAL SPECIFICATIONS 38-16

10. WARRANTY 38-17

Wall Insulation

1. MEASURE OBJECTIVES

1.1 Wall insulation slows the transfer of heat through the thermal boundary, reducing the amount of heat entering the home on a warm day and the amount of heat loss on a cold day.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 The wall separates conditioned from unconditioned space and

2.2.2 At least 200 sq. ft. of wall area (net area, excluding doors and windows) has R-0 insulation and is feasible to insulate or

2.2.3 Insulation has a savings-to-investment ratio (SIR) ≥1.0 as proven by an energy audit

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The existing insulation R-value is measured to be adequate

3.2 One or more of the following conditions are present and have not been (or cannot be) corrected:

3.2.1 Structural defects exist that cannot be corrected, such as:

3.2.1(a) The need for interior or exterior wall repairs

3.2.1(a1) Substandard interior sheathing (such as ¼" gypsum, ⅛" paneling with 16" on center (OC) framing, ¼" paneling with 24" OC framing, etc.)

3.2.1(a2) Substandard exterior sheathing (such as deteriorated lap siding, wood shingles/ shakes, or other conditions that may not withstand the pressure of blown insulation)

3.2.2 There are water leaks or evidence of ongoing leakage

3.2.3 A combustion appliance safety (CAS) hazard or CAS fail exists per Appendix A Combustion Appliance Safety Protocol

3.2.4 Hazardous materials are present

3.2.5 Knob-and-tube (K&T) wiring is present in the walls

3.3 Installation would be in one or more Restricted Locations.

3.4 Installation would violate the Appendix E Health and Safety Requirements

3.5 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 This measure is a whole-building measure. In single-family dwellings (1-4 units) and multi-family buildings (with 5+ units), the whole building must be is served for wall insulation to be installed. See Appendix D Energy Audit/Priority List Protocol.

4.1.2 Audited Measures

4.1.2(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded, it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.2(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.3 Fire Hazards

4.1.3(a) If existing insulation is a potential fire hazard due to insulation covering heat-producing devices (HPDs) or combustion ventilation air (CVA) vents, these fire hazards shall be corrected by field personnel. See Section 1 General Installation Guidelines, Fire hazards and venting obstructions.

4.1.4 All air leakage locations (including duct and shell leaks), and thermal bypasses in the walls) shall be sealed prior to installation of insulation per Section 32 Infiltration Reduction and Section 8 Ducting Repair, Sealing and Insulation.

4.1.5 Cavities must be free of hazards, intact, and able to support dense pack pressures.

4.1.5(a) Install airtight, rigid, blocking material at all cavity openings that aligns with the pressure boundary and will not fail under installation pressures, especially dense pack.

4.1.6 Restricted Locations

4.1.6(a) Insulation shall not be installed in wall cavities that:

4.1.6(a1) Contain a service entrance, meter base, and/or distribution panel

4.1.6(a2) Contain a gas wall furnace

4.1.6(a3) Contain an electric wall heater or other HPD without full dimensional blocking and a 3" clearance zone or sealed protective pan.

4.1.6(a4) Contain an exhaust fan housing that is not a sealed unit

4.1.6(a5) Contain a metal chimney, flue, or recessed light fixture without a solid barrier and 3" clearance zone

4.1.6(a6) Contain a recessed shelf (insulate only above and below the shelving unit)

4.1.6(a7) Are used as, or contain, a heating, ventilation, or air conditioning duct

4.1.6(a8) Are open to an uninsulated soffit with a recessed light fixture that cannot be properly blocked

4.1.6(a9) Are adjacent to a masonry fireplace or chimney with less than 3" of clearance between the flammable insulation and masonry

4.1.6(a10) Are connected to an unprotected pocket door cavity (i.e., locations where blown insulation can enter the door pocket [Fig. 38-1])

4.1.6(a11) Are open on the interior (e.g., there is incomplete sheathing inside a cabinet, under a sink, etc.)

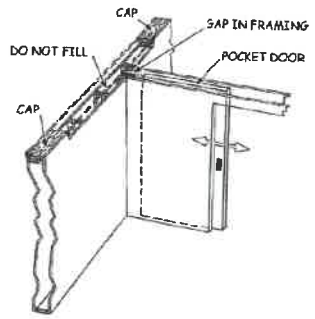

FIG. 38-1: WALL CAVITY CONNECTING WITH POCKET DOOR CAVITY

4.1.7 Electrical Wiring

4.1.7(a) Look for evidence of substandard wiring in the walls to be insulated.

4.1.7(b) Check for evidence of unsafe wiring at the service entrance and subpanels.

4.1.7(c) Remove at least one cover plate on each wall and check for evidence of unsafe wiring.

4.1.7(d) Identify and mark each cavity where it is unsafe to insulate.

4.1.8 Masonry Fireplaces or Chimneys

4.1.8(a) Cavities containing a masonry fireplace or chimney may be insulated if proper clearance is provided (Fig. 38-2).

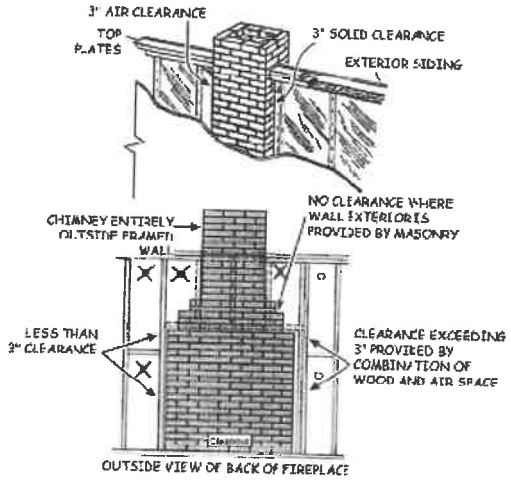

FIG. 38-2: PROPER CLEARANCE FOR MASONRY FIREPLACE OR CHIMNEY

4.1.8(b) For cellulose:

4.1.8(b1) A 3" clearance is required between cellulose and masonry

4.1.8(b2) The clearance must be provided by solid wood or a combination of wood and air space

4.1.8(c) For fiberglass, no clearance is required.

4.1.9 Follow the safety practices prescribed in the Appendix E Health and Safety Requirements, Asbestos Policy when asbestos-containing materials or lead-based paint are known or suspected to be present in/on wall sheathing.

4.1.10 Methods of Installing Pressure-Fill Insulation

4.1.10(a) Fill tube method—Exterior and top-fill wall installation

4.1.10(a1) A fill tube is required when insulation travel must exceed nozzle fill insulation travel maximums.

4.1.10(a2) Top-fill and bottom-fill are acceptable; top-fill is preferred.

4.1.10(a3) All fillable portions of cavities shall be completely filled to the correct density (Fig. 38-3).

4.1.10(a4) The hole size shall be no more than ½" larger than the fill tube outside diameter.

4.1.10(a5) Fill cavities to the required density, as prescribed by the insulation manufacturer, to achieve the required R-value.

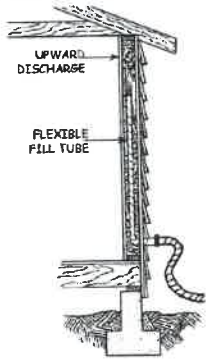

FIG. 38-3: FILL TUBE METHOD

4.1.10(a6) Dense pack requirements:

- Install cellulose material to a minimum density of 3.5 pounds at 50 pascals per cu. ft. as measured using Building Performance Institute (BPI) 102 "Standard for Air Resistance of Thermal Insulation Used in Retrofit Cavity Applications—Material Specification" or American Society of Testing and Materials (ASTM) C 522, E 283, or E 2178.
- Install loose fiberglass material specifically approved for airflow resistance to a minimum density of 1½–2 lbs. per cu. ft.
- Confirm that the number of bags installed matches the number required on the manufacturer's coverage chart.

4.1.10(b) Nozzle fill method—Exterior and interior wall installation

4.1.10(b1) Use a directional nozzle to direct the flow of insulation (Fig. 38-4).

- Exception: A straight nozzle is allowed when, due to the characteristics of the blowing equipment, a higher density fill can be achieved with a straight nozzle than with a directional nozzle.

4.1.10(b2) Completely fill all portions of all fillable cavities to required density, as prescribed by insulation manufacturer, to achieve the required R-value.

4.1.10(b3) Fill hole size shall conform with manufacturer's specifications.

4.1.10(b4) Insulation travel maximums:

- Downward 48"
- Upward 15"

4.1.10(b5) Fill all cavities large enough to be drilled.

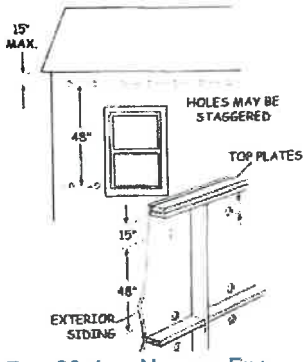

FIG. 38-4: NOZZLE FILL METHOD

4.1.11 Required R-Values

4.1.11(a) For all California Energy Commission (CEC) climate zones, R-value shall be installed in accordance with Table 38-1.

TABLE 38-1: INSULATION R-VALUE CRITERIA

Framing Type	Existing Insulation Level	Action
2x4	R-0	Increase to R-13
2x6	R-0	Increase to R-19

4.2. Installation Procedure

4.2.1 Preparation

4.2.1 (a) Before beginning an installation, the assessor shall inform the client of the inconvenience that may result and the condition in which the home will be left.

4.2.1 (b) Protection of the dwelling and its contents

4.2.1 (b1) Remove wall hangings and other items that may be jarred loose during pressure-filling.

4.2.1 (b2) Inspect all interior wall coverings and trim to make sure they are securely fastened to the wall.

- Re-set any loose nails and screws.
- Identify any areas of weakness where care must be taken while installing insulation.

4.2.1 (b3) Repair gaps and openings to prevent loose fill from entering the living space (Fig. 38-5).

- Caulk cracks and small holes, including plumbing and electrical penetrations.
- Repair large holes in interior surfaces (such as missing sheathing in cupboards and behind large appliances).

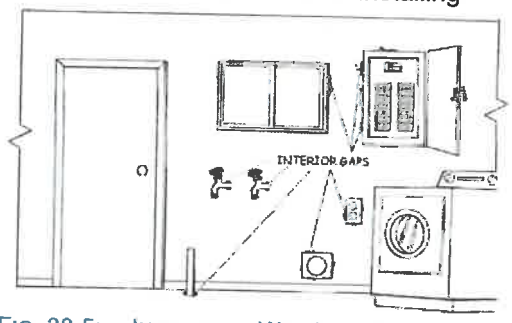

FIG. 38-5: INSULATION WILL LEAK THROUGH INTERIOR GAPS

4.2.1 (b4) When insulation is to be installed from the exterior:

- Carefully tie back shrubs/bushes as needed to access the full length of all wall cavities.
- When a garden is next to the home, make all feasible preparations to avoid damaging the plants (e.g., laying down planks to walk on, covering plants with plastic, etc.).
- To catch debris, place a cover (plastic sheeting, tarps, etc.) over the ground, starting at the edge of the wall and extending outward at least 12' (where possible).

4.2.1 (b5) When insulation is to be installed from the interior:

- Move furniture and home furnishings as needed to access the interior side of the walls (after obtaining the occupant's permission).
  - It is not necessary to move furniture that:
    - Is heavy and/or very difficult to move
    - Contains delicate belongings (e.g., a china hutch), unless the occupant removes the items that could be easily damaged
  - Cover furniture, appliances, electronic devices, etc. to protect them from dust.
  - Protect the pathway from the entrance door to the points of insulation with runners.
  - Exercise care to prevent damage to the home and furnishings by the loose fill insulation hose, ladders, dust, etc.

- Cupboards and closets
  - Access cupboards and closets as needed to pressure-fill the wall cavities inside them.
  - Personal belongings must be removed by the occupants (or by crew with permission from the occupant) to allow access.

4.2.2 Drill and Fill Precautions

4.2.2(a) When insulation will be installed from the exterior:

4.2.2(a1) Drilling hazards (e.g., wiring, venting, fuel piping) must be located

4.2.2(a2) The following exterior wall material shall not be drilled:

- Asbestos shingles and siding
- Metal siding
- Vinyl siding
- Brick
- Stone
- Adobe
- Exposed surfaces of wood shingles.
  - It is acceptable to remove the outermost shingle, drill and patch the weather-protected surface below, and reinstall or replace the outer shingle.

4.2.2(a3) Do not drill holes in shutters, facing, or trim.

4.2.2(a4) If wall contains lap siding or shingles, carefully unhook or remove one row.

4.2.2(a5) Drill the sheathing as needed and probe to locate each cavity, wall stud, and blocking.

4.2.2(a6) Neatly cut any vapor retarder installed and minimize air barrier and drainage plane disruption.

4.2.2(a7) Drilled holes will be large enough to accommodate an appropriately sized fill tube.

4.2.2(a8) Drill holes around the perimeter of the home:

- Parallel to the bottom plate under the lowest windowsill, when possible, an equal distance apart.
- Elsewhere as needed to reach cavities created by fire blocks and bracing

4.2.2(b) When insulation will be installed from the interior

4.2.2(b1) Only gypsum (drywall and plaster) and wooden wall sheathing shall be drilled.

4.2.2(b2) Take all reasonable precautions to minimize the generation of dust inside the home and to capture the dust that is created.

- Cut batts (e.g., for blocking open-top soffit walls) outdoors.
- Place a catch bag or high-efficiency particulate air (HEPA) filter vacuum beneath the drill to catch falling debris as holes are drilled.
- Create access holes through the interior wall surface in a straight horizontal line sufficient to access the cavity with fill tube without damaging the wall surface.
- The hole size shall be no more than ½" larger than the fill tube outside diameter.
- Vacuum away dust as it occurs.
- Match the inside diameter of the hole as closely as possible to the outside diameter of the nozzle.
- Wrap a cloth or other protective material around the nozzle to catch dust that blows out around the nozzle.
- After each cavity is filled, turn off the blower and close the nozzle valve before removing the nozzle from the wall.

4.2.3 Installing Insulation

4.2.3(a) Insulation blower set-up

4.2.3(a1) If the blowing machine is not truck-mounted, place it and the bags of insulation on tarps.

4.2.3(a2) Perform a blowing machine pressure test with the air on full, feed off, agitator running, and gate closed.

4.2.3(a3) If the site electrical supply is inadequate, use a portable generator.

4.2.3(a4) Set the hose outlet pressure to at least 80 inches of water column (IWC) or 2.9 lbs. per sq. in. (psi) for cellulose insulation. For other types of dense pack insulation, check manufacturer's specification for blowing machine set-up.

4.2.3(b) Cavities created by fire blocks and bracing

4.2.3(b1) Holes shall be drilled above and below all fire blocks and full-dimension cross braces to ensure that all portions of the wall are filled.

4.2.3(b2) Fill tube method

- A single hole may be drilled at the top or bottom of each portion of the cavity that is above and below the fire block or brace.

4.2.3(b3) Nozzle method

- A minimum of two holes are required for each cavity exceeding 63" in height.

4.2.3(c) Walls open to attic or crawlspace (balloon-framed)

4.2.3(c1) Block cavities with flexible batt material at both top and bottom, prior to injecting insulation through the wall.

4.2.3(c2) Bottom blocking shall be permanently secured to prevent insulation leakage.

4.2.3(d) Attic open to uninsulated soffits

4.2.3(d1) Refer to Section 37 Attic and Ceiling Insulation

4.2.3(e) Walls open to suspended ceilings

4.2.3(e1) Walls below a suspended ceiling

- Insulate the portion of the wall extending from the floor to the suspended ceiling with loose fill material.
  - Fill cavities through the open top with a fill tube or
  - Fill through side holes when cavities are blocked at the level of the suspended ceiling (to prevent loose fill from blowing onto the suspended ceiling).

4.2.3(e2) Walls above a suspended ceiling

- Insulate with flexible batt material.

4.2.3(f) Batt insulation of unfinished framed walls

4.2.3(f1) Batt placement and attachment

- The batts shall completely fill each cavity.
- Friction-fit batts may be installed without staples.
- Batts with a stapling flange shall be face stapled.
- The batts shall not be compressed.

4.2.3(f2) Vapor barrier

- Above-grade walls
  - Faced batts must have a facing rated ≤1 perm that is installed on the winter warm side.
  - Unfaced batts must have a vapor retarder installed on the winter warm side when required by the local jurisdiction.
- Below-grade walls (heated basement, etc.)
  - Vapor retarder placement shall be determined by a site-specific analysis of the factors governing moisture migration and conform with the local jurisdiction.

4.2.3 (f3) Insulation of small cavities

- Flexible batts and rigid foam
  - Insulate all cavities around windows and doors.
  - Cut insulation to fit snugly without compression.
  - Do not insulate cavities containing sash weights.

4.2.3 (f4) Insulation around pipes

- Flexible batts and rigid foam
  - Do not isolate pipes from the heated side.
  - In locations without freezing temperatures, pipes may be surrounded with insulation.
  - In locations with freezing temperatures, place insulation between pipes and the cold side.
    - Locations with freezing temperatures are those with a winter design temperature listed at or below 32°F in the CEC Reference Appendices or per the American Society of Heating, Refrigeration, and Air-Conditioning Engineers (ASHRAE).

4.2.4 Filling and Patching Walls

4.2.4 (a) Stucco, plaster, and gypsum walls

4.2.4 (a1) Install backing material in each hole to control the patch depth and isolate the patch from the insulation.

- Backing shall be foam backer rod, or equivalent.

4.2.4 (a2) Holes shall be patched and primed.

- Exception: Holes in interior unpainted gypsum (e.g., garage walls)
  - Primer is not required for filler material.
  - Flush mount plastic plugs are allowed when approved by the owner.

4.2.4 (b) Wood walls

4.2.4 (b1) Painted walls

- Plugs shall be used and shall be recessed at least ⅛" or the depth specified by the filler manufacturer
- Filler/patch shall be sealed with an appropriate primer.
  - Application of a separate primer is not required when a program-approved, self-priming filler is used.

4.2.4 (b2) Natural finish walls

- Plugs are required and shall be:
  - Made of wood which is compatible with siding.
  - Installed flush with the siding or sanded flush
  - Secured permanently with exterior-grade adhesive
  - Sealed against water damage

4.2.4 (c) Holes in moisture barrier

4.2.4 (c1) When siding is removed, patch all breaches in the moisture barrier.

4.2.4 (c2) Patching material shall have an equivalent perm rating.

4.2.4 (d) Reinstall or replace the siding boards or shingles (if applicable)

4.2.4 (d1) T-111 and equivalent siding

- This method may be used when all holes can be in perfect horizontal lines at acceptable distances below the top of the wall, and only when written consent is obtained from the owner:
  - Install a primed trim board centered over the holes.
  - The height of the trim will span from 1" above to 1" below the hole.

- Apply a continuous caulk seal above the holes and between the trim and the siding.
- Seal the top edge of the trim to the siding with a continuous caulk seal.

4.2.4(e) Painting over patches

4.2.4(e1) In addition to filling, patching and priming walls that have been drilled for insulation, the patched areas may be painted ("touched up") at the agency's discretion under Limited Home Repair. Refer to Section 1 General Installation Guidelines, Limited Home Repair.

- Touch-up paint must closely match the color of the remainder of the wall.
  - An exact match to the existing paint is not required.
- Painting over patches does not entail repainting the entire wall.

4.2.5 Insulation Certificate

4.2.5(a) An insulation certificate (CSD 610 Insulation Certificate) shall be completed and signed by the contractor responsible for installing the insulation.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.2 Before installing this measure, prior approval must be granted from the California Department of Housing and Community Development (HCD), or another authority having jurisdiction.

5.1.3 Wall Cavity Assessment

5.1.3(a) Wall cavities will be assessed for the following and, where necessary and feasible, problems will be corrected before work begins:

5.1.3(a1) Drilling hazards (e.g., wiring, venting, fuel piping)

5.1.3(a2) Moisture damage

5.1.3(a3) Presence of infestation or pests

5.1.3(a4) Location and integrity of wiring

5.1.3(a5) Holes to the interior and exterior

5.1.3(a6) Loose paneling or siding

5.1.3(a7) Location of belt rails

5.1.3(a8) Location of wall obstructions (switches, outlets)

5.1.3(a9) Existing insulation

5.1.3(a10) Wall hangings for removal during work

5.1.3(b) Problems will be corrected before work begins.

5.1.3(c) Drilling hazards (e.g., wiring, venting, fuel piping) shall be identified.

5.1.4 Electrical Wiring Verification

5.1.4(a) To the extent possible, inspect for unsafe wiring before removing metal siding beyond what is needed for inspection/evaluation and before removing existing insulation (when doing so is necessary to install new insulation).

5.1.4(a1) Indoors:

- Remove at least one receptacle and one switch cover plate on each wall.
- Inspect the wiring for loose connections, faulty conductors, or other unsafe conditions.
- Leave the cover plates off until the new insulation has been installed.

5.1.4(a2) Outdoors:

- Remove a sufficient number of fasteners to allow for inspection. (See Removal of fasteners.)
- Inspect the wiring by pulling back the siding and pushing the existing insulation out of the way from below.
- If the cavity will be insulated, leave the fasteners out.
- If the cavity cannot feasibly be insulated, install new fasteners to secure the siding. (Existing screws are not reinstalled.)

5.1.4(a3) If there is evidence of unsafe or hazardous wiring:

- Do not install new insulation in that cavity and do not remove the existing insulation.
- Mark the cavity on the outside as being not safe to insulate.
- Explain the reason for not insulating that cavity in the job paperwork.

5.1.5 Indoor Preparation for Mobile Home Insulation

5.1.5(a) After obtaining the client's permission, move the furniture as needed to access the interior side of all walls to be insulated.

5.1.5(b) It is not necessary to move furniture that:

5.1.5(b1) Is heavy and very difficult to move

5.1.5(b2) Contains delicate belongings (e.g., a china hutch), unless the client removes the items that could be easily damaged

5.1.5(c) Mask areas that may cause dust to spread on the interior.

5.1.5(d) Remove pictures and wall hangings as well as nails, screws, hooks, etc. that penetrate the wall paneling.

5.1.5(e) Inspect all paneling and trim to make sure they are securely fastened to the wall.

5.1.5(e1) Drive home any loose nails and screws.

5.1.5(e2) Identify any areas of weakness where care must be taken while installing insulation.

5.1.5(e3) Identify each location where it is unsafe to install insulation.

- Mark the cavity on the outside as being not safe to insulate.
- Describe location and explain the reason for not insulating that cavity in the job paperwork.
- Caulk cracks and small holes, including plumbing and electrical penetrations, and repair large holes in interior surfaces to prevent indoor air from entering the wall cavity.

5.1.5(f) Electrical boxes (switch and receptacle)

5.1.5(f1) Determine if the electrical boxes can be easily removed and remove them, if feasible, until after insulation has been installed.

5.1.5(f2) Remove screws from the boxes and pull the boxes out of the wall temporarily so they will not obstruct batt stuffing.

5.1.5(f3) Do not remove boxes that cannot be reinstalled and securely refastened.

5.1.5(g) Blocking

5.1.5(g1) Install blocking around:

- All openings into the undercarriage area and mobile home roof
- High-temperature, fire-rated materials
- Wiring and electrical hazards
- HPDs

5.1.6 Outdoor Preparation for Mobile Home Insulation

5.1.6(a) Accessing wall cavities

5.1.6(a1) Drill sheathing as needed and probe the cavity to locate each cavity, wall stud, and blocker.

5.1.6(a2) When accessing wall cavities, mask the interior of the home to control dust during drilling.

5.1.6(b) Carefully tie back shrubs/bushes as needed to access the bottoms of all wall cavities.

5.1.6(c) When a garden is next to the mobile home, make all feasible preparations to avoid damaging plants (e.g., laying down planks to walk on, covering plants with plastic, etc.).

5.1.6(d) When outdoor steps for an entrance door interfere with siding access, temporarily remove the steps if permission is given by the client.

5.1.6(e) If a deck or other obstruction prevents access to any siding panels:

5.1.6(e1) Bypass those panels, and

5.1.6(e2) Describe the location and explain the reason for not insulating those cavities in the job paperwork.

5.1.6(f) To catch debris, place a cover (plastic sheeting, tarps, etc.) over the ground, starting at the edge of the skirting and extending outward at least 12'.

5.1.6(g) If not truck-mounted, place the blowing machine and bags of insulation on tarps.

5.2. Installation Procedure

5.2.1 Mobile Home Installation Methods

5.2.1(a) Batt "stuffing" method

5.2.1(a1) Wood siding

- Follow the applicable criteria for conventional homes.

5.2.1(a2) Metal siding

- Installation shall be attempted only when the depth of the stud cavity allows for the installation of new, 3½"-thick, high-density fiberglass blankets/batts.
- Until it has been determined that wall insulation is feasible for the mobile home, siding removal is limited to what is necessary to establish feasibility.
  - Mobile homes built after 1976 have 3½"-thick wall studs, which can accept retrofit 3½"-thick batts.
  - Pre-1976 mobile homes may have 2½"-thick wall studs and/or ventilated metal siding and shall not be insulated when ventilated metal siding is present.
    - When installed, new insulation will be made to fit the size of the cavity.
    - Existing insulation shall be removed only when necessary to allow for installation of new high-density batts.
  - Very old mobile homes may have 1½"-thick studs and/or ventilated metal siding.
    - Retrofit wall insulation is not feasible.
- Fabricate a stuffing tool (used to push the fiberglass insulation into an enclosed wall cavity) made with a strip of polycarbonate (e.g., Lexan), approximately 5⁄16" thick
  - Do not use other clear sheet plastics due to a tendency to shatter under stress.
  - Dimensions:
    - 1' wide by 8' long for full-length cavities
    - 1' wide by 4' long for shorter cavities (under windows, etc.).

        - Bent at a 5°–15° angle, 7½"–12" from one end.
            - For plastic, apply indirect heat at the bend location to achieve the angle.
        - Round all corners and sand all edges of the polycarbonate
- Removal of fasteners
    - Access the bottom of metal siding—vertical panels
        - If skirting overlaps siding, skirting will be detached to allow access to the wall cavity.
        - Remove metal siding fasteners until the siding can be pulled away from the framing approximately 6" without damaging the siding).
            - Remove the bottom two rows of screws.
            - When full-length panels are secured to the framing with staples (approximately 4' up the wall cavity), remove the staples (e.g., with a long pry bar).
- Fasten adjacent panels together at the bottom with one ½" sheet metal screw on each side.
    - These screws keep panels from pulling apart sideways when they are pried away from the framing to insert insulation.
    - These screws are especially important for interlocking panels.
- Remove the perimeter flashing (fascia strip) below the bottom of the siding.
    - Remove the flashing if it is secured with screws removed from the bottom of siding panels and if removal is necessary to facilitate installation of new insulation batts.
    - If removed, mark each piece so it can be replaced in the location from which it was removed.
- Access the bottom of metal siding—horizontal panels
    - Remove the bottom section of the siding to gain access to the wall cavities.
    - If sub-sheathing is present under the siding, access through the sub-sheathing will be required.
- Examine Wall Cavities
    - Remove the existing insulation.
    - Before installing new insulation, inspect the interior of each wall cavity for moisture damage, deterioration, obstructions, and adequate accessibility.
    - Inspect all interior surfaces of outside walls for loose paneling joints, occupant wall hangings, locations of switches and outlets, and other wall obstructions.
    - Remove objects from the interior surfaces of the walls being insulated.
    - Repair interior paneling as necessary.
    - If the framing and interior paneling are intact and electrical wiring or water pipes do not pose a problem, proceed with the insulation procedure.

5.2.1(a3) Installation of new blanket/batt insulation

- Blanket/batt insertion
    - Insulation length: 8" longer than the height of the cavity being stuffed.
    - The thickness of the batt should fill the void without deforming the siding or damaging the structure.
    - A poly-encased fiberglass batt may be used in place of the fiberglass batt and membrane assembly.
    - The membrane will be installed in contact with the side of the wall that is compatible with the local climate zone (winter warm side).

- Membrane (plastic sheeting):
  - Cut the plastic sheeting 2" wider than the cavity and 1' longer than the batt. (It is required to facilitate sliding the batts up into the wall cavities.)
- Place the unfaced blanket/batt on top of the plastic membrane.
- Place the stuffing tool (of the appropriate length) on top of the batt with the angled end facing upward.
- Fold the first 6" of plastic membrane and fiberglass batt over the angled end of the stuffing tool.
- Pull the metal siding outward and away from the wall framing.
- Put the side of the batt with the plastic membrane against the interior paneling. (The stuffing tool is on the outer surface of the batt.)
- Using the stuffing tool to push the batt upward:
- Stuff the insulation into the wall cavity all the way to the top
  - If obstructions impede movement, work the tool to get past them
  - After the batt reaches the top of the cavity, pull the stuffing tool back down and out of the wall.
- Allow the extra length of batt to hang below the siding to identify the cavities that have been stuffed. (Do not stuff the bottom ends of the batts into the wall cavities until after all cavities have been insulated.)
- Repeat the stuffing procedure for each accessible cavity.

5.2.1(a4) Interior observation

- As insulation is stuffed into a cavity or the cavity is pressure-filled, the location must be observed from the inside so appropriate action can be taken if paneling is being bulged out or pushed loose.

5.2.1(a5) Wall closure after insulation is completed

- At each wall cavity where the extra length of a batt is hanging below the siding:
  - Push the batt into the bottom of the wall cavity to fill and insulate it
  - Press the siding panels back into place, making sure they interlock as designed

5.2.1(a6) Repair subsheathing as necessary.

5.2.1(a7) Replace the perimeter flashing (fascia strip), if removed.

5.2.1(a8) Reattached the siding in the original position without bulges or wrinkles.

5.2.1(a9) Install new screws that are longer and thicker than the original screws in all screw locations to tightly secure the panels in place. (Do not reuse the original screws.)

5.2.1(a10) If skirting was removed, reinstall to shed water to the outside of the skirting.

5.2.2 Limited Access Procedures—Blanket/Batt Insertion

5.2.2(a) If a condition in the wall cavity makes it unsafe or unfeasible to safely and properly install new batts:

5.2.2(a1) Cut the batt narrower or shorter so it will fit in the available area or

5.2.2(a2) Bypass that cavity, describe the location, and explain the reason for not insulating it in the job paperwork.

5.2.2(b) Cavities with electrical wiring and plumbing

5.2.2(b1) Insulate the cavity only when wiring and plumbing defects are not present.

5.2.2(b2) Take appropriate precautions to avoid damaging wiring or piping.

5.2.2(c) Cavities with window, fan, or other obstruction

5.2.2(c1) Stuff the insulation up to the obstruction.

5.2.2(c2) When the bottom of siding panels above a window/obstruction can be accessed (screws removed and paneling pulled away) without removing the window/ obstruction, fill those cavities the same as siding panels accessed from floor level.

5.2.2(c3) When siding panels above a window/obstruction cannot feasibly be accessed from the bottom, access them from the top:

- Remove the screws at the top of the panels.
- Remove the drip edge and/or other components as needed to access the cavities from the top.
- Pull back the panels and stuff the batts downward to fill the cavities.
- Reinstall the components that were removed.
- Secure the siding and components with new screws that are longer and thicker than the original screws.
- Apply sealant as needed to ensure a watertight seal in all seams/joints/screws where components were removed and replaced.

5.2.3 Limited Access Locations—Pressure-Fill

5.2.3(a) Purpose

5.2.3(a1) To fill cavities in which batt stuffing is not feasible (too narrow, obstructed, or inaccessible), such as:

- Cavities near corners and doors, where siding is difficult to loosen and pull back.
- Cavities that are particularly tight due to belt rails, wiring, windows, and other obstructions.

5.2.3(b) Procedure

5.2.3(b1) If skirting overlaps the siding, remove the skirting.

5.2.3(b2) Loosen the bottom of the wall panel(s) enough for fill tube access.

5.2.3(b3) Temporary fasteners will be installed near the bottom of the siding panels at the seams to keep panels from separating.

5.2.3(b4) If sub-sheathing is present under the siding, access through the sub-sheathing will be required.

5.2.3(b5) Insert the fill tube from the bottom of the wall cavity to within 6" of the top of the cavity between the interior paneling and any existing insulation.

- Position the tube so its natural curvature presses the top of its angle-cut tip against the interior paneling.
- If the tube hits a belt rail or other obstruction, twist the tube slightly to help get it past the obstruction.
- If the wall cavity is known to contain electrical wiring or plumbing, care must be taken to avoid snagging the tube or causing damage.

5.2.3(b6) Place a short piece of batt to block the bottom of the panel access and prevent loose fill from blowing out.

5.2.3(b7) An observer must be stationed indoors during the filling process to watch for paneling bulges and loosening of the edges/trim.

5.2.3(b8) Carefully pressure-fill the wall cavity, using less pressure than for conventional home wall cavity fill.

- Install insulation to a density of 1.5–1.6 lbs. per cu. ft.
- Draw the fill tube downward about 6" at a time when:
  - The blower fan slows down due to back pressure and/or
  - Insulation flow through the hose slows down and/or
  - There is slight bulging of the exterior siding or interior paneling
- Fill 100% of each cavity to a consistent density.
- Immediately turn off the blower or withdraw the tube if the insulation flow stops and/or excessive bulging occurs.
- Avoid over-filling the bottom of the cavity, then stuff the blocking batt in to insulate that area.

5.2.3(b9) Patch and repair the sub-sheathing as necessary.

5.2.3(b10) Remove any loose fill from the outer edges of the studs before securing the metal siding to them.

5.2.3(b11) Reattach the siding without bulges or wrinkles.

5.2.3(b12) Install new screws in all screw locations to tightly secure the siding panels in place. (Do not reuse the original screws.)

5.2.3(b13) If skirting was removed, reinstall the skirting to shed water to the outside.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Procedure

6.1.1 When only an individual multi-family unit will be served, this measure is not feasible.

6.1.2 Installation requirements for multi-family buildings are the same as those for conventional homes.

6.1.3 Installation in common areas (e.g., in hallways, a lobby, a shared kitchen, etc. within the same thermal boundary as dwelling units) is allowed when justified by the DOE Priority List or an energy audit for a whole-building project. See Appendix D Energy Audit/Priority List Protocol.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure may be a DOE Audit path, audit driven measure, or Priority List path, Mandatory measure.

7.1.2 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.4 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.5 To assess for this measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.5(a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.5(b) When assessing this measure for the Audit path, measure feasibility will be decided by the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.5(b1) When the measure is feasible based on the audit, and the measure is categorized as a "Major" measure (i.e., Infiltration Reduction, Duct Sealing, Ceiling Insulation, Floor Insulation, and Wall Insulation), the measure shall be installed or the dwelling must be deferred.

7.1.5(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.5(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.6 If a client refuses a feasible Major Audit path measure, Mandatory Priority List path measure, or Health & Safety measure, the entire dwelling shall be deferred.

7.1.7 The R-value of added insulation shall be:

7.1.7(a) A minimum R-value set by Table 38-1

7.1.7(b) A maximum R-value as defined by energy audit

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP except as specified below.

TABLE 38-2: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
CONDITIONED SUBSPACES					
4.0402.1d, 4.0402.1g	Conditioned Subspaces	Ensure wall vapor retarder will lap underneath the ground vapor retarder connection to the foundation wall.	X		X
4.0402.1e	Conditioned Subspaces	Install insulation to prescribed R-value in full contact with the foundation wall from ceiling to floor with vapor retarder facing the conditioned space. If installing multiple layers, offset seams by a minimum of 12" and seal the seams and joints of each layer before installing the next layer	X		X
4.0402.1f,	Conditioned Subspaces	Mechanically attach insulation to foundation wall.	X		X
4.0402.1h	Conditioned Subspaces	If termite pressure exists, maintain a 3" inspection gap from the top of the insulation to the bottom of any wood.	X		X
CONDITIONED SUBSPACES - INSULATING AT RIM/BAND JOISTS					
4.0401.2b, 4.0402.1b	Rim/Band Joist Insulation	Select insulation that has a class II vapor retarder facing and that has a flame spread and smoke development index of 25/450 or less. Select encapsulation material that is a permanent air barrier, a class II vapor retarder, and has a smoke development index of 450 or less when tested in accordance with ASTM E84 or UL 723.	X		X

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Combustion appliance safety testing must be performed upon completion of all measures that affect air tightness of home, per Appendix A Combustion Appliance Safety Protocol.

8.1.2 Pressure-fill insulation

8.1.2(a) During and after installation, the interior of the home shall be checked for wall damage and accidental leakage of insulation material.

8.1.2(b) During and after installation, a representative sample of utility switch/outlet boxes shall be checked for loose fill.

8.1.2(b1) If loose fill insulation is found, check all accessible boxes and remove the insulation.

8.1.2(c) Completed wall insulation cavities shall be confirmed to have an even level of insulation at the prescribed R-value.

8.1.2(d) Interior closets and cupboards shall be checked for loose fill material.

8.1.2(e) All loose fill material accidentally blown into the home shall be removed.

8.1.2(f) All interior and exterior damage caused by insulating shall be repaired.

8.1.2(g) Electrical cover plates removed for inspection shall be reinstalled.

8.1.2(h) Any cover plates damaged or broken during insulation installation shall be replaced.

8.1.2(i) Dense pack verification

8.1.2(i1) The number of bags installed shall be confirmed and shall match the number required on the manufacturer's coverage chart.

8.1.2(i2) Completed wall sections will be viewed using infrared camera with blower door operating

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8.1.2(i3) Any voids or low-density areas shall be drilled and re-packed.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 A copy of the completed CSD 610 Insulation Certificate must be provided to the client.

8.3. Clean-Up and Disposal Requirements

8.3.1 Upon completion, the residence shall be returned to its original condition and left free of job-related dust and debris inside and out.

8.3.2 A high-efficiency particulate air (HEPA) filter vacuum shall be used for all vacuuming.

8.3.3 Access inside the living space

8.3.3(a) All areas between indoor work areas and the home entrance shall be vacuumed.

8.3.4 Access outside the living space

8.3.4(a) All areas between the access and the insulation truck shall be swept or vacuumed.

8.3.5 Return dwelling to its original state:

8.3.5(a) Indoors

8.3.5(a1) Remove coverings (e.g., plastic sheeting) from furniture, appliances, electronic devices, etc.

8.3.5(a2) Remove scraps and debris, and vacuum clean all areas affected by the insulation process.

8.3.5(a3) Return to their original position any household furnishings moved to perform the job.

8.3.5(b) Outdoors

8.3.5(b1) Untie bushes, etc., and return them to their original condition.

8.3.5(b2) Remove plastic covers from plants and remove walking planks from garden beds.

8.3.5(b3) Remove all leftover insulation, packaging materials, plastic sheeting, insulation scraps, debris, ground covers/tarps, tools, and equipment.

8.3.6 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP:

9.1.1(a) Dense pack/rigid/full batt in airtight cavities—20 years

9.1.1(b) All other types—Not applicable to this measure

9.1.2 DOE:

9.1.2(a) Dense pack/rigid/full batt in airtight cavities—30 years

9.1.2(b) All other types—20 years

9.2 All insulation shall be:

9.2.1 Certified to comply with the California Code of Regulations, Title 24, Part 12, Chapter 12–13, "Standards for Insulating Material."

9.2.2 Rated with a flame spread and smoke development index of 25/450 or less in accordance with ASTM E84 or UL 723.

9.3 Flexible and Rigid Materials

9.3.1 Non-absorbent, fire-rated insulation with a minimum life expectancy of 10 years shall be used.

9.3.2 Flexible mineral fiber shall conform to ASTM C665.

9.3.3 High density fiberglass board shall conform to ASTM C726.

9.3.4 Rigid foam shall be pre-formed, foil-faced polyisocyanurate board that conforms to Federal Specification (FS) HH-I-1972/1.

9.3.5 Facing shall meet applicable code requirements.

9.4 Loose-Fill Materials

9.4.1 Loose-fill fiberglass will meet a flame spread rating of 25 or less and a smoke development rating of 450 or less when tested in accordance with ASTM E84.

9.4.2 Loose-fill mineral fiber shall conform to ASTM C764.

9.4.3 Loose-fill cellulose shall be licensed for sale in California and listed in the Department of Consumer Affairs "Directory of Certified Insulation Materials."

9.5 Vapor Retarder (Membrane)

9.5.1 Minimum 6-mil plastic sheeting with an appropriate perm rating for the region.

9.6 Filling and Patching/Plugging

9.6.1 Use materials appropriate for the application.

9.6.1(a) Exterior-grade for all exterior applications

9.6.1(b) Compatible with the surrounding material

9.6.1(c) Installed in accordance with manufacturer's instructions

9.6.1(d) Finished to blend with the surrounding wall

9.6.2 Plugs shall:

9.6.2(a) Be compatible with the siding

9.6.2(b) Not be vented

9.6.2(c) Be resistant to shrinkage and expansion

10. WARRANTY

10.1 Manufacturer—Limited lifetime

10.2 Contractor—1 year

39. Floor Insulation

Table of Contents

1. **MEASURE OBJECTIVES** 39-1

2. **INSTALL THIS MEASURE WHEN:** 39-1

2.1. Repair 39-1

2.2. Install 39-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** 39-1

4. **INSTALLATION GUIDELINES** 39-1

4.1. General Requirements 39-1

4.1.4 Fire Hazards *39-2*

4.1.8 K&T Wiring *39-2*

4.1.9 New Insulation *39-2*

4.1.10 Conditions Requiring a Vapor Retarder *39-2*

4.2. Installation Procedure 39-3

4.2.1 Protection of the Dwelling and Its Contents *39-3*

4.2.2 Preparation of Crawlspace and Joists *39-3*

4.2.3 Water Pipes and Heating, Ventilation and Air Conditioning (HVAC) Ducts *39-3*

4.2.4 Gas Appliances in the Crawlspace *39-3*

4.2.6 Installation of Insulation *39-3*

4.2.6(a) All insulation types 39-3

4.2.6(b) Flexible insulation 39-4

4.2.6(c) Loose fill and dense pack insulation 39-4

4.2.6(d) Rigid insulation 39-4

4.2.7 Supports and Anchors for Flexible Insulation *39-4*

4.2.7(c) Spring wire support rods ("lightning rods") 39-4

4.2.7(d) Wire support with anchor points 39-5

4.2.7(e) Woven wire or netting support 39-5

4.2.8 Installation of Vapor Retarder *39-5*

4.2.9 Alternatives to Standard Floor Insulation *39-6*

4.2.9(a) Basement wall insulation 39-6

4.2.9(b) Underfloor insulation where no foundation wall exists 39-6

4.2.10 Crawlspace Sign Requirement *39-6*

4.2.10(b) Crawlspace sign content 39-6

4.2.11 Insulation Certificate *39-6*

5. MOBILE HOME–SPECIFIC 39-7
5.1. Installation Requirements 39-7
5.1.9 Approved Installation Methods 39-7
5.1.9(b) Cavity fill 39-7
5.1.9(c) Rim joist injection 39-7
5.1.9(d) Flexible (batt) replacement 39-7
5.1.10 Insulation R-Value 39-7
5.1.11 Conditions Requiring a Vapor Retarder 39-7
5.1.12 Preparation of Crawlspace 39-7
5.1.13 Vapor Retarder Installation Procedure: 39-8
5.1.14 Water Pipes and HVAC Ducts 39-8
5.1.15 Cavity Fill Installation Method 39-8
5.1.16 Rim Joist Installation Method 39-9
5.1.17 Flexible Batt Installation Method 39-9
5.1.18 Rodent Barrier Repair 39-10

6. MULTI-FAMILY–SPECIFIC 39-11
6.1. Installation Requirements 39-11

7. DOE-SPECIFIC 39-11
7.1. Assessment Requirements 39-11
7.2. Installation Requirements 39-11

8. POST-INSTALLATION GUIDELINES 39-12
8.1. Quality Check 39-12
8.2. Client Education 39-13
8.3. Clean-Up and Disposal Requirements 39-13

9. MATERIAL SPECIFICATIONS 39-13

10. WARRANTY 39-15

Floor Insulation

1. MEASURE OBJECTIVES

1.1 Floor insulation slows the transfer of heat through the thermal boundary, reducing the amount of heat entering the home on a warm day and the amount of heat loss on a cold day.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 The floor separates conditioned and unconditioned space and

2.2.2 At least 100 sq. ft. of floor is feasible to insulate (no functional insulation existing) or

2.2.2(a) If the crawlspace access is uninsulated but the floor has adequate insulation, the cover shall be insulated as a Limited Home Repair - ECM Support item. See Section 1 General Installation Guidelines, Limited Home Repair Policy.

2.2.2(a1) Exception: When insulation is unfeasible due to a safety condition in the crawlspace (e.g., presumed asbestos, knob-and-tube wiring, etc.), insulation shall not be added to the access cover.

2.2.3 Insulation has a savings-to-investment ratio (SIR) ≥1.0 as proven by an energy audit

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The existing insulation R-value is measured to be adequate

3.2 One or more of the following conditions are present and have not been (or cannot be) corrected:

3.2.1 An exhaust system (including a gas or electric clothes dryer) terminates in the crawlspace and cannot be vented to the outdoors per Section 1 General Installation Guidelines, Limited Home Repair

3.2.2 A combustion appliance safety (CAS) hazard, or CAS fail per Appendix A Combustion Appliance Safety Protocol

3.2.3 Structural defects, such as deteriorated or substandard floor framing or sheathing

3.2.4 Hazardous conditions, such as standing water or sewage, mold, fuel leaks, plumbing leaks, or electrical hazards

3.2.5 Inadequate crawlspace venting that cannot be corrected per Section 41 Crawlspace Ventilation

3.2.6 Knob-and-tube (K&T) wiring is present and has not been certified safe for encapsulation or permanently disconnected by a licensed C-10 electrical contractor, per the Section 1 General Installation Guidelines, Knob & Tube (K&T) Wiring Guidelines

3.3 Installation would violate the Appendix E Health and Safety Requirements

3.4 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Crawlspace ventilation may be installed in conjunction with floor insulation, or as a stand-alone measure, per Section 41 Crawlspace Ventilation, General Requirements.

4.1.2 This measure is a whole-building measure. In single-family dwellings (1-4 units) and multi-family buildings (with 5+ units), the whole building must be served for crawlspace insulation to be installed. See Appendix D Energy Audit/Priority List Protocol.

4.1.2(a) Under the Low Income Home Energy Assistance Program (LIHEAP), when an energy audit will not be conducted, crawlspace insulation may be installed for a unit in a duplex, tri-plex, or four-plex only when there are no shared crawlspaces between dwelling units (i.e., the crawlspaces are separated by a complete and continuous pressure boundary or firewall and the units have separate heating and/or cooling units).

4.1.3 Audited Measures

4.1.3(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded, it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.3(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.4 Fire Hazards

4.1.4(a) If existing insulation is a potential fire hazard due to insulation covering heat-producing devices (HPDs) or combustion ventilation air (CVA) vents, these fire hazards shall be corrected by field personnel. See Section 1 General Installation Guidelines, Fire hazards and venting obstructions.

4.1.5 All air leakage locations (including duct and shell leaks, and thermal bypasses in the floor) shall be sealed prior to installation of insulation per Section 32 Infiltration Reduction and Section 8 Ducting Repairs, Sealing and Insulation.

4.1.6 All repairs or installations requiring crawlspace access shall be completed before insulation is installed.

4.1.7 Crawlspace must be accessible in accordance with the clearance requirements for attics and crawlspaces identified in the Section 1 General Installation Guidelines, Attic and Crawlspace Accessibility.

4.1.8 K&T Wiring

4.1.8(a) If a C-10 electrician certifies the K&T wiring is safe for encapsulation, Section 1 General Installation Guidelines, Knob & Tube (K&T) Wiring Guidelines shall apply.

4.1.9 New Insulation

4.1.9(a) New insulation shall be installed according to Table 39-1.

TABLE 39-1: INSULATION REQUIREMENTS IN ALL CLIMATE ZONES

Insulation Criteria	Existing R-Value	Increase to
Floor Insulation	No existing	R-19
Crawlspace Access Cover	No existing	R-19

4.1.9(b) When floor insulation is unfeasible, insulation shall not be added to the access cover as a Limited Home Repair.

4.1.10 Conditions Requiring a Vapor Retarder

4.1.10(a) A vapor retarder shall be installed in conjunction with floor insulation when:

4.1.10(a1) Required by the local jurisdiction

4.1.10(a2) Specified by floor insulation type in this standard

4.1.10(a3) Installed in an unvented crawlspace, unless not required by the local jurisdiction

4.1.10(b) Basements with exposed soil floor shall have ground cover over soil, unless vented and dry, or excluded by local code.

4.2. Installation Procedure

4.2.1 Protection of the Dwelling and Its Contents

4.2.1(a) When crawlspace access is indoors, protect the pathway from the entrance door to the crawlspace access with runners.

4.2.1(b) When entry is through an access inside a closet, remove or cover the clothing and other personal property.

4.2.1(c) Cut batts outside the living space or inside the crawlspace.

4.2.1(d) When carrying batts, enclose batts in plastic or other method to prevent releasing fibers in the living area.

4.2.2 Preparation of Crawlspace and Joists

4.2.2(a) Remove all vegetation and organic material, unnecessary material, and debris from the crawlspace (e.g., rake the crawlspace) and dispose of it properly.

4.2.2(b) Remove any obstacles, fasteners, or protruding objects that will prevent insulation from fully and continously contacting the bottom of the floor joist.

4.2.3 Water Pipes and Heating, Ventilation and Air Conditioning (HVAC) Ducts

4.2.3(a) In locations without freezing temperatures, surround the pipes with insulation (Fig. 39-1).

4.2.3(b) In locations with freezing temperatures, place insulation between the pipes and the cold side.

4.2.3(b1) Locations with freezing temperatures are those with winter design temperatures listed at or below 32°F in the California Energy Commission (CEC) Residential Manual, or per the American Society of Heating, Refrigeration, and Air-Conditioning Engineers (ASHRAE).

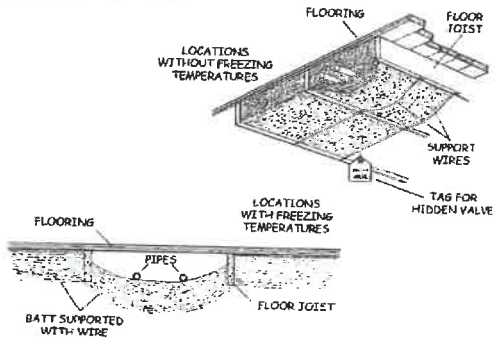

FIG. 39-1: PIPE INSULATION WITH AND WITHOUT FREEZING TEMPERATURES

4.2.3(c) Tag water valves if they are covered by insulation.

4.2.3(d) Installation of water pipe heaters is not allowed.

4.2.3(e) Insulate ducts located within joist cavities in accordance with Section 8 Ducting Repair, Sealing, and Insulation.

4.2.4 Gas Appliances in the Crawlspace

4.2.4(a) Maintain ≥3" horizontal clearance from vent pipes.

4.2.4(b) Maintain ≥6" clearance from draft hood.

4.2.5 Interior Crawlspace Access Cover

4.2.5(a) Flexible or rigid insulation, with an R-value equal to floor insulation, shall be attached to the cover.

4.2.6 Installation of Insulation

4.2.6(a) All insulation types

4.2.6(a1) Insulation shall be installed in contact with the subfloor without gaps, voids, compressions, misalignments, or wind intrusions.

4.2.6(a2) Combustion air supply openings or crawlspace vents shall not be obstructed by insulation.

4.2.6(a3) Maintain minimum 3" clearance from HPDs.

4.2.6(a4) Setback from crawlspace vents (Fig. 39-2):

- 12" clearance without barrier
- 3" clearance with barrier made of corrosion-resistant sheet metal (e.g., 0.007" thick aluminum flashing)

4.2.6(b) Flexible insulation

4.2.6(b1) If faced batts are used, facing is placed against the subfloor.

4.2.6(c) Loose fill and dense pack insulation

4.2.6(c1) A rigid air barrier or fabric/netting barrier will be mechanically fastened to underside of floor assembly, providing 100% coverage of the floor assembly, and capable of supporting installed insulation without failure.

- Seams and penetrations will be sealed.

4.2.6(c2) Insulation will be installed between the air barrier and the subfloor/air barrier to 100% of cavity capacity.

4.2.6(c3) Dense pack and loose fill of finished floor cavities (blind fill)

- Drill cavities and pressure-fill with loose-fill insulation using a directional nozzle or fill tube.
  - Space holes for maximum 2' horizontal insulation travel beyond the nozzle.
  - Provide 100% coverage at the density prescribed by the manufacturer.
- Fill all portions of fillable cavities completely.
- Plug and patch holes as prescribed in Section 38 Wall Insulation.

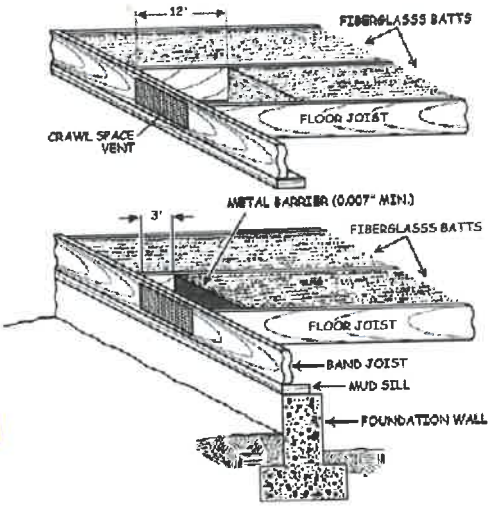

FIG. 39-2: SETBACK FROM CRAWLSPACE VENTS

4.2.6(d) Rigid insulation

4.2.6(d1) Rigid insulation must be mechanically fastened to the bottom of the subfloor or floor joists.

4.2.6(d2) Where rigid insulation is installed between joists (bottom of the subfloor), air seal the perimeter of each joist bay.

4.2.6(d3) Rigid foam plastics used as insulation shall incorporate a thermal and ignition barrier as required by local building code.

4.2.6(d4) A continuous air barrier must be installed below the insulation and to the exterior.

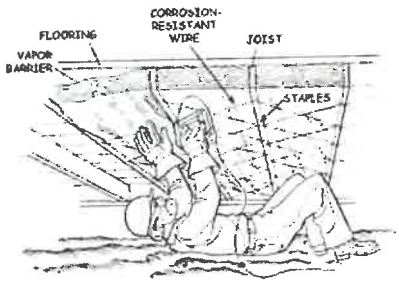

FIG. 39-3: SUPPORTING FLEXIBLE INSULATION

4.2.7 Supports and Anchors for Flexible Insulation

4.2.7(a) Size and space all support types so insulation does not sag and lose contact with sheathing (Fig. 39-3).

4.2.7(b) Install supports with 10% maximum compression of insulation.

4.2.7(c) Spring wire support rods ("lightning rods")

4.2.7(c1) Rods shall be:

- Cut to length for proper support without excessive compression
- Installed under pressure, with minimum 1/16" joist penetration
- Arched upward
- Placed within 4" of each end of a batt and spaced elsewhere a maximum of 18" apart

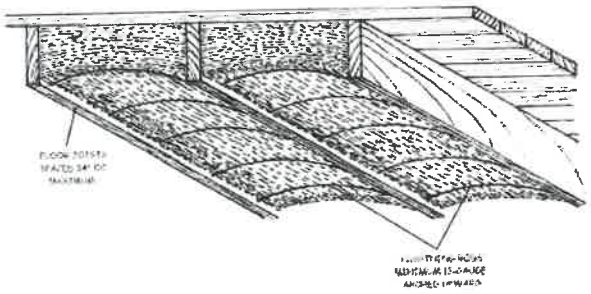

FIG. 39-4: SPRING WIRE SUPPORT RODS

4.2.7(c2) See Fig. 39-4.

4.2.7(c3) On joists >24" on center (OC), spring wire support rods are not allowed.

4.2.7(d) Wire support with anchor points

4.2.7(d1) Wire shall be a minimum of 20-gauge and corrosion-resistant.

4.2.7(d2) For joists ≤24" OC, span cavities in a zig-zag pattern with anchor points spaced a maximum of 18" apart.

4.2.7(d3) For joists ≥25" OC, span cavities in a zig-zag pattern with anchor points spaced a maximum of 12" apart.

- Staple insulation facing to the subfloor.

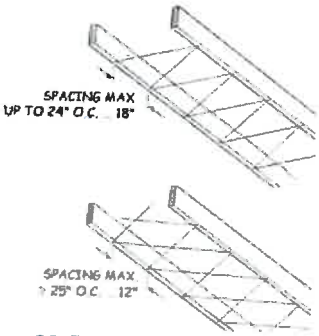

FIG. 39-5: INSTALLATION OF WIRE SUPPORT

4.2.7(d4) See Fig. 39-5.

4.2.7(e) Woven wire or netting support

4.2.7(e1) Anchor woven wire support to the joist every 12".

4.2.7(e2) The support shall not sag more than 1" per 24" of span in any direction.

4.2.7(e3) See Fig. 39-6.

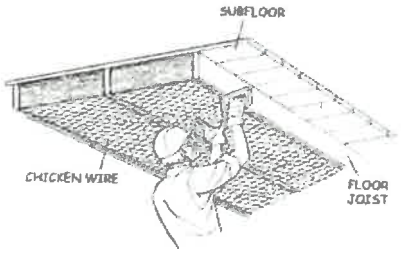

FIG. 39-6: INSTALLATION OF WOVEN WIRE

4.2.8 Installation of Vapor Retarder

4.2.8(a) When required by the local jurisdiction, install a Class I of Class II vapor retarder (e.g., ≥6-mil sheet polyethylene) over the earth in the crawlspace with 100% coverage after all work in the crawlspace has been completed (Fig. 39-7).

4.2.8(b) Existing undamaged ground cover is an acceptable alternative to vapor retarder if it is at least 4 mil thick.

4.2.8(c) Repair all plumbing leaks and pooling moisture before installing a vapor retarder.

4.2.8(d) Vapor retarder shall not:

4.2.8(d1) Obstruct any combustion air supply

4.2.8(d2) Interfere with the established drainage

- Interior drainage collection points must be accessible from above and below the ground vapor retarder.

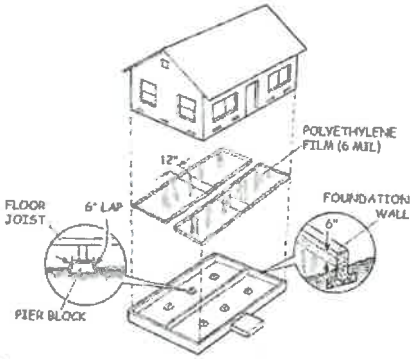

FIG. 39-7: INSTALLATION OF VAPOR RETARDER

4.2.8(e) Cover 100% of crawlspace earth and air permable foundation material with the vapor retarder.

4.2.8(f) Overlap joints by 12" using a "reverse" or "upslope lapping" technique.

4.2.8(f1) Maintain a 3" inspection gap between the top of the soil gas retarder and any wood, if required by the local jurisdiction.

4.2.8(f2) Install ballasts or weights to secure it on the ground where movement is likely with ballast materials that are smooth and free from protrusions.

4.2.8(g) Fasten vapor retarder/ground moisture barrier to the ground with durable fasteners or ballast(s).

4.2.8(h) Extend the vapor retarder 6" up the foundation wall and piers (i.e., solid core block, brick, or poured concrete).

4.2.8(h1) Extend the soil gas retarder over all air-permeable foundation walls or piers (i.e., hollow core block, brick, or rubble) except when the local jurisdiction requires a termite inspection gap

4.2.8(h2) Seal it to all foundation walls and piers with a compatible material that creates an airtight, durable seal. Use mechanical foundation connections where feasible.

- The vapor retarder shall not touch untreated wood members.

4.2.8(h3) For wall-to-floor connection, install the wall vapor retarder under the ground vapor retarder.

- Secure the vapor retarder in place with durable fasteners or tape a minimum of every 8'.

4.2.8(h4) If tape is used to secure polyethylene, the sheeting must be clean before applying tape, and the tape must adhere to it.

4.2.8(i) Seal seams and all penetrations using a lapped-patching technique and with a durable sealant that is compatible with the retarder (e.g., tape or adhesive) to ensure a tight seal.

4.2.8(j) Prevent punctures during installation

4.2.9 Alternatives to Standard Floor Insulation

4.2.9(a) Basement wall insulation

4.2.9(a1) No ground water leakage shall be present.

4.2.9(a2) Install a continuous air barrier on the warm side of the insulation.

4.2.9(a3) When absorbent insulation materials are installed, the assembly must remain vapor-permeable to the interior in all climate zones.

4.2.9(b) Underfloor insulation where no foundation wall exists

4.2.9(b1) If the insulation will be exposed to rain, snow, etc., do not install it unless the exposure can be corrected within the scope of the weatherization program.

4.2.9(b2) If the insulation will be exposed to wind and animals:

- Insulate with batts or foil-clad foam board (Fig. 39-8)
- Support batts with woven wire or a minimum 70-perm breathable cover

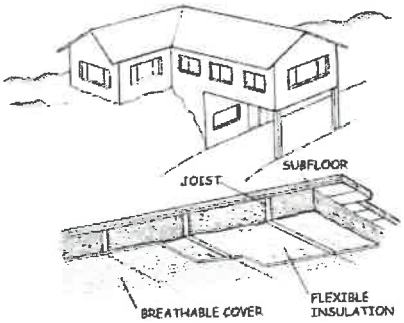

FIG. 39-8: UNDERFLOOR INSULATION WHERE NO FOUNDATION WALL EXISTS

4.2.10 Crawlspace Sign Requirement

4.2.10(a) A durable (10-year life expectancy), and legible sign (minimum 8½" x 11") shall be posted at all accesses to the crawlspace when floor insulation and/or a vapor retarder is installed.

4.2.10(b) Crawlspace sign content

4.2.10(b1) Those entering the crawlspace must be cautioned not to damage the air barrier, ground vapor retarder, insulation, and mechanical components specific to the crawlspace type.

4.2.10(b2) Immediate repairs are needed in the case of damage. Installer contact information must be included on the sign to address questions or repairs.

4.2.10(b3) Language prohibiting the storage of hazardous/toxic and flammable materials in the crawlspace shall be included on the sign.

4.2.11 Insulation Certificate

4.2.11(a) An insulation certificate (CSD 610 form) shall be completed and signed by the contractor responsible for installing the insulation.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.2 Before installing this measure, prior approval must be granted from the California Department of Housing and Community Development (HCD), or another authority having jurisdiction.

5.1.3 The bellyboard must be capable of supporting the added weight of insulation and blower pressure.

5.1.4 The undercarriage must be protected from the environment by sheathing or rodent-proof skirting

5.1.5 This measure is not allowed if an enclosed (finished) floor cavity requiring blind fill has a heat-producing device (HPD) that cannot be properly protected and provided with a 3" clearance

5.1.6 Crawlspace ventilation must conform with Department of Housing and Urban Development (HUD) code when floor insulation is installed. If existing ventilation is inadequate/non-conforming, it must be corrected per Section 41 Crawlspace Ventilation.

5.1.7 Before floor insulation is installed, abandon unducted belly-cavity returns, and install a central ducted return in conformance with Appendix B Duct Leakage Testing Protocol.

5.1.8 When required by HUD code, a vapor barrier shall be installed after insulation has been installed.

5.1.9 Approved Installation Methods

5.1.9(a) Rigid or flexible insulation shall not be installed under the bellyboard.

5.1.9(b) Cavity fill

5.1.9(b1) Belly cavity fill through the bellyboard (rodent barrier) is the preferred insulation method.

5.1.9(c) Rim joist injection

5.1.9(c1) Rim joist injection through ends or sides of mobile home is acceptable.

5.1.9(c2) All interior areas not accessible from the outside perimeter shall be accessed through the belly.

5.1.9(d) Flexible (batt) replacement

5.1.9(d1) Damaged and missing flexible insulation shall be replaced with new flexible insulation. Restore or replace the rodent barrier.

5.1.10 Insulation R-Value

5.1.10(a) New insulation shall bring the level up to the “final R-value” required by Table 39-1.

5.1.11 Conditions Requiring a Vapor Retarder

5.1.11(a) A vapor retarder is installed in conjunction with floor insulation when:

5.1.11(a1) Ground water problems exist

5.1.11(a2) Required by the local jurisdiction

5.1.11(a3) Specified by floor insulation type in this standard

5.1.11(b) Installation of a vapor retarder is not required when only ventilation is installed as a stand-alone measure.

5.1.12 Preparation of Crawlspace

5.1.12(a) Where accessible for inspection, ensure the following:

5.1.12(a1) Duct sealing is completed

5.1.12(a2) Gas, water, and electrical lines are secured at least every 4' to a floor joist or framing member

5.1.12(a3) Water line will be located on the warm side of the insulation; if not, the water lines will be insulated appropriately

5.1.12(a4) No water or gas leaks are present

5.1.12(a5) Waste lines are sloped to ¼" per foot

5.1.12(a6) Holes and penetrations in the bottom board and decking are sealed

5.1.12(a7) Bottom board/rodent barrier is sound/strong enough to support insulation

5.1.12(b) Problems will be corrected before floor cavity insulation work begins.

5.1.13 Vapor Retarder Installation Procedure:

5.1.13(a) When installation of a ground cover is required:

5.1.13(a1) Properly install skirting around the entire perimeter

5.1.13(a2) Extend extremities a minimum of 6" up the inside of the existing skirting

5.1.13(a3) Attach vapor barrier to existing skirting with adhesive caulk or mechanical means

5.1.14 Water Pipes and HVAC Ducts

5.1.14(a) Water pipes shall not be isolated from the warm side of the added insulation (See Fig. 39-1).

5.1.14(b) Tag water valves if they are covered by insulation.

5.1.14(c) Installation of water pipe heaters is not allowed.

5.1.15 Cavity Fill Installation Method

5.1.15(a) All areas shall be insulated except those occupied by ducts, plenums, combustion air intakes, or other obstructions.

5.1.15(b) All regulations restricting placement of insulation in cavities containing aluminum wiring shall be observed.

5.1.15(c) Access

5.1.15(c1) Bellyboard penetration is preferred in all cases.

5.1.15(c2) Penetration is required to insulate all interior areas not accessible through the rim joists.

5.1.15(c3) Holes cut for inspection purposes shall also be used for fill tube.

5.1.15(c4) Existing damage holes shall be used for fill tube access when feasible.

5.1.15(c5) Make additional penetrations, as needed, to achieve complete coverage.

5.1.15(c6) Access point spacing

- Space holes to accommodate the directional nozzle or fill tube utilized.
- Maximum insulation travel beyond fill tube or nozzle shall be 2'.

5.1.15(c7) Hole size

- Make holes of sufficient size to properly accommodate the directional nozzle and/or fill tube.

5.1.15(d) Installation

5.1.15(d1) Recommended nozzle and fill tube size: 2" outside diameter, 1½" inside diameter

5.1.15(d2) Flexible fill tube shall be no more than 2' shorter than the length of the cavity being filled.

5.1.15(d3) Directional nozzle shall cover 2' of cavity depth in each direction.

5.1.15(d4) Installer shall be equipped with a remote-control switch to control the blowing machine.

5.1.15(d5) Insulate each cavity to specified R-value and density.

5.1.15(d6) The number of bags installed will be confirmed and will match the number required on the manufacturer's coverage chart.

5.1.15(e) Insulation hole repair

5.1.15(e1) Repair all bellyboard holes with material equivalent or superior to the existing bellyboard.

5.1.15(e2) Securely attach all bellyboard material to create a complete and permanent seal.

5.1.16 Rim Joist Installation Method

5.1.16(a) Rim joist penetration is an acceptable method when joist size and condition allow for safe and proper installation.

5.1.16(b) This method is used to insulate joist cavities or portions of cavities which have unobstructed access from the outside perimeter.

5.1.16(c) A combination of cavity fill (belly) and joist penetrations shall be used as needed to achieve cavity coverage.

5.1.16(d) Access

5.1.16(d1) Penetration points shall be those that provide the most accessibility.

5.1.16(d2) Remove bottom wall to expose the rim joist.

5.1.16(d3) When necessary, unfasten and carefully pull back exterior siding.

5.1.16(d4) Rim joist access shall be considered not feasible if it will result in visible damage to the siding.

5.1.16(e) Access point spacing

5.1.16(e1) End and side joists

- Drill one access point for each floor joist cavity.
- Locate access points as close as possible to the vertical center of the rim joist to minimize structural weakening.
- Exercise care in access point placement to avoid damage to plumbing and electrical lines attached or adjacent to the rim joist.

5.1.16(e2) Side rim joists

- Access adjacent joist cavities alternately from opposite sides of the mobile home, as feasible, to minimize the number of holes in each rim joist.
- Rim joist holes shall not exceed the size limitations in Table 39-2:

5.1.16(e3) Recommended nozzle and fill tube size is 2" outside diameter, 1½" minimum inside diameter.

5.1.16(e4) The fill tube shall be no more than 2' shorter than the length of the cavity being filled.

TABLE 39-2: RIM JOIST HOLE SIZE LIMITATIONS

Joist Size	Maximum Hole Size
2" x 8"	2½"
2" x 6"	2"
2" x 4"	Not allowed

5.1.16(e5) The installer shall be equipped with a remote-control switch to control the blowing machine

5.1.16(e6) Insulation access point repair

- Install solid wood plugs in all fill holes.
- Secure plugs with exterior-rated glue or sealant.

5.1.17 Flexible Batt Installation Method

5.1.17(a) Access

5.1.17(a1) Ensure complete accessibility of floor cavity.

5.1.17(a2) Remove damaged insulation and all remnants of bottom board.

5.1.17(a3) Clean floor cavities.

5.1.17(b) Installation

5.1.17(b1) Exposed HVAC ducts shall be protected with insulation and rodent barrier.

5.1.17(b2) If insulation has facing, install facing in contact with the heated side.

5.1.17(b3) Install insulation in contact with subfloor.

5.1.17(b4) Support insulation (e.g., metal insulation supports) to maintain a permanent contact with subfloor.

5.1.17(b5) Notch insulation around all wires, pipes, and blocks.

5.1.17(b6) Insulate ducts and water lines for climate conditions.

5.1.17(b7) Locate water lines above the warm side of the insulation (toward the conditioned space), when feasible.

5.1.17(b8) Insulation will not have gaps, voids, or be compressed.

5.1.17(c) Air Barrier

5.1.17(c1) A rigid air barrier will be installed in contact with the bottom of the joists, when feasible.

5.1.17(c2) Rigid air barrier will be fastened as to not sag, bend, or fall off.

5.1.17(c3) Seams, holes, and joints in the air barrier will be sealed.

5.1.17(c4) In cases where HVAC ducts hang below the level of the rigid air barrier and insulation, the ducts will be insulated and air barrier provided that is sealed to the rigid air barrier.

5.1.18 Rodent Barrier Repair

5.1.18(a) After undercarriage insulation is installed the rodent barrier shall be sealed, repaired, or replaced.

5.1.18(b) Repair of flexible rodent barrier

5.1.18(b1) Secure and seal all repair materials by means of self-adhesive backing, caulk, or other suitable adhesive sealant.

5.1.18(b2) Patches shall be additionally secured mechanically with one or more of the following as needed to ensure permanence:

- Outward clinch ("stitch") staples or equivalent spaced to permanently and securely attach the patch directly to the existing bellyboard
- Fasteners penetrating the wooden joists a minimum of ½" and spaced a maximum of 4" OC
- Wooden strips attached with screws into floor joists, or wedged above adjacent girders, or otherwise permanently secured

5.1.18(b3) Place Underwriters Laboratories (UL) 181B-FX butyl tape or other sealant around the perimeter, as needed, to ensure a complete and permanent seal.

5.1.18(c) Repair of rigid rodent barrier

5.1.18(c1) Seal repair material with suitable caulk and secured mechanically.

5.1.18(c2) Approved mechanical attachments include:

- Fasteners that penetrate the wooden joists a minimum of ¾" and are spaced a maximum of 6" OC
- Wooden strip supports that span beyond the patch and secure mechanically into the framework above
- Wedging of patching material between the existing bellyboard and the metal framing of the undercarriage
- Fasteners that penetrate only the existing bellyboard, for small patches in high density material
- A combination of methods which will provide a stable, permanent repair

5.1.18(d) Penetrations in the belly board patch (ducts and pipes)

5.1.18(d1) Seal penetrations with UL 181B-FX butyl tape or equivalent.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 When only an individual multi-family unit will be served, this measure is not feasible.

6.1.2 Installation requirements for multi-family buildings are the same as those for conventional homes.

6.1.3 Installation of insulation within the same thermal boundary as dwelling units is allowed when justified by an energy audit for a whole-building project. See Appendix D Energy Audit/Priority List Protocol.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure may be a DOE Audit path, audit driven measure, or a Priority List path, Mandatory measure.

7.1.2 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.4 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.5 To assess for this measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.5(a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.5(b) When assessing this measure for the Audit path, measure feasibility will be decided by the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.5(b1) When the measure is feasible based on the audit, and the measure is categorized as a "Major" measure (i.e., Infiltration Reduction, Duct Sealing, Ceiling Insulation, Floor Insulation, and Wall Insulation), the measure shall be installed or the dwelling must be deferred.

7.1.5(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.5(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.6 If a client refuses a feasible Major Audit path measure, Mandatory Priority List path measure, or Health & Safety measure, the entire dwelling shall be deferred.

7.1.7 The R-value of added insulation shall be:

7.1.7(a) A minimum R-value set by Table 39-1

7.1.7(b) A maximum R-value as defined by energy audit

7.1.8 Crawlspace ventilation will only be installed in conjunction with floor insulation per Section 41 Crawlspace Ventilation.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP except as specified below.

TABLE 39-3: DOE INSTALLATION REQUIREMENTS

SF#	Component	Specification	SF	MH	MF
ALL INSTALLATIONS: ACCESSIBLE AND EXPOSED FLOORS					
4.0301.1c, 4.0301.2c	General Preparation	Install flags that can be seen below the floor joists at any utility junctions that will be covered by insulation.	X	X	X
ACCESSIBLE FLOORS: CANTILEVERED FLOORS					
4.0301.6c	General Preparation	Install airtight blocking between each floor joist at the interior edge of the exterior wall plate.	X	X	X
4.0301.6f	Rigid Barrier	Mechanically fasten a continuous, airtight, rigid air barrier to underside of floor assembly to enclose the cavity that is suitable to withstand weather, moisture, and pest contact.	X	X	X
4.0301.6g	Exterior Soffit	Install durable exterior soffit material over the rigid enclosure materials.	X	X	X
ACCESSIBLE FLOORS: DENSE PACKING, WITH RIGID BARRIER					
4.0301.4e	Dense Pack in Joisted Cavities With Rigid Barrier	Secure backing material using mechanical fasteners, spaced a maximum of 6" apart, that penetrate the sub framing a minimum of 1".	X	X	X
EXPOSED FLOORS					
4.0302.1g 4.0302.2e	Post-Installation	When a rigid barrier is required, mechanically fasten a continuous rigid barrier to the underside of the floor assembly that is suitable to withstand weather, moisture, and pest contact, and with a fire-resistance rating equal to the resistance rating of the original floor assembly.	X	X	X
4.0302.1h, 4.0302.2h, 4.0388.1j	Post-Installation	When a rigid barrier is required, seal all seams, joints, connections, penetrations, etc. in rigid protective barrier with compatible sealant. Stuff any gaps larger than 1/4" with copper metal mesh or steel wool prior to sealing. Cover exposed corners of the rigid protective barrier with reinforced hardware cloth or metal board bead.	X	X	X
FOUNDATION SKIRTING					
4.0388.1b	Foundation Skirting	Select materials that are corrosion and rot resistant, compatible with existing surfaces, and pest resistant. Select materials that are rated for ground contact if they touch the ground.	X	X	
4.0388.1f	Foundation Skirting	Install support material as needed to adequately support new skirting to prevent failure under wind or snow loads but that allows for expansion, contraction, and frost heaving.	X	X	
4.0388.1h	Foundation Skirting	Install flashing that directs bulk water away from the dwelling and to outside skirting. Seal flashing to dwelling with compatible sealant.	X	X	
4.0388.1i	Foundation Skirting	Install skirting that meets the prescribed R-value.	X	X	
4.0388.1j	Foundation Skirting	Stuff any gaps larger than 1/4" with copper metal mesh or steel wool prior to sealing.	X	X	

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Combustion appliance safety testing must be performed upon completion of all measures that affect air tightness of home, per Appendix A Combustion Appliance Safety Protocol.

8.1.2 The required clearance zones for HPDs and crawlspace venting shall be unobstructed by insulation or vapor retarder.

8.1.3 Completed floor insulation sections shall be confirmed to have an even level of insulation at the prescribed R-value.

8.1.4 There shall be no voids, gaps, or separations from the sub-floor.

8.1.5 Installed insulation shall not be compressed more than 10% to negatively impact the efficiency of the insulation R-value.

8.1.6 The number of bags of insulation installed shall be confirmed and must match the number required on the manufacturer's coverage chart.

8.1.7 If installed as a condition of permit, the ground vapor retarder shall cover the entire crawlspace floor, be properly secured with the correct overlap, and have no gaps or separations.

8.2. Client Education

8.2.1 A copy of the completed CSD 610 Insulation Certificate must be provided to the client.

8.2.2 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.3 Unless virgin resin or reinforced material ≥10 mil was installed, the client shall be advised that the vapor retarder is biodegradable, will have a life span much shorter than the home (approximately 5 years), and will need to be replaced to remain effective.

8.3. Clean-Up and Disposal Requirements

8.3.1 Upon completion, the residence shall be returned to its original condition and left free of job-related dust and debris indoors and outdoors.

8.3.1(a) All areas between indoor work areas and the home entrance shall be vacuumed.

8.3.1(b) The area between the home entrance/access and the insulation truck shall be swept or vacuumed.

8.3.2 A high-efficiency particulate air filter vacuum shall be used for all vacuuming.

8.3.3 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP:

9.1.1(a) Loose and batt types installed in fully closed, air-tight cavities—20 years

9.1.1(b) Rigid insulation—20 years

9.1.1(c) All other types including loose fill and batt not installed in fully closed, air-tight cavities—Not applicable to this measure

9.1.2 DOE:

9.1.2(a) Loose and batt types installed in fully closed, air-tight cavities—30 years

9.1.2(b) Rigid insulation—30 years

9.1.2(c) All other types including loose fill and batt not installed in fully closed, air-tight cavities—20 years

9.2 All insulation materials shall be:

9.2.1 Approved for sale in California and certified to comply with the material specifications in the California Code of Regulations, Title 24, Part 12, Chapters 12–13, article 3, "Standards for Insulating Material."

9.2.2 Rated with a flame spread and smoke development index of 25/450 or less in accordance with ASTM E84 or UL 723.

9.2.2(a) Backing material shall have a smoke development index of 450 or less when tested in accordance with ASTM E84 or UL 723.

9.2.2(b) When a rigid barrier is used in combination with loose fill insulation, the rigid barrier must be permanent and support the installed insulation weight without failure.

9.3 Insulation material used in mobile homes will be non-corrosive and of minimal water absorbency.

9.4 Mineral Fiber

9.4.1 Batts shall conform to American Society of Testing and Materials (ASTM) C665 for material and facing (including flame spread and smoke density).

9.4.2 Loose fill shall conform to ASTM C764 and ASTM E84.

9.5 Cellulose loose fill shall be listed in the Department of Consumer Affairs' "Directory of Certified Insulation Materials."

9.6 Rigid insulation and support materials shall:

9.6.1 Have a flame spread and smoke development index of 75/450 or less when tested in accordance with ASTM E84 or UL 723

9.6.2 Be pre-formed polyisocyanurate board, foil-faced on both sides, that conforms with Federal Standard (FS) HH-1-1972/1 or

9.6.3 Be high-density fiberglass board that conforms with ASTM C726

9.7 Vapor retarder shall be:

9.7.1 In accordance with tear- and puncture-resistance standard ASTM E1745

9.7.2 LIHEAP or DOE: Class I vapor retarder with a perm rating of ≤0.1

9.7.2(a) Can be ≥6 mil sheet polyethylene or unperforated aluminum foil (e.g., foil/scrim/kraft)

9.7.3 LIHEAP: Class II vapor retarder with a perm rating of 0.1–1.0 (semi-impermeable)

9.7.3(a) Can be sheet polyethylene

9.8 Insulation cover shall be a minimum 70-perm breathable cover.

9.9 Supports and Anchors

9.9.1 All attachment materials shall be corrosion resistant have a minimum expected service life of 10 years.

9.9.1(a) DOE: Minimum service life of 20 years

9.9.2 Staples shall be ≥18-gauge, minimum ¼" crown for lath or ⅜" crown for other supports, and provide ≥⅝" joist penetration.

9.9.3 Nails shall be galvanized with ≥⅝" joist penetration.

9.9.4 Wire supports shall be minimum 20-gauge galvanized wire.

9.9.5 Woven wire shall be galvanized wire.

9.9.6 Polypropylene netting shall have ≥75-lb. breaking strength.

9.9.7 Spring Wire Support Rods ("Lightning Rods") for Flexible Insulation Types

9.9.7(a) Spring steel wire with chisel points (lightning rods, wirestays)

9.9.7(b) Minimum 13-gauge

9.10 Foundation vents shall conform with Section 41 Crawlspace Ventilation.

9.10.1 New or modified vents shall be covered with ¼" weave galvanized mesh.

9.11 Access Cover Insulation

9.11.1 Refer to Table 39-1.

9.12 Crawlspace Access Door/Cover

9.12.1 Refer to Section 32 Infiltration Reduction, Material Specifications.

10. WARRANTY

10.1 Manufacturer—Limited lifetime

10.2 Contractor—1 year

40. Attic Ventilation

Table of Contents

1. **MEASURE OBJECTIVES** **40-1**

2. **INSTALL THIS MEASURE WHEN:** **40-1**
   - 2.1. Repair 40-1
   - 2.2. Install 40-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **40-1**
   - 3.1. Do Not Repair 40-1
   - 3.2. Do Not Install 40-1

4. **INSTALLATION GUIDELINES** **40-1**
   - 4.1. General Requirements 40-1
     - 4.1.8 Vent Composition 40-2
     - 4.1.10 Reduction Factors 40-3
   - 4.2. Vent Tables 40-3
     - 4.2.3 Rectangular Gable Vents 40-4
     - 4.2.4 Triangular Gable Vents 40-5
     - 4.2.5 Turbine Vents 40-6
     - 4.2.6 Round Vents (Bird Holes) 40-7
     - 4.2.7 Round Vents with Louvers 40-7
     - 4.2.8 Eave Vents 40-8
     - 4.2.9 Soffit Vents 40-8
     - 4.2.10 Mushroom Vents 40-9
     - 4.2.11 Hood Vents and Roof Jacks 40-10
     - 4.2.12 Eyebrow Vents 40-10
     - 4.2.13 Dormer Vents 40-11
     - 4.2.14 Roof Ridge Vents 40-12
   - 4.3. Repair Procedure 40-12
   - 4.4. Installation Procedure 40-12
     - 4.4.1 Order of Installation 40-12
     - 4.4.2 Attic Vent Placement—All Vents 40-13

5. **MOBILE HOME–SPECIFIC** **40-14**
   - 5.1. Installation Requirements 40-14

6. **MULTI-FAMILY–SPECIFIC** **40-14**
   - 6.1. Installation Requirements 40-14

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7. DOE-SPECIFIC 40-14
7.1. Assessment Requirements 40-14
7.2. Installation Requirements 40-14

8. POST-INSTALLATION GUIDELINES 40-14
8.1. Quality Check 40-14
8.2. Client Education 40-14
8.3. Clean-Up and Disposal Requirements 40-15

9. MATERIAL SPECIFICATIONS 40-15

10. WARRANTY 40-15

Attic Ventilation

1. MEASURE OBJECTIVES

1.1 In warm temperatures, attic ventilation expels solar-heated hot air to lessen the cooling load. In cool temperatures, attic ventilation vents out moisture build-up.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 The existing mesh is missing or has tears or gaps

2.2. Install

2.2.1 No attic ventilation exists, or the existing ventilation is inadequate or

2.2.2 When replacing smaller weave mesh with larger weave mesh for additional net free ventilation area (NFVA)

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1. Do Not Repair

3.1.1 Repair of the mesh would make the NFVA inadequate

3.2. Do Not Install

3.2.1 The existing attic ventilation is adequate and functioning properly

3.2.2 The attic is inaccessible, or there is inadequate clearance per Section 1 General Installation Guidelines, Attic and Crawlspace Accessibility

3.2.3 The exhaust system venting that terminates in the attic, unless it can be vented outdoors under Section 1 General Installation Guidelines, Limited Home Repair

3.2.4 The roof is unsound or unsafe, roofing material is likely to be damaged, or roof leaks exist

3.2.5 There are no suitable locations to install attic venting. For example:

3.2.5(a) Tiled, metal, or wood shingles/shakes

3.2.5(b) A hip roof that does not have an overhang, soffit, or accessible frieze blocks

3.2.5(c) A roof in poor condition, e.g., more than three layers of roofing exist

3.2.5(d) A flat or low-slope built-up roof

3.2.6 Installation would violate the Appendix E Health and Safety Requirements

3.2.7 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Attic ventilation may be installed as a stand-alone measure or in conjunction with ceiling insulation.

4.1.2 Audited Measures

4.1.2(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded, it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.2(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.3 The presence of an effective air barrier and thermal boundary between the attic and the living space must be verified by the assessor.

4.1.4 Replacing smaller weave mesh vents with larger weave mesh screen is allowed if additional NFVA is required.

4.1.5 Additional vents or larger vents can be added if screen size is smaller than designated.

4.1.6 Venting used for combustion ventilation air (CVA) must remain unobstructed.

4.1.7 Knob-and-tube (K&T) wiring: When K&T wiring is present in the attic, follow the requirements in Section 1 General Installation Guidelines, Knob & Tube (K&T) Wiring Guidelines.

4.1.8 Vent Composition

4.1.8(a) Screens must be clean, and vents must be free of insulation and other obstructions.

4.1.8(b) On new and replaced vents, ⅛"–¼" mesh screen is required.

4.1.9 Amount of Attic Ventilation

4.1.9(a) The required NFVA shall conform with local code.

4.1.9(b) The existing attic NFVA shall be calculated using the NFVA tables, reduction factors, and NFVA calculations for specific vent types in the following sections.

4.1.9(c) Total NFVA of the openings:

4.1.9(c1) 1 sq. ft. of NFVA is required per 150 sq. ft. of ceiling area with cross-ventilation (as defined in Attic Vent Placement—All Vents) (Table 40-1).

4.1.9(c2) 1 sq. ft. of NFVA per 300 sq. ft. of ceiling area is allowed when one or more of the following conditions are met with cross-ventilation (Table 40-2):

- Condition 1: Upper venting comprises 40%–50% of attic venting, with upper vents located within 3' of the ridge or the highest point of the space. The balance of the venting shall be lower venting.
- Condition 2: In climate zones 14 and 16, when a Class I or II vapor retarder is installed on the winter warm side.

4.1.9(c3) Local code requirements apply if more stringent.

TABLE 40-1: SQ. FT. OF NFVA FOR A 1:150 RATIO

Area Length \ Area Width	10'	12'	14'	16'	18'	20'	22'	24'	26'	28'	30'	32'	34'	36'	38'	40'
10'	0.7	0.8	0.9	1.1	1.2	1.3	1.5	1.6	1.7	1.9	2.0	2.1	2.3	2.4	2.5	2.7
12'	0.8	1.0	1.1	1.3	1.4	1.6	1.8	1.9	2.1	2.2	2.4	2.6	2.7	2.9	3.0	3.2
14'	0.9	1.1	1.3	1.5	1.7	1.9	2.1	2.2	2.4	2.6	2.8	3.0	3.2	3.4	3.5	3.7
16'	1.1	1.3	1.5	1.7	1.9	2.1	2.3	2.6	2.8	3.0	3.2	3.4	3.6	3.8	4.1	4.3
18'	1.2	1.4	1.7	1.9	2.2	2.4	2.6	2.9	3.1	3.4	3.6	3.8	4.1	4.3	4.6	4.8
20'	1.3	1.6	1.9	2.1	2.4	2.7	2.9	3.2	3.5	3.7	4.0	4.3	4.5	4.8	5.1	5.3
22'	1.5	1.8	2.1	2.3	2.6	2.9	3.2	3.5	3.8	4.1	4.4	4.7	5.0	5.3	5.6	5.9
24'	1.6	1.9	2.2	2.6	2.9	3.2	3.5	3.8	4.2	4.5	4.8	5.1	5.4	5.8	6.1	6.4
26'	1.7	2.1	2.4	2.8	3.1	3.5	3.8	4.2	4.5	4.9	5.2	5.5	5.9	6.2	6.6	6.9
28'	1.9	2.2	2.6	3.0	3.4	3.7	4.1	4.5	4.9	5.2	5.6	6.0	6.3	6.7	7.1	7.5
30'	2.0	2.4	2.8	3.2	3.6	4.0	4.4	4.8	5.2	5.6	6.0	6.4	6.8	7.2	7.6	8.0
32'	2.1	2.6	3.0	3.4	3.8	4.3	4.7	5.1	5.5	6.0	6.4	6.8	7.3	7.7	8.1	8.5
34'	2.3	2.7	3.2	3.6	4.1	4.5	5.0	5.4	5.9	6.3	6.8	7.3	7.7	8.2	8.6	9.1
36'	2.4	2.9	3.4	3.8	4.3	4.8	5.3	5.8	6.2	6.7	7.2	7.7	8.2	8.6	9.1	9.6
38'	2.5	3.0	3.5	4.1	4.6	5.1	5.6	6.1	6.6	7.1	7.6	8.1	8.6	9.1	9.6	10.1
40'	2.7	3.2	3.7	4.3	4.8	5.3	5.9	6.4	6.9	7.5	8.0	8.5	9.1	9.6	10.1	10.7

TABLE 40-2: SQ. FT. OF NFVA FOR A 1:300 RATIO

Area Length	Area Width 10'	12'	14'	16'	18'	20'	22'	24'	26'	28'	30'	32'	34'	36'	38'	40'
10'	0.3	0.4	0.5	0.5	0.6	0.7	0.7	0.8	0.9	0.9	1.0	1.1	1.1	1.2	1.3	1.3
12'	0.4	0.5	0.6	0.6	0.7	0.8	0.9	1.0	1.0	1.1	1.2	1.3	1.4	1.4	1.5	1.6
14'	0.5	0.6	0.7	0.7	0.8	0.9	1.0	1.1	1.2	1.3	1.4	1.5	1.6	1.7	1.8	1.9
16'	0.5	0.6	0.7	0.9	1.0	1.1	1.2	1.3	1.4	1.5	1.6	1.7	1.8	1.9	2.0	2.1
18'	0.6	0.7	0.8	1.0	1.1	1.2	1.3	1.4	1.6	1.7	1.8	1.9	2.0	2.2	2.3	2.4
20'	0.7	0.8	0.9	1.1	1.2	1.3	1.5	1.6	1.7	1.9	2.0	2.1	2.3	2.4	2.5	2.7
22'	0.7	0.9	1.0	1.2	1.3	1.5	1.6	1.8	1.9	2.1	2.2	2.3	2.5	2.6	2.8	2.9
24'	0.8	1.0	1.1	1.3	1.4	1.6	1.8	1.9	2.1	2.2	2.4	2.6	2.7	2.9	3.0	3.2
26'	0.9	1.0	1.2	1.4	1.6	1.7	1.9	2.1	2.3	2.4	2.6	2.8	2.9	3.1	3.3	3.5
28'	0.9	1.1	1.3	1.5	1.7	1.9	2.1	2.2	2.4	2.6	2.8	3.0	3.2	3.4	3.5	3.7
30'	1.0	1.2	1.4	1.6	1.8	2.0	2.2	2.4	2.6	2.8	3.0	3.2	3.4	3.6	3.8	4.0
32'	1.1	1.3	1.5	1.7	1.9	2.1	2.3	2.6	2.8	3.0	3.2	3.4	3.6	3.8	4.1	4.3
34'	1.1	1.4	1.6	1.8	2.0	2.3	2.5	2.7	2.9	3.2	3.4	3.6	3.9	4.1	4.3	4.5
36'	1.2	1.4	1.7	1.9	2.2	2.4	2.6	2.9	3.1	3.4	3.6	3.8	4.1	4.3	4.6	4.8
38'	1.3	1.5	1.8	2.0	2.3	2.5	2.8	3.0	3.3	3.5	3.8	4.1	4.3	4.6	4.8	5.1
40'	1.3	1.6	1.9	2.1	2.4	2.7	2.9	3.2	3.5	3.7	4.0	4.3	4.5	4.8	5.1	5.3

4.1.10 Reduction Factors

4.1.10(a) When the vent manufacturer does not provide NFVA, use Table 40-3 and the area of the vent opening to determine NFVA.

4.1.10(a1) Example: An eave vent has a ¼" screen (no louvers) with a vent opening (excluding the frame) that is 2½" x 17".

- The screened opening is 2½" x 17" = 42.5 sq. in.
- Table 40-3 shows the reduction factor for a vent with ¼" screen and no louvers is 90%.
- 42.5 sq. in. x 0.90 = 38.25 sq. in.
- Divide sq. in. by 144 to calculate sq. ft.: 38.25/144 = 0.27 sq. ft. of NFVA.

TABLE 40-3: SCREEN AND LOUVER NFVA REDUCTION FACTORS

¼" Screen, No Louvers	⅛" Screen, No Louvers	1/16" Screen, No Louvers	Metal Louvers with or without ¼" or ⅛" Screen	Wood Louvers with or without ¼" or ⅛" Screen
0.90 (90%)	0.75 (75%)	0.50 (50%)	0.75 (75%)	0.25 (25%)

4.2. Vent Tables

4.2.1 Table 40-4 through Table 40-22 can be used to determine the NFVA provided by a particular type and size of vent. The NFVA shown includes the reduction factor and is given in sq. ft.

4.2.2 When vent measurements are between the sizes listed, calculate manually.

4.2.3 Rectangular Gable Vents

4.2.3(a) Example: (Fig. 40-1, Table 40-4, and Table 40-5)

4.2.3(a1) If a 16" x 14" rectangular gable vent is to be installed, first find the 16" height in the left column of Table 40-4. Move across that row to the column representing the 14" width (shown in the top row). At the intersection of the 16" height row and 14" width column, find "1.17."

- One vent provides 1.17 sq. ft. of NFVA.

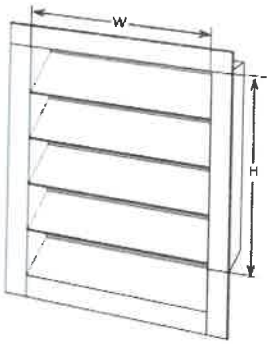

FIG. 40-1: RECTANGULAR GABLE VENT

TABLE 40-4: SQ. FT. OF NFVA FOR RECTANGULAR GABLE VENTS—¼" OR ⅛" SCREEN WITH METAL LOUVERS (REDUCTION FACTOR = 0.75)

Height \ Width	11"	12"	14"	16"	18"	20"	22"	24"	30"	36"
8"	0.46	0.50	0.58	0.67	0.75	0.83	0.92	1.00	1.25	1.50
10"	0.57	0.63	0.73	0.83	0.94	1.04	1.15	1.25	1.56	1.88
12"	0.69	0.75	0.88	1.00	1.13	1.25	1.38	1.50	1.88	2.25
14"	0.80	0.88	1.02	1.17	1.31	1.46	1.60	1.75	2.19	2.63
16"	0.92	1.00	1.17	1.33	1.50	1.67	1.83	2.00	2.50	3.00
18"	1.03	1.13	1.31	1.50	1.69	1.88	2.06	2.25	2.81	3.38
20"	1.15	1.25	1.46	1.67	1.88	2.08	2.29	2.50	3.13	3.75
22"	1.26	1.38	1.60	1.83	2.06	2.29	2.52	2.75	3.44	4.13
24"	1.38	1.50	1.75	2.00	2.25	2.50	2.75	3.00	3.75	4.50
26"	1.49	1.63	1.90	2.17	2.44	2.71	2.98	3.25	4.06	4.88
28"	1.60	1.75	2.04	2.33	2.63	2.92	3.21	3.50	4.38	5.25
30"	1.72	1.88	2.19	2.50	2.81	3.13	3.44	3.75	4.69	5.63
32"	1.83	2.00	2.33	2.67	3.00	3.33	3.67	4.00	5.00	6.00
34"	1.95	2.13	2.48	2.83	3.19	3.54	3.90	4.25	5.31	6.38
36"	2.06	2.25	2.63	3.00	3.38	3.75	4.13	4.50	5.63	6.75

TABLE 40-5: SQ. FT. OF NFVA FOR RECTANGULAR GABLE VENTS—¼" OR ⅛" SCREEN WITH WOOD LOUVERS (REDUCTION FACTOR = 0.25)

Height \ Width	12"	14"	16"	18"	20"	22"	24"	30"	36"
8"	0.17	0.19	0.22	0.25	0.28	0.31	0.33	0.42	0.50
10"	0.21	0.24	0.28	0.31	0.35	0.38	0.42	0.52	0.63
12"	0.25	0.29	0.33	0.38	0.42	0.46	0.50	0.63	0.75
14"	0.29	0.34	0.39	0.44	0.49	0.53	0.58	0.73	0.88
16"	0.33	0.39	0.44	0.50	0.56	0.61	0.67	0.83	1.00
18"	0.38	0.44	0.50	0.56	0.63	0.69	0.75	0.94	1.13
20"	0.42	0.49	0.56	0.63	0.69	0.76	0.83	1.04	1.25
22"	0.46	0.53	0.61	0.69	0.76	0.84	0.92	1.15	1.38
24"	0.50	0.58	0.67	0.75	0.83	0.92	1.00	1.25	1.50
26"	0.54	0.63	0.72	0.81	0.90	0.99	1.08	1.35	1.63
28"	0.58	0.68	0.78	0.88	0.97	1.07	1.17	1.46	1.75
30"	0.63	0.73	0.83	0.94	1.04	1.15	1.25	1.56	1.88
32"	0.67	0.78	0.89	1.00	1.11	1.22	1.33	1.67	2.00
34"	0.71	0.83	0.94	1.06	1.18	1.30	1.42	1.77	2.13
36"	0.75	0.88	1.00	1.13	1.25	1.38	1.50	1.88	2.25

4.2.4 Triangular Gable Vents

4.2.4(a) (Fig. 40-2, Table 40-6, and Table 40-7)

4.2.4(b) The area of a triangle is: Width x Height / 2.

4.2.4(c) Example: A triangle vent has a ¼" screen (no louvers) with a vent opening (excluding the frame) that is 40" x 20".

- The screened opening is 40" x 20" / 2 = 400 sq. in.
- Table 40-3 shows the reduction factor for a vent with ¼" screen and no louvers is 75%.
- 400 sq. in. x 0.75 = 300 sq. in.
- Divide sq. in. by 144 to calculate sq. ft.: 300/144 = 2.08 sq. ft. of NFVA.

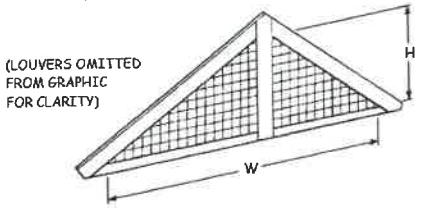

FIG. 40-2: TRIANGULAR GABLE VENT

TABLE 40-6: SQ. FT. OF NFVA FOR TRIANGULAR GABLE VENTS—¼" OR ⅛" SCREEN WITH METAL LOUVERS (REDUCTION FACTOR = 0.75)

Height \ Width	24"	30"	36"	42"	48"	54"	60"	72"
10"	0.63	0.78	0.94	1.09	1.25	1.41	1.56	1.88
12"	0.75	0.94	1.13	1.31	1.50	1.69	1.88	2.25
14"	0.88	1.09	1.31	1.53	1.75	1.97	2.19	2.63
16"	1.00	1.25	1.50	1.75	2.00	2.25	2.50	3.00
18"	1.13	1.41	1.69	1.97	2.25	2.53	2.81	3.38
20"	1.25	1.56	1.88	2.19	2.50	2.81	3.13	3.75
22"	1.38	1.72	2.06	2.41	2.75	3.09	3.44	4.13
24"	1.50	1.88	2.25	2.63	3.00	3.38	3.75	4.50
26"	1.63	2.03	2.44	2.84	3.25	3.66	4.06	4.88
28"	1.75	2.19	2.63	3.06	3.50	3.94	4.38	5.25
30"	1.88	2.34	2.81	3.28	3.75	4.22	4.69	5.63
32"	2.00	2.50	3.00	3.50	4.00	4.50	5.00	6.00
34"	2.13	2.66	3.19	3.72	4.25	4.78	5.31	6.38
36"	2.25	2.81	3.38	3.94	4.50	5.06	5.63	6.75

TABLE 40-7: SQ. FT. OF NFVA FOR TRIANGULAR GABLE VENTS—¼" OR ⅛" SCREEN WITH WOOD LOUVERS (REDUCTION FACTOR = 0.25)

Height \ Width	24"	30"	36"	42"	48"	54"	60"	72"
10"	0.21	0.26	0.31	0.36	0.42	0.47	0.52	0.63
12"	0.25	0.31	0.38	0.44	0.50	0.56	0.63	0.75
14"	0.29	0.36	0.44	0.51	0.58	0.66	0.73	0.88
16"	0.33	0.42	0.50	0.58	0.67	0.75	0.83	1.00
18"	0.38	0.47	0.56	0.66	0.75	0.84	0.94	1.13
20"	0.42	0.52	0.63	0.73	0.83	0.94	1.04	1.25
22"	0.46	0.57	0.69	0.80	0.92	1.03	1.15	1.38
24"	0.50	0.63	0.75	0.88	1.00	1.13	1.25	1.50
26"	0.54	0.68	0.81	0.95	1.08	1.22	1.35	1.63
28"	0.58	0.73	0.88	1.02	1.17	1.31	1.46	1.75
30"	0.63	0.78	0.94	1.09	1.25	1.41	1.56	1.88
32"	0.67	0.83	1.00	1.17	1.33	1.50	1.67	2.00
34"	0.71	0.89	1.06	1.24	1.42	1.59	1.77	2.13
36"	0.75	0.94	1.13	1.31	1.50	1.69	1.88	2.25

4.2.5 Turbine Vents

4.2.5(a) Several styles of turbine vents exist (Fig. 40-3), each with different NFVA specifications. Use Table 40-8 only when the manufacturer's NFVA specifications are not available.

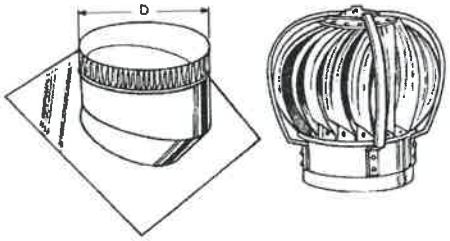

FIG. 40-3: TURBINE VENT

TABLE 40-8: SQ. FT. OF NFVA FOR TURBINE VENTS

# of 12" Turbines	1		2		3		4		5	
# of 14" Turbines		1		2		3		4		5
Sq. Ft. of NFVA Provided	0.79	1.10	1.60	2.20	2.40	3.30	3.20	4.40	4.00	5.50

4.2.6 Round Vents (Bird Holes)

4.2.6(a) (Table 40-9 and Table 40-10)

TABLE 40-9: SQ. FT. OF NFVA FOR BIRD HOLES—¼" SCREEN, NO LOUVERS (REDUCTION FACTOR = 0.90)

	Diameter						
	1.5"	1.75"	2"	2.25"	2.5"	2.75"	3"
Sq. Ft. of NFVA Provided by One Vent	0.0110	0.0150	0.0196	0.0248	0.0307	0.0371	0.0442
# of Vents Needed for 1 Sq. Ft. NFVA	91	67	51	40	33	27	23

TABLE 40-10: SQ. FT. OF NFVA FOR BIRD HOLES—⅛" SCREEN, NO LOUVERS (REDUCTION FACTOR = 0.75)

	Diameter						
	1.5"	1.75"	2"	2.25"	2.5"	2.75"	3"
Sq. Ft. of NFVA Provided by One Vent	0.0092	0.0125	0.0164	0.0207	0.0256	0.0309	0.0368
# of Vents Needed for 1 Sq. Ft. NFVA	109	80	61	48	39	32	27

4.2.7 Round Vents with Louvers

4.2.7(a) Many styles of round vents (Fig. 40-4) exist, each with different NFVA specifications. Use Table 40-11 only when the manufacturer's NFVA specifications are not available.

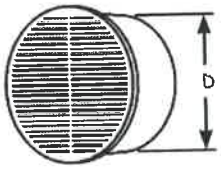

FIG. 40-4: ROUND VENT WITH LOUVER

TABLE 40-11: SQ. FT. OF NFVA FOR LOUVER BIRD HOLE VENTS

	Diameter								
	1"	1.5"	2"	2.5"	3"	4"	5"	6"	8"
Sq. Ft. of NFVA Provided by One Vent	0.0019	0.0043	0.0076	0.0119	0.0172	0.0305	0.0477	0.0687	0.1222
# of Vents Needed for 1 Sq. Ft. NFVA	524	233	131	84	58	33	21	15	8

4.2.8 Eave Vents

4.2.8(a) (Fig. 40-5, Table 40-12, and Table 40-13)

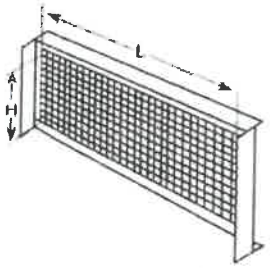

FIG. 40-5: EAVE VENT

TABLE 40-12: SQ. FT. OF NFVA FOR EAVE VENTS—¼" SCREEN, NO LOUVERS (REDUCTION FACTOR = 0.90)

		Length								
		10"	12"	13"	14"	14.5"	16"	18"	21"	22.5"
Height	3"	0.19	0.23	0.24	0.26	0.27	0.30	0.34	0.39	0.42
	3.5"	0.22	0.26	0.28	0.31	0.32	0.35	0.39	0.46	0.49
	4"	0.25	0.30	0.33	0.35	0.36	0.40	0.45	0.53	0.56
	4.5"	0.28	0.34	0.37	0.39	0.41	0.45	0.51	0.59	0.63
	5"	0.31	0.38	0.41	0.44	0.45	0.50	0.56	0.66	0.70
	5.5"	0.34	0.41	0.45	0.48	0.50	0.55	0.62	0.72	0.77

TABLE 40-13: SQ. FT. OF NFVA FOR EAVE VENTS—⅛" SCREEN, NO LOUVERS (REDUCTION FACTOR = 0.75)

		Length								
		10"	12"	13"	14"	14.5"	16"	18"	21"	22.5"
Height	3"	0.16	0.19	0.20	0.22	0.23	0.25	0.28	0.33	0.35
	3.5"	0.18	0.22	0.24	0.26	0.26	0.29	0.33	0.38	0.41
	4"	0.21	0.25	0.27	0.29	0.30	0.33	0.38	0.44	0.47
	4.5"	0.23	0.28	0.30	0.33	0.34	0.38	0.42	0.49	0.53
	5"	0.26	0.31	0.34	0.36	0.38	0.42	0.47	0.55	0.59
	5.5"	0.29	0.34	0.37	0.40	0.42	0.46	0.52	0.60	0.64

4.2.9 Soffit Vents

4.2.9(a) See Fig. 40-6 and Table 40-14.

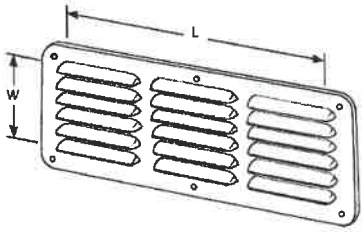

FIG. 40-6: SOFFIT VENT

TABLE 40-14: SQ. FT. OF NFVA FOR SOFFIT VENTS—1/4" OR 1/8" SCREEN WITH METAL LOUVERS (REDUCTION FACTOR = 0.75)

Height \ Length	10"	12"	14"	15"	16"	18"	20"	22"	24"
2"	0.10	0.13	0.15	0.16	0.17	0.19	0.21	0.23	0.25
3"	0.16	0.19	0.22	0.23	0.25	0.28	0.31	0.34	0.38
3.5"	0.18	0.22	0.26	0.27	0.29	0.33	0.36	0.40	0.44
4"	0.21	0.25	0.29	0.31	0.33	0.38	0.42	0.46	0.50
4.5"	0.23	0.28	0.33	0.35	0.38	0.42	0.47	0.52	0.56
5"	0.26	0.31	0.36	0.39	0.42	0.47	0.52	0.57	0.63
6"	0.31	0.38	0.44	0.47	0.50	0.56	0.63	0.69	0.75
8"	0.42	0.50	0.58	0.63	0.67	0.75	0.83	0.92	1.00
10"	0.52	0.63	0.73	0.78	0.83	0.94	1.04	1.15	1.25

4.2.10 Mushroom Vents

4.2.10(a) (Fig. 40-7, Table 40-15, and Table 40-16)

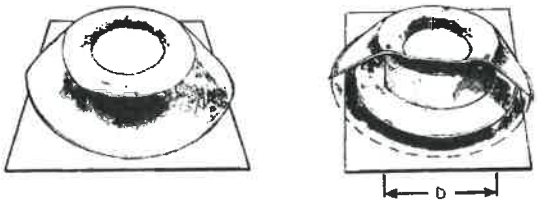

FIG. 40-7: MUSHROOM VENT

TABLE 40-15: SQ. FT. OF NFVA FOR MUSHROOM VENTS— 1/4" SCREEN (REDUCTION FACTOR = 0.90)

	Diameter									
	6"	7"	8"	9"	10"	11"	12"	13"	14"	15"
Sq. Ft. of NFVA	0.18	0.24	0.31	0.40	0.49	0.59	0.71	0.83	0.96	1.10

TABLE 40-16: SQ. FT. OF NFVA FOR MUSHROOM VENTS— 1/8" SCREEN (REDUCTION FACTOR = 0.75)

	Diameter									
	6"	7"	8"	9"	10"	11"	12"	13"	14"	15"
Sq. Ft. of NFVA	0.15	0.20	0.26	0.33	0.41	0.49	0.59	0.69	0.80	0.92

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4.2.11 Hood Vents and Roof Jacks

4.2.11(a) (Fig. 40-8, Table 40-17, and Table 40-18)

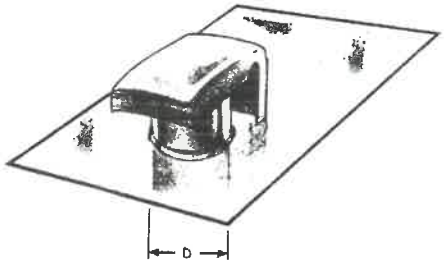

FIG. 40-8: HOOD VENT

TABLE 40-17: SQ. FT. OF NFVA FOR HOOD VENTS AND ROOF JACKS— ¼" SCREEN (REDUCTION FACTOR = 0.90)

	Diameter									
	6"	7"	8"	9"	10"	11"	12"	13"	14"	15"
Sq. Ft. of NFVA	0.18	0.24	0.31	0.40	0.49	0.59	0.71	0.83	0.96	1.10

TABLE 40-18: SQ. FT. OF NFVA FOR HOOD VENTS AND ROOF JACKS— ⅛" SCREEN (REDUCTION FACTOR = 0.75)

	Diameter									
	6"	7"	8"	9"	10"	11"	12"	13"	14"	15"
Sq. Ft. of NFVA	0.15	0.20	0.26	0.33	0.41	0.49	0.59	0.69	0.80	0.92

4.2.12 Eyebrow Vents

4.2.12(a) (Fig. 40-9, Table 40-19, and Table 40-20)

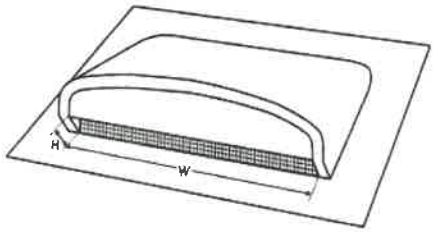

FIG. 40-9: EYEBROW VENT

TABLE 40-19: SQ. FT. OF NFVA FOR EYEBROW VENTS—¼" SCREEN, NO LOUVERS (REDUCTION FACTOR = 0.90)

Height	Width 10"	12"	14"	15"	16"	18"	20"	22"
3"	0.19	0.23	0.26	0.28	0.30	0.34	0.38	0.41
5"	0.31	0.38	0.44	0.47	0.50	0.56	0.63	0.69
6"	0.38	0.45	0.53	0.56	0.60	0.68	0.75	0.83
7"	0.44	0.53	0.61	0.66	0.70	0.79	0.88	0.96
7.5"	0.47	0.56	0.66	0.70	0.75	0.84	0.94	1.03
8"	0.50	0.60	0.70	0.75	0.80	0.90	1.00	1.10
8.5"	0.53	0.64	0.74	0.80	0.85	0.96	1.06	1.17
9"	0.56	0.68	0.79	0.84	0.90	1.01	1.13	1.24

TABLE 40-20: SQ. FT. OF NFVA FOR EYEBROW VENTS—1/4" OR 1/8" SCREEN WITH LOUVERS (REDUCTION FACTOR =0.75)

Height	Width 10"	12"	14"	15"	16"	18"	20"	22"
3"	0.16	0.19	0.22	0.23	0.25	0.28	0.31	0.34
5"	0.26	0.31	0.36	0.39	0.42	0.47	0.52	0.57
6"	0.31	0.38	0.44	0.47	0.50	0.56	0.63	0.69
7"	0.36	0.44	0.51	0.55	0.58	0.66	0.73	0.80
7.5"	0.39	0.47	0.55	0.59	0.63	0.70	0.78	0.86
8"	0.42	0.50	0.58	0.63	0.67	0.75	0.83	0.92
8.5"	0.44	0.53	0.62	0.66	0.71	0.80	0.89	0.97
9"	0.47	0.56	0.66	0.70	0.75	0.84	0.94	1.03

4.2.13 Dormer Vents

4.2.13(a) (Fig. 40-10 and Table 40-21)

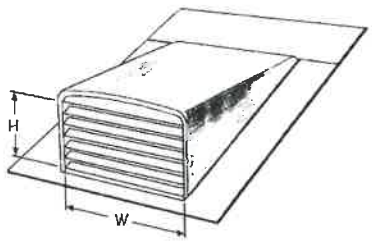

FIG. 40-10: DORMER VENT

TABLE 40-21: SQ. FT. OF NFVA FOR DORMER VENTS—1/4" OR 1/8" SCREEN WITH METAL LOUVERS (REDUCTION FACTOR = 0.75)

		Width							
		10"	12"	14"	15"	16"	18"	20"	22"
Height	5"	0.26	0.31	0.36	0.39	0.42	0.47	0.52	0.57
	6"	0.31	0.38	0.44	0.47	0.50	0.56	0.63	0.69
	7"	0.36	0.44	0.51	0.55	0.58	0.66	0.73	0.80
	7.5"	0.39	0.47	0.55	0.59	0.63	0.70	0.78	0.86
	8"	0.42	0.50	0.58	0.63	0.67	0.75	0.83	0.92
	8.5"	0.44	0.53	0.62	0.66	0.71	0.80	0.89	0.97
	9"	0.47	0.56	0.66	0.70	0.75	0.84	0.94	1.03

4.2.14 Roof Ridge Vents

4.2.14(a) (Fig. 40-11 and Table 40-22)

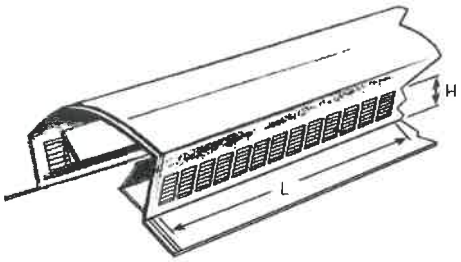

FIG. 40-11: ROOF RIDGE VENT

4.2.14(a1) Several styles of ridge vent exist, each with different NFVA specifications. When possible, measure the openings and apply reduction factor 0.50. The last option is to use Table 40-22 only when the manufacturer's NFVA specifications are not available.

TABLE 40-22: SQ. FT. OF NFVA FOR ROOF RIDGE VENTS WITH LOUVERS (REDUCTION FACTOR = 0.50)

Height					
1"	1.5"	2"	2.5"	3"	3.5"
0.042	0.063	0.083	0.104	0.125	0.146
Multiply the factor shown above by linear feet of vent.					

4.3. Repair Procedure

4.3.1 Clean or replace the existing screen if the opening is clogged.

4.3.2 Install a replacement screen with ⅛"–¼" mesh when:

4.3.2(a) The existing screen has tears or gaps or

4.3.2(b) The screen is missing

4.4. Installation Procedure

4.4.1 Order of Installation

4.4.1(a) All exhaust systems that terminate in the attic must be vented outdoors before any attic ventilation or insulation is installed.

4.4.1(b) When ceiling insulation will be installed, attic ventilation must be installed before ceiling insulation.

4.4.2 Attic Vent Placement—All Vents

4.4.2(a) The required NFVA shall be approximately evenly distributed along the lengths of at least two opposite sides to provide cross-ventilation.

4.4.2(b) The following may be used as upper vents:

4.4.2(b1) Gable vents installed in the upper ⅓ of the gable wall

4.4.2(b2) Roof jacks (e.g., eyebrow, dormer, mushroom and hood)

4.4.2(b3) Wind turbines

4.4.2(b4) Ridge vents

4.4.2(c) The following may be used as lower vents:

4.4.2(c1) Eave and soffit vents shall be used when possible.

4.4.2(c2) When eave or soffit vents cannot be installed:

- Eyebrow or dormer vents may be mounted low on the roof and
- Gable vents may be installed in the lower ⅓ of an unvented gable wall

4.4.2(d) A 1" clearance (air path) is required between:

4.4.2(d1) Vent opening and roof sheathing

4.4.2(d2) Vent opening and insulation

4.4.2(e) Install loose fill insulation blocking to comply with Section 37 Attic and Ceiling Insulation.

4.4.2(f) Placement of attic vents will be considered for proper airflow and prevention of entry of wind driven rain or snow.

4.4.2(g) Eave and soffit vents:

4.4.2(g1) Baffling for attic soffit vents will be installed to:

- Ensure proper airflow
- Prevent wind washing of insulation
- Allow maximum insulation coverage
- Ensure baffle terminates above insulation

4.4.2(g2) Unless replacing an existing vent, do not install eave and soffit vents above an operable window when prohibited by local jurisdiction.

4.4.2(h) Turbine vents:

4.4.2(h1) Install turbine between rafters.

4.4.2(h2) The top of turbine must be above the roof apex.

4.4.2(h3) Ensure at least ⅔ of the upper base flange is secured underneath roofing material.

4.4.2(h4) Turbine vents may only be installed:

- As high vents
- On roofs with slopes greater than 2:12

4.4.2(i) Roof jacks, including dormer, eyebrow, mushroom, and hood vents:

4.4.2(i1) Install vents between rafters.

4.4.2(i2) Ensure at least ⅔ of the upper base flange is secured underneath roofing material.

4.4.2(i3) Roof jacks should not be installed

- On roofs with a slope of less than 2:12.
- As low vents when installation of eave or soffit vents is feasible.

4.4.2(j) Vent blocking shall be installed per Section 37 Attic and Ceiling Insulation.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 This measure does not apply to mobile homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation is not allowed when only an individual unit will be served.

6.1.2 Installation requirements for multi-family buildings are the same as those for conventional homes.

6.1.2(a) DOE: Attic ventilation will only be installed in conjunction with attic/ceiling insulation. This measure may be installed when the installation of insulation (including venting installation costs) is justified by energy audit for a whole-building project. See Appendix D Energy Audit/Priority List Protocol.

6.1.2(b) LIHEAP: Attic ventilation may be installed in conjunction with attic/ceiling insulation, or as a stand-alone measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is only installed in conjunction with attic insulation, where required by the local jurisdiction. Costs must be included in the cost of the attic insulation for the Priority List path or when calculating the savings-to-investment ratio (SIR) in the Audit path. See Appendix D Energy Audit/Priority List Protocol.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP except as specified below.

TABLE 40-23: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
4.0188.2e	All Ventilation	All attic ventilation sources with holes greater than 1/4" will have corrosion-resistant wire mesh screens installed with openings of 1/16" to 1/4". Existing vents that are not screened will be covered with corrosion-resistant wire mesh with openings of 1/16" to 1/4".	X	X	X
4.0188.2f	Soffit Venting	If soffit venting is installed, mechanically fasten baffles (i.e., soffit chutes) in each truss bay that terminate at least 6" above final insulation level and provide a minimum of 1" clearance between insulation and roof deck material	X	X	X

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Ensure that all new venting was properly installed.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure-specific verbal and written instructions include:

8.2.2(a) When turbine vents are installed, advise the client to leave them uncovered even during cold weather.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life (EUL)

9.1.1 LIHEAP: 20 years

9.1.2 DOE: Included in conjunction with Section 37 Attic and Ceiling Insulation EUL

9.2 Vents shall be made of corrosion-resistant material screened with corrosion-resistant mesh with openings of ⅛" (#8 weave mesh)–¼" (#4 weave mesh).

9.3 Powered attic vents are not allowed within the weatherization program.

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

41. Crawlspace Ventilation

Table of Contents

1. **MEASURE OBJECTIVES** **41-1**

2. **INSTALL THIS MEASURE WHEN:** **41-1**
   - 2.1. Repair 41-1
   - 2.2. Install 41-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **41-1**
   - 3.1. Do Not Repair 41-1
   - 3.2. Do Not Install 41-1

4. **INSTALLATION GUIDELINES** **41-1**
   - 4.1. General Requirements 41-1
     - *4.1.6 Vent Composition* *41-2*
     - *4.1.7 Amount of Crawlspace Ventilation* *41-2*
     - *4.1.8 Reduction Factors* *41-3*
   - 4.2. Vent Tables 41-3
     - *4.2.3 Rectangular Vents* *41-3*
   - 4.3. Repair Procedure 41-4
   - 4.4. Installation Procedure 41-4
     - *4.4.1 Order of Installation* *41-4*
     - *4.4.2 Crawlspace Vent Placement* *41-4*

5. **MOBILE HOME–SPECIFIC** **41-5**
   - 5.1. Installation Requirements 41-5

6. **MULTI-FAMILY–SPECIFIC** **41-5**
   - 6.1. Installation Requirements 41-5

7. **DOE-SPECIFIC** **41-5**
   - 7.1. Assessment Requirements 41-5
   - 7.2. Installation Requirements 41-5

8. **POST-INSTALLATION GUIDELINES** **41-5**
   - 8.1. Quality Check 41-5
   - 8.2. Client Education 41-5
   - 8.3. Clean-Up and Disposal Requirements 41-6

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9. MATERIAL SPECIFICATIONS 41-6

10. WARRANTY 41-6

Crawlspace Ventilation

1. MEASURE OBJECTIVES

1.1 Installing adequate crawlspace ventilation allows outside air to circulate under the floor, reducing conditions that contribute to moisture build-up, mildew, and rot.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Existing mesh is missing or has tears or gaps

2.2. Install

2.2.1 No crawlspace ventilation exists, or existing ventilation is inadequate or

2.2.2 When replacing smaller weave mesh with larger weave mesh for additional net free ventilation area (NFVA)

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1. Do Not Repair

3.1.1 Repair of mesh would make the NFVA inadequate

3.2. Do Not Install

3.2.1 The existing crawlspace ventilation is adequate and functioning properly

3.2.2 Vent installation would require cutting through a foundation consisting of masonry stem walls

3.2.3 The crawlspace is unsound or unsafe

3.2.4 The exhaust system venting terminates in the crawlspace, unless it can be vented outdoors per Section 1 General Installation Guidelines, Limited Home Repair

3.2.5 The crawlspace is inaccessible, or there is inadequate clearance per Section 1 General Installation Guidelines, Attic and Crawlspace Accessibility

3.2.6 Installation would violate the Appendix E Health and Safety Requirements

3.2.7 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Crawlspace ventilation may be installed as a stand-alone measure or in conjunction with floor insulation.

4.1.2 Audited Measures

4.1.2(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded, it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.2(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.3 Replacing smaller weave mesh vents with larger weave mesh screen is allowed if additional NFVA is required.

4.1.4 All venting shall be unobstructed.

4.1.5 Knob-and-tube (K&T) wiring: When K&T wiring is present in the crawlspace, follow the requirements in Section 1 General Installation Guidelines, Knob & Tube (K&T) Wiring Guidelines.

4.1.6 Vent Composition

4.1.6(a) Screens must be clean, and vents must be free of insulation and other obstructions.

4.1.6(b) ⅛"–¼" mesh screen is required on new vents.

4.1.7 Amount of Crawlspace Ventilation

4.1.7(a) The required NFVA shall conform with local code.

4.1.7(b) The existing crawlspace NFVA shall be calculated using the NFVA tables, reduction factors, and NFVA calculations for specific vent types in the following sections.

4.1.7(c) Total NFVA of the openings:

4.1.7(c1) 1 sq. ft. of NFVA is required per 150 sq. ft. of under-floor area with cross-ventilation. (Table 41-1)

4.1.7(c2) 1 sq. ft. of NFVA per 1500 sq. ft. of under-floor area with cross-ventilation (Table 41-2) is allowed when:

- Vents are installed within 3' of each corner
- The under-floor ground surface area is covered by a Class I vapor retarder and vent openings provide cross-ventilation

4.1.7(c3) Local code requirements apply if more stringent.

TABLE 41-1: SQ. FT. OF NFVA FOR A 1:150 RATIO

Area Length \ Area Width	10'	12'	14'	16'	18'	20'	22'	24'	26'	28'	30'	32'	34'	36'	38'	40'
10'	0.7	0.8	0.9	1.1	1.2	1.3	1.5	1.6	1.7	1.9	2.0	2.1	2.3	2.4	2.5	2.7
12'	0.8	1.0	1.1	1.3	1.4	1.6	1.8	1.9	2.1	2.2	2.4	2.6	2.7	2.9	3.0	3.2
14'	0.9	1.1	1.3	1.5	1.7	1.9	2.1	2.2	2.4	2.6	2.8	3.0	3.2	3.4	3.5	3.7
16'	1.1	1.3	1.5	1.7	1.9	2.1	2.3	2.6	2.8	3.0	3.2	3.4	3.6	3.8	4.1	4.3
18'	1.2	1.4	1.7	1.9	2.2	2.4	2.6	2.9	3.1	3.4	3.6	3.8	4.1	4.3	4.6	4.8
20'	1.3	1.6	1.9	2.1	2.4	2.7	2.9	3.2	3.5	3.7	4.0	4.3	4.5	4.8	5.1	5.3
22'	1.5	1.8	2.1	2.3	2.6	2.9	3.2	3.5	3.8	4.1	4.4	4.7	5.0	5.3	5.6	5.9
24'	1.6	1.9	2.2	2.6	2.9	3.2	3.5	3.8	4.2	4.5	4.8	5.1	5.4	5.8	6.1	6.4
26'	1.7	2.1	2.4	2.8	3.1	3.5	3.8	4.2	4.5	4.9	5.2	5.5	5.9	6.2	6.6	6.9
28'	1.9	2.2	2.6	3.0	3.4	3.7	4.1	4.5	4.9	5.2	5.6	6.0	6.3	6.7	7.1	7.5
30'	2.0	2.4	2.8	3.2	3.6	4.0	4.4	4.8	5.2	5.6	6.0	6.4	6.8	7.2	7.6	8.0
32'	2.1	2.6	3.0	3.4	3.8	4.3	4.7	5.1	5.5	6.0	6.4	6.8	7.3	7.7	8.1	8.5
34'	2.3	2.7	3.2	3.6	4.1	4.5	5.0	5.4	5.9	6.3	6.8	7.3	7.7	8.2	8.6	9.1
36'	2.4	2.9	3.4	3.8	4.3	4.8	5.3	5.8	6.2	6.7	7.2	7.7	8.2	8.6	9.1	9.6
38'	2.5	3.0	3.5	4.1	4.6	5.1	5.6	6.1	6.6	7.1	7.6	8.1	8.6	9.1	9.6	10.1
40'	2.7	3.2	3.7	4.3	4.8	5.3	5.9	6.4	6.9	7.5	8.0	8.5	9.1	9.6	10.1	10.7

TABLE 41-2: SQ. FT. OF NFVA FOR A 1:1500 RATIO

Area Length	Area Width															
	10'	12'	14'	16'	18'	20'	22'	24'	26'	28'	30'	32'	34'	36'	38'	40'
10'	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.3	0.3
12'	0.1	0.1	0.1	0.1	0.1	0.2	0.2	0.2	0.2	0.2	0.2	0.3	0.3	0.3	0.3	0.3
14'	0.1	0.1	0.1	0.1	0.2	0.2	0.2	0.2	0.2	0.3	0.3	0.3	0.3	0.3	0.4	0.4
16'	0.1	0.1	0.1	0.2	0.2	0.2	0.2	0.3	0.3	0.3	0.3	0.3	0.4	0.4	0.4	0.4
18'	0.1	0.1	0.2	0.2	0.2	0.2	0.3	0.3	0.3	0.3	0.4	0.4	0.4	0.4	0.5	0.5
20'	0.1	0.2	0.2	0.2	0.2	0.3	0.3	0.3	0.3	0.4	0.4	0.4	0.5	0.5	0.5	0.5
22'	0.1	0.2	0.2	0.2	0.3	0.3	0.3	0.4	0.4	0.4	0.4	0.5	0.5	0.5	0.6	0.6
24'	0.2	0.2	0.2	0.3	0.3	0.3	0.4	0.4	0.4	0.4	0.5	0.5	0.5	0.6	0.6	0.6
26'	0.2	0.2	0.2	0.3	0.3	0.3	0.4	0.4	0.5	0.5	0.5	0.6	0.6	0.6	0.7	0.7
28'	0.2	0.2	0.3	0.3	0.3	0.4	0.4	0.4	0.5	0.5	0.6	0.6	0.6	0.7	0.7	0.7
30'	0.2	0.2	0.3	0.3	0.4	0.4	0.4	0.5	0.5	0.6	0.6	0.6	0.7	0.7	0.8	0.8
32'	0.2	0.3	0.3	0.3	0.4	0.4	0.5	0.5	0.6	0.6	0.6	0.7	0.7	0.8	0.8	0.9
34'	0.2	0.3	0.3	0.4	0.4	0.5	0.5	0.5	0.6	0.6	0.7	0.7	0.8	0.8	0.9	0.9
36'	0.2	0.3	0.3	0.4	0.4	0.5	0.5	0.6	0.6	0.7	0.7	0.8	0.8	0.9	0.9	1.0
38'	0.3	0.3	0.4	0.4	0.5	0.5	0.6	0.6	0.7	0.7	0.8	0.8	0.9	0.9	1.0	1.0
40'	0.3	0.3	0.4	0.4	0.5	0.5	0.6	0.6	0.7	0.7	0.8	0.9	0.9	1.0	1.0	1.1

4.1.8 Reduction Factors

4.1.8(a) Example: A vent has ¼" screen (no louvers), with a vent opening (excluding the frame) that is 2½" x 17".

4.1.8(a1) The area of the opening is 2½" x 17" = 42.5 sq. in.

4.1.8(a2) Table 41-3 shows the reduction factor for this a vent with ¼" screen and no louvers is 90%.

4.1.8(a3) 42.5 sq. in. x 0.90 = 38.25 sq. in.

4.1.8(a4) Divide sq. in. by 144 to calculate sq. ft.: 38.25/144 = 0.27 sq. ft. of NFVA

TABLE 41-3: SCREEN AND LOUVER NFVA REDUCTION FACTORS

¼" Screen, No Louvers	⅛" Screen, No Louvers	1/16" Screen, No Louvers	Metal Louvers with or without ¼" or ⅛" Screen	Wood Louvers with or without ¼" or ⅛" Screen
0.90 (90%)	0.75 (75%)	0.50 (50%)	0.75 (75%)	0.25 (25%)

4.2. Vent Tables

4.2.1 The tables on the following pages Table 41-4 and Table 41-5 can be used to determine the NFVA provided by crawlspace venting. The NFVA shown includes the reduction factor and is given in sq. ft.

4.2.2 When vent measurements are between the sizes listed, calculate manually.

4.2.3 Rectangular Vents

4.2.3(a) (Table 41-4 and Table 41-5)

TABLE 41-4: SQ. FT. OF NFVA FOR RECTANGULAR VENTS—¼"-INCH MESH SCREEN, NO LOUVERS (REDUCTION FACTOR = 0.90)

		Length								
		10"	12"	13"	14"	14.5"	16"	18"	21"	22.5"
Height	3"	0.19	0.23	0.24	0.26	0.27	0.30	0.34	0.39	0.42
	3.5"	0.22	0.26	0.28	0.31	0.32	0.35	0.39	0.46	0.49
	4"	0.25	0.30	0.33	0.35	0.36	0.40	0.45	0.53	0.56
	4.5"	0.28	0.34	0.37	0.39	0.41	0.45	0.51	0.59	0.63
	5"	0.31	0.38	0.41	0.44	0.45	0.50	0.56	0.66	0.70
	5.5"	0.34	0.41	0.45	0.48	0.50	0.55	0.62	0.72	0.77

TABLE 41-5: SQ. FT. OF NFVA FOR RECTANGULAR VENTS—⅛" SCREEN, NO LOUVERS (REDUCTION FACTOR = 0.75)

		Length								
		10"	12"	13"	14"	14.5"	16"	18"	21"	22.5"
Height	3"	0.16	0.19	0.20	0.22	0.23	0.25	0.28	0.33	0.35
	3.5"	0.18	0.22	0.24	0.26	0.26	0.29	0.33	0.38	0.41
	4"	0.21	0.25	0.27	0.29	0.30	0.33	0.38	0.44	0.47
	4.5"	0.23	0.28	0.30	0.33	0.34	0.38	0.42	0.49	0.53
	5"	0.26	0.31	0.34	0.36	0.38	0.42	0.47	0.55	0.59
	5.5"	0.29	0.34	0.37	0.40	0.42	0.46	0.52	0.60	0.64

4.3. Repair Procedure

4.3.1 Clean or replace the existing screen if the opening is clogged.

4.3.2 Install a replacement screen with ⅛"–¼" mesh when:

4.3.2(a) The existing screen has tears or gaps or

4.3.2(b) The screen is missing

4.4. Installation Procedure

4.4.1 Order of Installation

4.4.1(a) All exhaust systems that terminate in the crawlspace must be vented outdoors before crawlspace ventilation or insulation is installed.

4.4.1(b) Plumbing leaks shall be repaired before crawlspace upgrade in accordance with the International Residential Code (IRC) and Section 1 General Installation Guidelines, Limited Home Repair

4.4.1(c) When floor insulation will be installed, crawlspace ventilation must be installed before floor insulation.

4.4.2 Crawlspace Vent Placement

4.4.2(a) The required NFVA shall be approximately evenly distributed along the lengths of opposite sides, starting within 3' of each corner, when possible (Fig. 41-1).

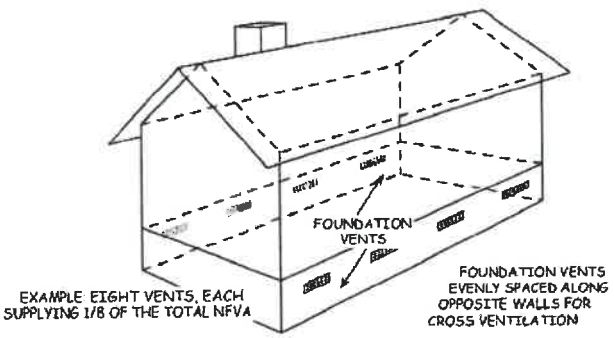

FIG. 41-1: CRAWLSPACE VENT PLACEMENT

4.4.2(b) Vent openings shall provide cross-ventilation for each separate space.

4.4.2(c) Foundation vents shall not be obstructed by insulation.

4.4.2(c1) If new insulation is installed:

- 12" minimum clearance is required without blocking.
- 3" minimum clearance is required when blocking is made of minimum 0.007" sheet metal.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.2 Vent openings in the skirting shall provide 1½ sq. ft. of venting for each 25' of mobile home length.

5.1.3 Installed vents shall be:

5.1.3(a) Provided on at least two opposite sides and

5.1.3(b) Located as close to all corners as practical

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation is not allowed when only an individual unit will be served.

6.1.2 Installation requirements for multi-family buildings are the same as those for conventional homes.

6.1.2(a) DOE: Crawlspace ventilation will only be installed in conjunction with floor insulation. This measure may be installed when the installation of insulation (including venting installation costs) is justified by energy audit for a whole-building project. See Appendix D Energy Audit/Priority List Protocol.

6.1.2(b) LIHEAP: Crawlspace ventilation may be installed in conjunction with floor insulation, or as a stand-alone measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is only installed in conjunction with floor insulation, where required by the local jurisdiction. Costs must be included in the cost of the floor insulation for the Priority List path or when calculating the savings-to-investment ratio (SIR) in the Audit path. See Appendix D Energy Audit/Priority List Protocol.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 A check shall be made that all new venting was properly installed.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life (EUL)

9.1.1 LIHEAP: 20 years

9.1.2 DOE: Included in conjunction with Section 39 Floor Insulation EUL

9.2 Vents shall be made of corrosion-resistant material screened with corrosion-resistant mesh with openings of ⅛" (#8 weave mesh)–¼" (#4 weave mesh).

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

42. Dishwashers

Table of Contents

1. **MEASURE OBJECTIVES** **42-1**

2. **INSTALL THIS MEASURE WHEN:** **42-1**
   - 2.1. Repair 42-1
   - 2.2. Install 42-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **42-1**

4. **INSTALLATION GUIDELINES** **42-1**
   - 4.1. General Requirements 42-1
   - 4.2. Installation Procedure 42-2
     - *4.2.1 Installation Location* *42-2*
     - *4.2.2 Leveling* *42-2*
     - *4.2.3 Attachment and Securing* *42-2*
     - *4.2.4 Water Supply* *42-2*
     - *4.2.5 Drain System* *42-2*
     - *4.2.6 Electrical Requirements* *42-2*

5. **MOBILE HOME–SPECIFIC** **42-3**
   - 5.1. Installation Requirements 42-3

6. **MULTI-FAMILY–SPECIFIC** **42-3**
   - 6.1. Installation Requirements 42-3

7. **DOE-SPECIFIC** **42-3**
   - 7.1. Assessment Requirements 42-3

8. **POST-INSTALLATION GUIDELINES** **42-3**
   - 8.1. Quality Check 42-3
   - 8.2. Client Education 42-3
   - 8.3. Clean-Up and Disposal Requirements 42-3

9. **MATERIAL SPECIFICATIONS** **42-3**

10. **WARRANTY** **42-4**

Dishwashers

1. MEASURE OBJECTIVES

1.1 Replacement of a standard dishwasher with an ENERGY STAR®-certified unit to reduce energy and water consumption.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure

2.2. Install

2.2.1 The existing dishwasher is not ENERGY STAR®-certified, or

2.2.2 A dishwasher is not present but the infrastructure is intact (e.g., water hook-up, drain, electrical receptacle) are present and an approved CSD waiver is obtained, or

2.2.3 One or more of the following operational issues are present in the existing dishwasher:

2.2.3(a) The appliance is inoperable or does not operate as intended (does not wash or drain): or

2.2.3(b) Has defects that compromise efficiency (such as a leak or failing motor); or

2.2.3(c) Has a Health and Safety condition that will be resolved by installing a new dishwasher (such as an electrical hazard).

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 No appropriate location is available for one or more of the following reasons:

3.1.1 Inadequate access to remove the existing unit and install a new unit.

3.1.2 The flooring is structurally inadequate to properly support the weight of the unit.

3.1.3 Clearance requirements cannot be met, including clearance for proper door swing.

3.1.4 The dishwasher cannot be installed in a level, plumb, and stable condition.

3.2 The electrical outlet used by the existing dishwasher is not properly installed (e.g., it is hazardous, is not grounded, or has reversed polarity) and cannot be repaired.

3.3 A suitable drain system is not available to accept the discharge of the dishwasher on its largest load setting.

3.4 A suitable water supply is not available.

3.5 Installation would violate the Appendix E Health and Safety Requirements.

3.6 The client refuses after measure benefits have been explained by the assessor.

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 When required by the local jurisdiction, a building permit to replace the existing dishwasher shall be obtained and finalized.

4.1.2 Sizing Limitations

4.1.2(a) Sizing limitations for replacement dishwashers shall be in accordance with the size and capacity of the existing unit.

4.2. Installation Procedure

4.2.1 Installation Location

4.2.1(a) The installation location shall provide the dishwasher manufacturer's minimum specified clearances on all sides.

4.2.1(b) Ample room to fully open the dishwasher door without being obstructed by surrounding cabinets or appliances shall be available.

4.2.1(c) Dishwashers located next to walls or in corner locations shall allow for a minimum of 2" clearance between the side of the dishwasher door and the wall or cabinet (Fig. 42-1).

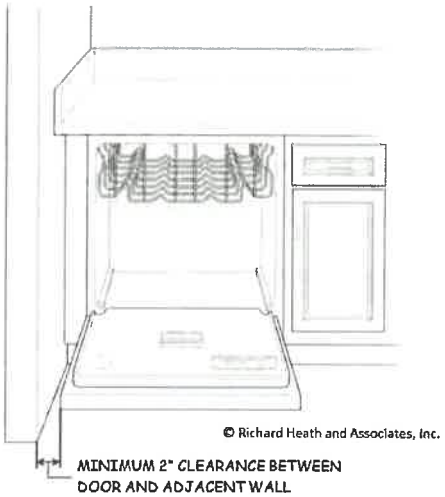

FIG. 42-1: DISHWASHER IN CORNER LOCATION

4.2.2 Leveling

4.2.2(a) Individual feet shall be adjusted to properly level the dishwasher with all four feet resting on the floor.

4.2.2(b) After leveling, the locking nuts shall be tightened to hold the feet in place.

4.2.3 Attachment and Securing

4.2.3(b1) Manufacturer provided mounting brackets shall be installed to secure the dishwasher to the countertop or surrounding cabinets.

4.2.3(b2) The dishwasher shall not be secured to countertops that are granite, marble, stone, or any other material that can be damaged by being drilled.

4.2.4 Water Supply

4.2.4(a) Water supply to the dishwasher shall have a manual shutoff valve, located under the sink and within 6' of the dishwasher, unless otherwise specified by the dishwasher manufacturer.

4.2.4(b) Water pressure at the hot water shutoff valve shall be within manufacturer's specified minimums.

4.2.4(c) Water temperature at the shutoff valve shall be a minimum of 120°F and no more than 150°F unless otherwise specified by the dishwasher manufacturer.

4.2.4(d) All water connections shall be tight and sealed with non-toxic pipe joint compound.

4.2.4(e) All hoses shall be new. Existing hoses shall not be re-used.

4.2.5 Drain System

4.2.5(a) Drain must be functional and have adequate capacity to accept the water discharge of the dishwasher on the largest load setting.

4.2.5(b) An approved air gap fitting shall be installed on the discharge side of the dishwasher with the flood-level marking at or above the flood level of the sink or drainboard, whichever is higher.

4.2.5(c) Manufacturer supplied drain hose shall be installed. When the supplied drain hose is not long enough, a new drain hose of shortest possible length may be installed.

4.2.6 Electrical Requirements

4.2.6(a) Overcurrent protection and conductor size must be adequate.

4.2.6(b) Electrical supply shall be 120-volt, minimum 15-amp, and shall meet manufacturer's specifications.

4.2.6(c) The dishwasher must be hardwired or plugged directly into a receptacle that is properly grounded and the receptacle:

4.2.6(c1) Shall be within 6' of the installation location, or as specified by the manufacturer.

4.2.6(c2) A GFCI-protected circuit or outlet, or a switched outlet, shall be used unless required by manufacturer's instructions or local code.

4.2.6(c3) Shall not be shared with another appliance when required by manufacturer's instructions or local code.

4.2.6(d) If the receptacle cover plate is cracked, damaged, or missing, a new one shall be installed.

4.2.6(e) Permanent three-prong adapters and/or extensions cords are not allowed (Fig. 42-2).

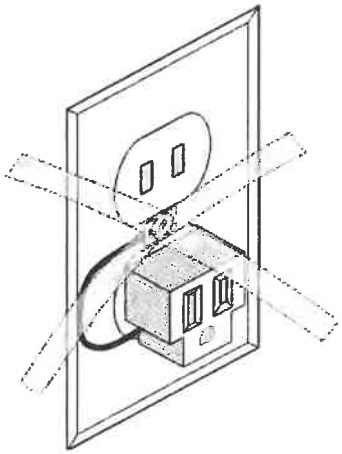

FIG. 42-2: USE OF ADAPTER IS NOT ALLOWED

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a kitchen, utility room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Manufacturer's start-up/test procedures shall be followed to ensure proper operation of the dishwasher.

8.1.2 Perform troubleshooting per the manufacturer's instructions as needed to correct problems.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 11 years

9.1.2 DOE: Not applicable to this measure.

9.2 Replacement Dishwasher

9.2.1 The replacement appliance shall:

9.2.1(a) Be ENERGY STAR®-certified

9.2.1(b) Bear a yellow Energy Guide label

9.2.1(c) Feature an auto-sensing cycle or multiple cycle options, such as:

9.2.1(c1) Energy-saving wash

9.2.1(c2) Light duty

9.2.1(c3) Heated dry OFF

9.2.1(d) Be sized to match the size and capacity of the existing unit.

9.3 Drain Hose and Fittings

9.3.1 AHAM/IAPMO tested

9.3.2 Heat and detergent resistant

9.4 Hot Water Supply Line

9.4.1 NSF/ANSI 61 certified

9.4.2 Copper tubing or flexible braided stainless steel

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

43. High-Efficiency Clothes Washers

Table of Contents

1. **MEASURE OBJECTIVES** **43-1**

2. **INSTALL THIS MEASURE WHEN:** **43-1**
   - 2.1. Repair 43-1
   - 2.2. Install 43-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **43-1**

4. **INSTALLATION GUIDELINES** **43-1**
   - 4.1. General Requirements 43-1
     - *4.1.3 Accessibility* *43-2*
     - *4.1.4 Stackable Units and Stacked Laundry Centers* *43-2*
   - 4.2. Installation Procedure 43-2
     - *4.2.1 Installation Location* *43-2*
     - *4.2.2 Leveling* *43-2*
     - *4.2.3 Pedestal* *43-2*
     - *4.2.4 Water Supply* *43-2*
     - *4.2.5 Drain Hose* *43-2*
     - *4.2.6 Drain System* *43-3*
     - *4.2.7 Electrical Requirements* *43-3*

5. **MOBILE HOME–SPECIFIC** **43-3**
   - 5.1. Installation Requirements 43-3

6. **MULTI-FAMILY–SPECIFIC** **43-3**
   - 6.1. Installation Requirements 43-3

7. **DOE-SPECIFIC** **43-3**
   - 7.1. Assessment Requirements 43-3

8. **POST-INSTALLATION GUIDELINES** **43-3**
   - 8.1. Quality Check 43-3
   - 8.2. Client Education 43-4
   - 8.3. Clean-Up and Disposal Requirements 43-4

9. **MATERIAL SPECIFICATIONS** **43-4**

10. **WARRANTY** **43-4**

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High-Efficiency Clothes Washers

1. MEASURE OBJECTIVES

1.1 Replacement of a standard clothes washer with an ENERGY STAR®-certified unit to reduce energy and water consumption.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure

2.2. Install

2.2.1 The existing clothes washer is not ENERGY STAR®-certified, or

2.2.2 A clothes washer is not present but the infrastructure is intact (e.g., water hook-ups, drain, electrical receptacle) and an approved CSD waiver is obtained, or

2.2.3 One or more of the following operational issues are present in the existing washer:

2.2.3(a) The appliance is inoperable or does not operate as intended (e.g., failure to drain, inoperable control panel, etc.)

2.2.3(b) Has defects that compromise efficiency (such as a leak or failing motor), or

2.2.3(c) Has a Health and Safety condition that will be resolved by installing a new clothes washer (such as an electrical hazard).

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 No appropriate location is available for one or more of the following reasons:

3.1.1 Inadequate access to remove the existing unit and install a new unit.

3.1.2 The flooring is structurally inadequate to properly support the weight of the unit and will not be repaired prior to installation of the unit.

3.1.3 Clearance requirements cannot be met, including clearance for proper door swing.

3.1.4 The clothes washer cannot be installed in a level, plumb, and stable condition.

3.1.5 Installation location is outdoors, unprotected, and exposed to weather.

3.2 The electrical outlet used by the existing clothes washer is not properly installed (e.g., it is hazardous, is not grounded, or has reversed polarity) and cannot be repaired.

3.3 A suitable drain system is not available to accept the discharge of the clothes washer on its largest load setting.

3.4 A suitable water supply is not available.

3.5 Installation would violate the Appendix E Health and Safety Requirements.

3.6 The client refuses after measure benefits have been explained by the assessor.

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 When required by the local jurisdiction, a building permit to replace the existing clothes washer shall be obtained and finalized.

4.1.2 Sizing Limitations

4.1.2(a) Sizing limitations for replacement clothes washers shall be in accordance with the size and capacity of the existing unit.

4.1.3 Accessibility

4.1.3(a) If a clothes washer qualifies for replacement, the client or occupants have physical limitations, and by request of the client only, a front-loading type washer may be installed to improve accessibility.

4.1.3(b) If a pedestal is needed for accessibility for the front-loading washer only, installation of a basic pedestal model will be allowed.

4.1.3(b1) The cost of the installed pedestal shall be billed to LIHEAP Limited Home Repair.

- If a pedestal to improve accessibility also is needed for a clothes dryer that will not be installed, an approved CSD waiver is required.

4.1.4 Stackable Units and Stacked Laundry Centers

4.1.4(a) A stackable clothes washer and dryer, or a stacked laundry center may be installed when both the clothes washer and dryer are being replaced as stand-alone measures and adequate clearances/infrastructure (dryer moisture exhaust, water supply, etc.) are available to allow for installation, and

4.1.4(b) When accepted by the customer after the differences have been explained.

4.2. Installation Procedure

4.2.1 Installation Location

4.2.1(a) The installation location shall provide the clothes washer manufacturer's minimum specified clearances on all sides.

4.2.1(b) Ample room shall be available to fully open the clothes washer door (i.e., minimum 90° door swing) shall be available.

4.2.2 Leveling

4.2.2(a) Individual feet shall be adjusted to properly level the clothes washer with all four feet resting on the floor (Fig. 43-1).

4.2.2(b) After leveling, the locking nuts shall be tightened to hold the feet in place.

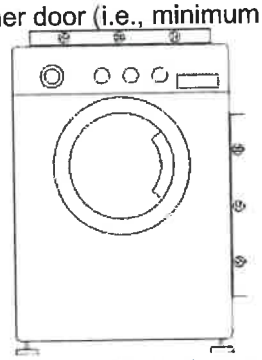


FIG. 43-1: CLOTHES WASHER IN A LEVEL, STABLE POSITION

4.2.3 Pedestal

4.2.3(a) When an optional matching pedestal is utilized, it shall be installed as instructed and leveled as described above.

4.2.4 Water Supply

4.2.4(a) Water pressure at the hot and cold shutoff valve shall be within the clothes washer manufacturer's specifications (not too high or low).

4.2.4(b) Hot and cold shutoff valve must be located within 4' of the clothes washer, or as allowed by the manufacturer.

4.2.4(c) Two fill hoses shall not be coupled together for extra length unless the manufacturer provides coupling parts and instructions.

4.2.4(d) All hoses shall be new. Existing hoses shall not be reused.

4.2.4(e) All hoses shall be properly connected and free of leaks, avoiding over-tightening.

4.2.5 Drain Hose

4.2.5(a) Drain hose shall terminate in a suitable drain (standpipe, laundry sink, or floor drain) with adequate capacity to accept water discharge on the largest load setting.

4.2.5(b) When installed in a standpipe,

4.2.5(b1) A U-shape bend must be present in the drain hose at the top of the standpipe, and

4.2.5(b2) An adequate gap for air between the hose and pipe shall be present.

4.2.5(c) Drain hose shall be properly secured (e.g., with cable tie).

4.2.6 Drain System

4.2.6(a) Must be functional and suitable to accept the maximum water discharge from the clothes washer.

4.2.6(b) If the discharge hose connects to a drainpipe in/near the floor, a siphon break must be installed above the bottom of the washer in accordance with manufacturer's instructions or local code.

4.2.7 Electrical Requirements

4.2.7(a) Overcurrent protection and conductor size must be adequate.

4.2.7(b) Electrical supply shall be 120-volt, minimum 15-amp, and shall meet manufacturer's specifications.

4.2.7(c) The clothes washer must be plugged directly into a receptacle that is:

4.2.7(c1) A properly grounded three-prong receptacle with a functioning equipment grounding conductor (Fig. 43-2)

4.2.7(c2) GFCI-protected (when a grounding conductor is not present and will not be provided) unless otherwise specified by manufacturer's instructions or local code.

4.2.7(d) If the receptacle cover plate is cracked, damaged, or missing, a new one shall be installed.

4.2.7(e) Permanent three-prong adapters and/or extensions cords are not allowed.

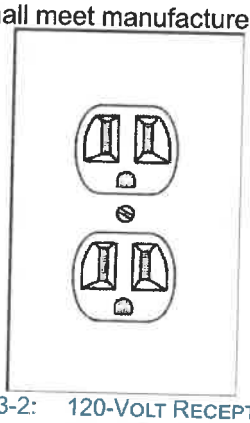


FIG. 43-2: 120-VOLT RECEPTACLE WITH INTACT COVER PLATE

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., shared laundry facility, utility room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Manufacturer's start-up/test procedures shall be followed to ensure proper operation of the clothes washer.

8.1.2 The test cycle shall determine if:

8.1.2(a) The washer fills and drains properly

8.1.2(b) The drain system has adequate capacity and functions properly

8.1.2(c) The washer is stable during the spin cycle

8.1.2(d) There are no water leaks

8.1.3 Perform troubleshooting per the manufacturer's instructions as needed to correct problems.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 11 years

9.1.2 DOE: Not applicable to this measure

9.2 Replacement Clothes Washer

9.2.1 The replacement appliance shall:

9.2.1(a) Be ENERGY STAR®-certified

9.2.1(b) Bear a yellow Energy Guide label

9.2.1(c) Have the following features:

9.2.1(c1) High-speed spin cycle

9.2.1(c2) Several options for water level and temperature settings, including a cold-water setting

9.2.1(d) Be sized to match the size and capacity of the existing unit.

9.2.2 When allowed to be installed, a Clothes Washer Pedestal shall:

9.2.2(a) Meet manufacturer specifications

9.2.2(b) Be a basic model, without additional special features.

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

44. Clothes Dryers

Table of Contents

1. **MEASURE OBJECTIVES** 44-1

2. **INSTALL THIS MEASURE WHEN:** 44-1
   - 2.1. Repair 44-1
   - 2.2. Install 44-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** 44-1

4. **INSTALLATION GUIDELINES** 44-1
   - 4.1. General Requirements 44-1
     - *4.1.4 Accessibility* 44-2
     - *4.1.5 Stackable Units and Stacked Laundry Centers* 44-2
   - 4.2. Installation Procedure 44-2
     - *4.2.1 Installation Location* 44-2
     - *4.2.2 Leveling* 44-2
     - *4.2.3 Pedestal* 44-2
     - *4.2.4 Electrical Requirements* 44-2
     - *4.2.5 Extension Cords and Adapters* 44-3
     - *4.2.6 Gas Requirements (Gas Dryers Only)* 44-3
     - *4.2.7 Domestic Clothes Dryer Moisture Exhaust* 44-3
     - *4.2.8 Moisture Exhaust Termination* 44-3

5. **MOBILE HOME–SPECIFIC** 44-4
   - 5.1. Installation Requirements 44-4

6. **MULTI-FAMILY–SPECIFIC** 44-4
   - 6.1. Installation Requirements 44-4

7. **DOE-SPECIFIC** 44-4
   - 7.1. Assessment Requirements 44-4

8. **POST-INSTALLATION GUIDELINES** 44-4
   - 8.1. Quality Check 44-4
     - *8.1.4 Gas Clothes Dryers* 44-4
   - 8.2. Client Education 44-4
   - 8.3. Clean-Up and Disposal Requirements 44-4

9. MATERIAL SPECIFICATIONS 44-4

10. WARRANTY 44-5

Clothes Dryers

1. MEASURE OBJECTIVES

1.1 Replacement of a standard clothes dryer with an ENERGY STAR®-certified unit to reduce energy consumption.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure

2.2. Install

2.2.1 The existing clothes dryer is not ENERGY STAR®-certified, or

2.2.2 A clothes dryer is not present but the infrastructure is intact (e.g., moisture exhaust, electrical receptacle, gas line [for gas dryers]), and an approved CSD waiver is obtained, or

2.2.3 One or more of the following operational issues are present in the existing dryer:

2.2.3(a) The appliance is inoperable or does not operate as intended (e.g., inoperable control panel, broken heating element, etc.)

2.2.3(b) Has defects that compromise efficiency (such as a failing motor)

2.2.3(c) Has a Health and Safety condition that will be resolved by installing a new clothes dryer (such as an electrical or CAS hazard).

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 No appropriate location is available for one or more of the following reasons:

3.1.1 Inadequate access to remove the existing unit and install a new unit.

3.1.2 The flooring is structurally inadequate to properly support the weight of the unit and will not be repaired prior to installation of the unit.

3.1.3 Clearance requirements cannot be met, including clearance for proper door swing.

3.1.4 The clothes dryer cannot be installed in a level, plumb, and stable condition.

3.1.5 Installation location is outdoors, unprotected, and exposed to weather.

3.1.6 Gas clothes dryers: Installation location does not provide adequate makeup air and correction is not feasible.

3.2 The electrical outlet used by the existing clothes dryer is not properly installed (e.g., it is hazardous, is not grounded, or has reversed polarity) and cannot be repaired.

3.3 A suitable clothes dryer moisture exhaust is not available.

3.4 Installation would violate the Appendix E Health and Safety Requirements.

3.5 The client refuses after measure benefits have been explained by the assessor.

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 When required by the local jurisdiction, a building permit to replace the existing clothes dryer shall be obtained and finalized.

4.1.2 Sizing Limitations

4.1.2(a) Sizing limitations for replacement clothes dryers shall be in accordance with the size and capacity of the existing unit.

4.1.3 Lack of a clothes washer shall not affect the feasibility of the clothes dryer measure.

4.1.4 Accessibility

4.1.4(a) If a clothes dryer qualifies for installation, and a pedestal is needed to improve accessibility for a client or occupants with physical limitations, installation of a basic pedestal will be permitted.

4.1.4(a1) The cost of the installed pedestal shall be billed to LIHEAP Limited Home Repair.

4.1.5 Stackable Units and Stacked Laundry Centers

4.1.5(a) A stackable clothes washer and dryer, or a stacked laundry center may be installed when both the clothes washer and dryer are being replaced as standalone measures and adequate clearances/infrastructure (dryer moisture exhaust, water supply, etc.) are available to allow for installation, and

4.1.5(b) When accepted by the customer after the differences have been explained.

4.2. Installation Procedure

4.2.1 Installation Location

4.2.1(a) Installation location shall provide the clothes dryer manufacturer's minimum specified clearances on all sides.

4.2.1(b) Ample room shall be available to fully open the clothes dryer door (i.e., minimum 90° door swing) shall be available.

4.2.1(c) Gas clothes dryers – makeup air:

4.2.1(c1) Installation location shall provide the clothes dryer manufacturer's minimum specified makeup air.

4.2.1(c2) When installed in a closet, the closet shall have a minimum opening of 100 sq. in. for makeup air or as specified by the manufacturer.

4.2.2 Leveling

4.2.2(a) Individual feet shall be adjusted to properly level the clothes washer with all four feet resting on the floor (Fig. 44-1).

4.2.2(b) After leveling, the locking nuts shall be tightened to hold the feet in place.

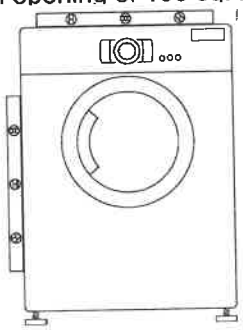


FIG. 44-1: CLOTHES DRYER IN LEVEL, STABLE POSITION

4.2.3 Pedestal

4.2.3(a) When an optional matching pedestal is utilized, it shall be installed as instructed and leveled as described above.

4.2.4 Electrical Requirements

4.2.4(a) Overcurrent protection and conductor size must be adequate.

4.2.4(b) Electrical supply shall be 220-volt (or 120-volt if appropriate for the dryer being installed) and shall meet manufacturer's specifications.

4.2.4(c) The clothes dryer must be plugged directly into a receptacle that is:

4.2.4(c1) A properly grounded three-prong receptacle with a functioning equipment grounding conductor (Fig. 44-2)

4.2.4(c2) GFCI-protected (when a grounding conductor is not present and will not be provided) unless otherwise specified by manufacturer's instructions or local code.

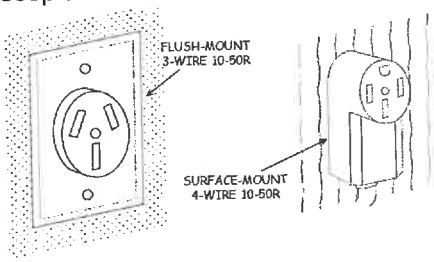


FIG. 44-2: 220-VOLT RECEPTACLE

4.2.4(d) If the receptacle cover plate is cracked, damaged, or missing, a new one shall be installed.

4.2.5 Extension Cords and Adapters

4.2.5(a) Gas dryers

4.2.5(a1) The grounding prong shall not be removed from the power cord

4.2.5(a2) An ungrounded three-prong adapter shall not be used

4.2.5(a3) An extension cord shall not be used

4.2.5(b) Electric dryers

4.2.5(b1) Permanent three-prong adapters and/or extensions cords are not allowed.

4.2.6 Gas Requirements (Gas Dryers Only)

4.2.6(a) Fuel gas supply line shall be no more than 6-feet from the dryer to the appliance valve.

4.2.6(b) New flexible connector with stainless-steel fitting and appliance valve shall be installed.

4.2.6(c) Threaded fittings shall be sealed with pipe thread compound or tape designed for use with gas lines.

4.2.6(d) All gas connections shall be tested for gas leaks in accordance with the Appendix A Combustion Appliance Safety Protocol.

4.2.7 Domestic Clothes Dryer Moisture Exhaust

4.2.7(a) Intake and exhaust air volume shall be compliant with the manufacturer's specifications.

4.2.7(b) Exhaust duct shall be a minimum of 4" in diameter.

4.2.7(c) Clothes dryer moisture exhaust shall not exceed 14' in total length unless otherwise specified by the clothes dryer manufacturer and local code.

4.2.7(c1) Subtract 2' from the total length (14' maximum) for each elbow, in excess of 2 elbows.

4.2.7(c2) The first 6' of pipe may be flexible duct to aid in alignment.

4.2.7(d) Moisture exhaust connections shall be secured with dryer hose clamps or aluminum tape.

4.2.7(d1) In addition to mechanical connectors, duct connections will be sealed with UL 181B or 181B-M material

4.2.7(d2) If a new dryer moisture exhaust will not be installed, the existing dryer moisture exhaust must meet the requirements above and be cleared of lint and other obstructions prior to the installation of the new clothes dryer.

4.2.8 Moisture Exhaust Termination

4.2.8(a) Moisture exhaust shall terminate on the exterior of the home and, unless otherwise specified by the manufacturer or local code, shall terminate in compliance with the following minimum clearances:

4.2.8(a1) 3' from an openable door or window

4.2.8(a2) 3' from the property line

4.2.8(a3) 10' from a window-mounted evaporative cooler or air conditioner (Fig. 44-3)

4.2.8(a4) 5' from a central air conditioner or heat pump condensing unit

4.2.8(b) Termination shall be equipped with a backdraft damper. Screens/mesh shall not be installed on the termination

4.2.8(c) Clothes dryer moisture exhaust duct shall not pass through an FAU plenum

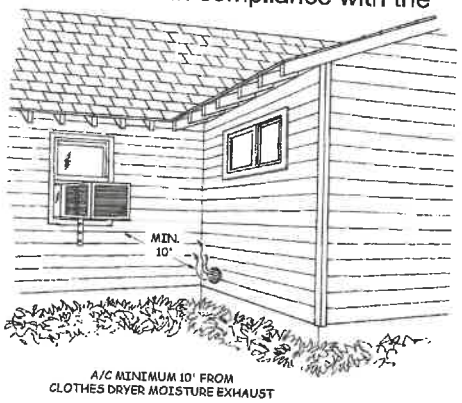


FIG. 44-3: MINIMUM CLEARANCE BETWEEN WINDOW AC AND TERMINATION

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., shared laundry facility, utility room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Manufacturer's start-up/test procedures shall be followed to ensure proper operation of the clothes dryer.

8.1.2 The test cycle shall determine if:

8.1.2(a) The dryer is stable

8.1.2(b) The heating element is working

8.1.3 Perform troubleshooting per the manufacturer's instructions as needed to correct problems.

8.1.4 Gas Clothes Dryers

8.1.4(a) Post-CAS appliance repair and replacement testing will be conducted in accordance with Appendix A Combustion Appliance Safety Protocol.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 11 years

9.1.2 DOE: Not applicable to this measure

9.2 Replacement Clothes Dryer

9.2.1 The replacement appliance shall:

9.2.1(a) Be ENERGY STAR®-certified

9.2.1(b) Have the following features:

9.2.1(b1) Moisture sensor

9.2.1(b2) Multiple temperature settings

9.2.1(b3) Maximum test cycle time of 80 minutes

9.2.2 When allowed to be installed, a Clothes Dryer Pedestal shall:

9.2.2(a) Meet manufacturer specifications

9.2.2(b) Be a basic model, without additional special features.

9.3 All Ducts

9.3.1 A gas or electric clothes dryer moisture exhaust shall:

9.3.1(a) Be of rigid metal and have a smooth interior surface

9.3.1(b) Be minimum 4" in diameter

9.3.1(c) Comply with clothes dryer manufacturer's specifications and applicable local codes

9.4 Rigid duct with smooth interior surface

9.4.1 Galvanized steel: Minimum 26 gauge

9.4.2 Aluminum: Minimum 24 gauge

9.4.3 Exception: UL-listed, flexible clothes dryer transition duct not more than 6' in length may be used to connect the dryer to a metal exhaust duct. Plastic venting material will not be used.

9.4.4 Flexible transition duct shall not be concealed within the contruction.

9.5 Moisture exhaust duct terminations

9.5.1 The termination shall be manufacturer for use with dryers and made of UL-listed aluminum, sheet metal, or ultraviolet (UV)-protected plastic with no mesh/screen.

9.6 Duct connections clamps and hangers

9.6.1 Duct connectors shall be listed stainless steel or impact-resistance plastic hose clamp style bands to be installed around a duct exterior

9.6.2 Duct hangers shall be rust- and corrison-resistant

9.7 Gas Piping and Valves

9.7.1 Gas valves

9.7.1(a) UL-listed, and

9.7.1(b) AGA- or CSA-certified

9.7.2 Flexible connectors

9.7.2(a) New, IAPMO-listed, and

9.7.2(b) Stainless steel or plastic- or epoxy-coated brass connectors

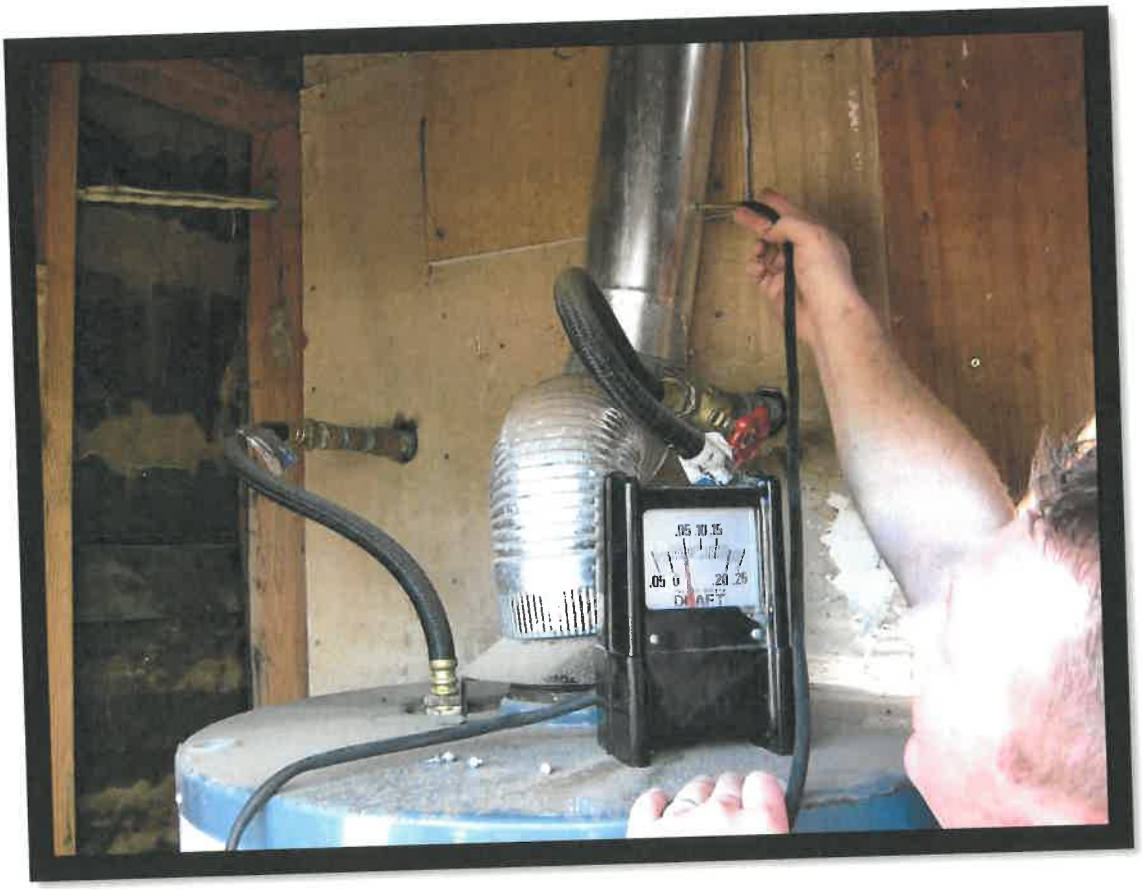
9.7.3 Fuel gas piping: Compliant with CMC, Chapter 13

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

Appendix A: Combustion Appliance Safety Protocol



DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT

Effective 1/1/2025

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Table of Contents

1. What Is CAS Testing? 6
1.1 What Does CAS Achieve? 6
1.2 Appliances That Affect the Living Space 6
1.2.1 Appliances that Affect Living Space 6
1.2.2 Appliances Not Affecting the Living Space 6
1.3 CAS Testing Feasibility Criteria 7
1.4 Record-keeping for CAS Testing 8

2. Test Types and What Triggers Them 8
2.1 Pre-CAS Test (performed during Home Assessment) 8
2.2 Interim-CAS Test 9
2.3 Appliance R&R CAS Test 9
2.4 Post-CAS Test 10

3. Qualified Technicians 11

4. Required Test Equipment and Accessories 12
4.1 Probe Extensions 13
4.2 Acceptable Materials, Cutting, and Bending 13
4.3 Extenders for 1/4" OD Probes (e.g., for Monoxors) 13
4.4 Extenders for 5/16" OD Probes (e.g., on Fyrite Pro) 14
4.5 Calibration for CO Test Instruments 14
4.5.1 Calibration Timeline 14
4.5.2 Calibration Limitations 15
4.5.3 Calibration Requirements 15
4.6 NOx Filter and Condensate Trap 15

5. CAS Testing Policies 16
5.1 Required Actions for a CAS Hazard or CAS Fail 16
5.2 Timeline for Correction of CAS Hazards and CAS Fails 16
5.3 Appliance Repair vs. Replacement 17
5.3.1 Repair Exceptions 17
5.4 Resolution of CAS Hazards and Fails 17
5.5 Inaccessible Appliances 18
5.6 Inoperable ("Non-Op") Appliances 18
5.7 Appliance Abandonment 18
5.7.1 Partial Abandonment 19

6. Descriptions of Abnormal Findings (Fails) 20
6.1 CAS Conditions and Responses 20
6.2 Advisory Conditions 20
6.3 CAS Hazards 21
6.4 CAS Fails 22
6.4.1 Natural Gas CAS Fail 22
6.4.2 Propane CAS Fail 22

6.4.3 Examples of CAS Fails 23

7. Special CAS Considerations 24
7.1 Propane (LP GAS) Conditions 25
7.2 Kerosene Conditions 26
7.3 Unsafe Gas Connectors 27
7.3.1 Identifying soldered connectors 28
7.4 NOx Furnace Recalls 29

8. Basic CAS Testing Procedure 32
8.1 STEP ONE: Gas Leak Check 32
8.2 STEP TWO: Visual Inspection 32
8.3 STEP THREE: CVA (Combustion Ventilation Air) Evaluation 33
8.4 STEP FOUR: Living Space Ambient CO Reading 33
8.5 STEP FIVE: Appliance Ambient CO Reading 33
8.6 STEP SIX: Flue Gas CO Test 33
8.7 STEP SEVEN: Appliance Draft Test and Spillage Check 33
8.8 STEP EIGHT: Combustion Appliance Zone (CAZ) "Worst Case" Tests 33
8.9 Repeat Steps 2 – 8 34
8.10 CAS Protocol Flow Chart 35

9. Gas Leak Check 39
9.1 Test Methods 39
9.2 Gas Leak Found 39
9.3 Gas Leak Correction 42

10. Visual Inspection 44
10.1 Table: Visual Inspection– All Appliances—ALL Dwellings 45
10.2 Table: Visual Inspection– Fuel Lines 46
10.3 Table: Visual Inspection– Operational Conditions—All Dwellings 47
10.4 Table: Visual Inspection– Return System Analysis 53
10.5 Table: Visual Inspection – Mobile Homes 54
10.6 Table: Visual Inspection - Vent Systems 57
10.6.1 Table: Visual Inspection–Pre-Existing Vent Pipe—Evaluation and Correction Requirements† 64
10.6.2 Table: Visual Inspection–Vent Clearances (New Vents) 67

11. CVA Requirements 69
11.1 What Is the Purpose of CVA? 69
11.2 CVA Client Education 69
11.3 Identify Appliance Type 70
11.4 Sources of Combustion Air 70
11.5 Visual Examination of All Existing CVA Vents 71
11.6 Minimum Indoor CVA 71
11.6.1 How Much CVA Is Required? 71
11.6.2 Calculate Indoor Room Volume 72
11.6.3 Calculate Indoor CVA 73
11.6.4 "Known Air Infiltration Rate" Options for Indoor CVA Volume 74

11.6.5 When Additional Indoor Room Volume Is Needed 76
11.6.6 Mobile Home Indoor Cva Requirements 77
11.7 Minimum Outdoor CVA 77
11.7.1 Visual Examination of Outdoor CVA Vents 77
11.7.2 Table: Policies for Existing CVA Vents to Outdoors 78
11.7.3 How Much Outdoor CVA Is Required? 84
11.7.4 Calculate Existing Outdoor CVA 84
FIGURE 11.7.5 –Applying Reduction Factors 87
Figure 11.7.6 – NFVA for Non-Standard Vents 89
11.7.5 CVA Calculation Quick Reference Table 89
11.8 When Additional Outdoor CVA Is Required 91
11.8.1 Vent Opening Area for New CVA Vents 91
11.8.2 Mesh Requirements for CVA Vents and Ducts 91
11.8.3 Table: Installation Criteria for New CVA Vents 92
11.9 Combination-Indoor & Outdoor CVA 94

12. Living Space Ambient Procedure 96
12.1 CO Analyzer Operation 96
12.2 Test Protocol 96
12.3 Zeroing Outdoors 96
12.4 Testing Procedure 96
12.4.1 FIRST Living Space Ambient CO Measurement 97
12.4.2 SECOND Living Space Ambient CO 98

13. Appliance Ambient CO Procedure 101
13.1 CO Analyzer Operation 101
13.2 Test Protocol For Space Heating Systems 101

14. Flue Gas CO Test Conditions and Procedures 105
14.1 CO Analyzer Operation 105
14.2 Test Locations 105
14.3 Open and Closed Door Tests 106
14.4 Flue Gas CO Tests By Appliance Type 110
14.5 Appliance Ambient Procedure for Water Heaters when flue gas CO Test is not feasible 117
14.5.1 CO Analyzer Operation 117
14.5.2 Test Protocol 117

15. Draft and Spillage Checks 120
15.1 Open and Closed Door Draft Tests 120
15.2 Appliance Set-Up 120
15.3 Instrumented (Measured) Draft Test 121
15.4 Instrumented Draft Test Procedures 122
15.5 Visual Draft Check 127
15.6 Spillage Check 129

16. Summary of CAZ Test Procedures 131
16.1 Overview of Steps You Will Take To Perform the CAZ Procedure 131
16.2 WORKSHEET FOR RECORDING CAZ TESTING DATA 131

16.3 Set up the house for "Baseline" Testing 132
16.4 Measure Baseline Pressure in the CAZ 133
16.5 Summarizing the "Worst Case" procedure 134
16.6 Worst Case Test Condition A – Exhaust Fans Only 134
16.7 Worst Case Test Condition B – Air Handler & Exhaust Fans 135
16.8 Worst Case Test Condition C – Air Handler Only 136
16.9 Evaluate the "Worst Case" Condition 136
16.10 Pressure Balancing Procedure When FAU Is Present 137
16.11 Corrective Action To Reduce Imbalance 137

17. Appliance Default Values 140

18. CO Action Levels 141

19. CAS Tests Required, By Appliance Type 143
19.1 CO Test Locations 145

20. Special Policies for Gas Refrigerators 148
20.1 Visual Inspection 148
20.2 Required Testing Procedures 148

Step Two

VISUAL INSPECTION

REMEMBER: If any **CAS Hazard** or **CAS Fail** condition is identified that cannot be corrected:

- (DOE Program or dwelling leveraged with DOE) The dwelling shall be DEFERRED.
- (LIHEAP) The dwelling shall be NIM (non-infiltration reduction measures) only.

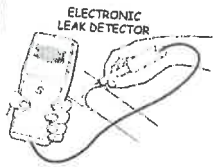
9.3 GAS LEAK CORRECTION

After mitigation of a fuel leak, if repair/replacement is required, it shall be performed in accordance with TRM Appendix E, item 9.4.

If the home is a mobile home, and the appliance is not one that can be repaired or replaced in the CSD WAP (a DOE job), client permission must be obtained to safely remove the malfunctioning appliance. If removal is not allowed by the client, the dwelling must be deferred. Appliance abandonment is not allowed.

Using CSD WAP Health & Safety funds for environmental testing of soil or water is prohibited.

TABLE 9.2: REQUIRED GAS LEAK CHECKS

Test Type	Application	Test Procedures	Precautions
Electronic Leak Detector  	Recommended method (easier for hard-to-reach locations, and doesn't rely on sense of smell). • Requires the technician to move the tester no faster than 1" per second to obtain a proper reading.	This is the best method when: • Appliance is difficult to move and/or may damage the floor, and/or • Flex connector is pre-1973 or older-style with soldered fittings. Check without moving the unit. • Check around fittings on valves, flexible gas connectors, and pipes (including caps on pipes and valves)	• Do <u>not</u> use an Electronic Leak Detector *after* applying a commercial leak detection liquid, because vapors from the liquid may produce a <u>false positive</u> result. • Always use the electronic leak detector <u>first</u>, and then use bubbles to locate any leak detected electronically.
Bubble Test 	Application of the commercial leak detection liquid or spray (or solution made with liquid detergent/soap and water), used to pinpoint the location of a leak found by smell or electronically.	Apply to fittings on valves, flexible gas connectors, and pipes (including caps on pipes and valves)—but <u>avoid</u> spraying into the internal parts of the appliance gas control valve.	Not feasible when: • Valves and fittings cannot be safely accessed, such as when an appliance is built-in. • Moving appliance is difficult and/or may damage the floor. In that case, dab or spray liquid onto any valves/fittings that can be reached without moving the unit.
Olfactory ("Sniff") Test *Graphics Credits: RHA, Inc.*	This is not a standard test; however, technicians may also use their nose to smell for the odor of gas in the following locations: • Within 2 feet <u>above</u> natural gas valves and fittings. • Within 3 inches <u>below</u> propane valves and fittings.	If leak is detected by smell, technician must follow up with a Bubble Test to pinpoint location of the leak.	This method is the least precise and is <u>not</u> feasible when a compromised sense of smell cannot properly detect odorant. Note: Aldehydes have an acrid odor and irritate the nose and throat. Aldehyde odor is a sign of improper burner operation and creation of CO—and a warning to look for other defects and test for high CO.

If the odor of leaking gas is strong inside the house:

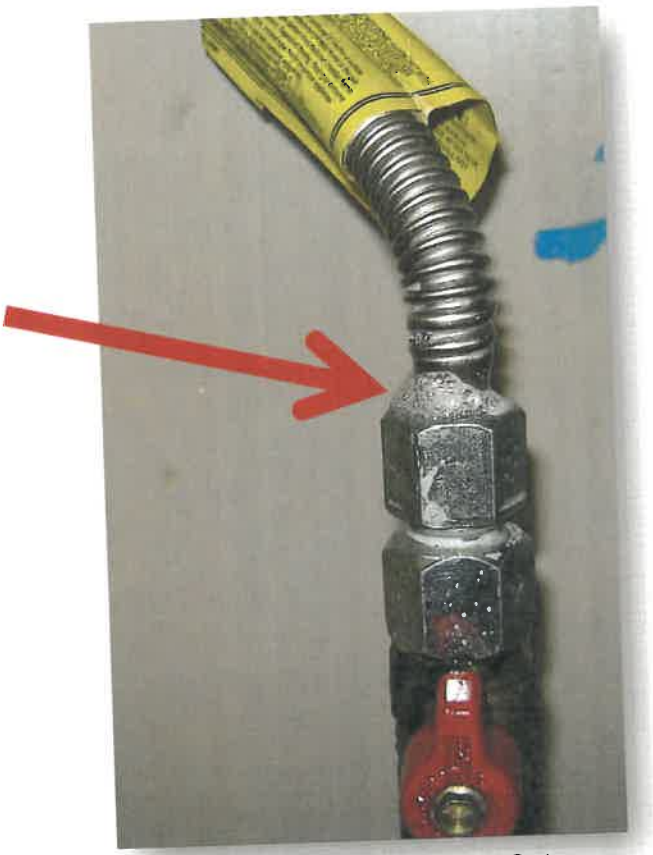
- Avoid using light switches, telephone, or flashlight (3-cell or larger), to prevent electric sparks that might ignite gas fumes.
- Telephone from outside the house (e.g., on a cell phone or a neighbor's phone).
- Wait outside for repair service, and do not turn off the gas at the meter (unless instructed to do so by the utility)—because:
  - Turning off the valve at the gas meter when the concentration is over 10% can allow dilution by air and return the mixture to a more dangerous state.

Gas leaks must be repaired only by qualified technicians (see Section 3).

- A *strong* gas leak shall be fully corrected by a qualified technician before:
  - Appliances are operated for further CAS tests, or
  - Any infiltration-reduction measures are installed.

Record any information about gas leaks and details about their repair in the CSD 700 series forms.

- Note: When there is presence of a "fuzz leak" (identified as a non-existent or faint gas odor detected approximately 1-foot above the location and *very small* bubbles), CAS testing may continue; however, the fuzz leak shall be noted in the CAS Form (CSD 700 Form series), and the appliance shall be checked by a qualified technician before weatherization is complete.



Graphic Credit: PG&E Energy Training Center

9. Gas Leak Check

Graphic Credit: RHA, Inc.

Assessors and crews must perform gas leak checks on ALL natural gas and propane-burning appliances, including gas log lighters, gas logs, and gas fireplaces/inserts.

9.1 TEST METHODS

Check for gas leaks shall be performed:

- Prior to conducting CO and Draft Tests.[2]
- With combustion appliances and exhaust fans/devices turned off.
- For all appliances affecting the living space, and when any part of a combustion appliance (appliance body or vent termination) is:
  - *Less* than 4' below or to the side of, or 1' above, an operable door or window into the living space, or
  - Clearances do not meet manufacturer's specifications, if different.
- Appliances shall be checked for gas leaks at fittings on valves, flexible gas connectors, and pipes (including caps on pipes and valves).
- One or more of the following methods shall be used to detect leaks. Additional detail about these tests is provided in Table 9.2.
  - Method (a): Air sampling with electronic leak detection equipment.
  - Method (b): Bubble Test with application of leak detection liquid.
  - Method (c): Olfactory ("Sniff"). This method is not an accepted "test", but may provide some indication that a leak is present.

9.2 GAS LEAK FOUND

A gas leak (natural gas or propane) is a CAS Hazard that must be corrected immediately upon identification of the hazard. Do not attempt to fix gas leaks, unless trained and specifically instructed by management to do so. Use this tool to remember what to do immediately:

STOP testing immediately. Postpone remaining CAS tests until after the leak is repaired.

TALK to the client. Warn him/her to not use the appliance or all other nearby combustion appliances (cook stove, clothes dryer, etc.) to avoid igniting leaking gas.

ORGANIZE. It may be necessary to help the client to contact the gas utility or propane dealer. If the leak is strong, evacuate the home before contacting the utility.

PHONE your supervisor to report the problem. Confirm with the client that the leak must be repaired immediately—within 18 hours.

[2] Gas control valves can start leaking *after* the burner lights, so an additional leak check should be done then.

Step 1

GAS LEAK CHECK

REMEMBER: If any CAS Hazard or CAS Fail condition is identified that cannot be corrected:

- (DOE Program or dwelling leveraged with DOE) The dwelling shall be DEFERRED.
- (LIHEAP) The dwelling shall be NIM (non-infiltration reduction measures) only.

CAS Test Procedures

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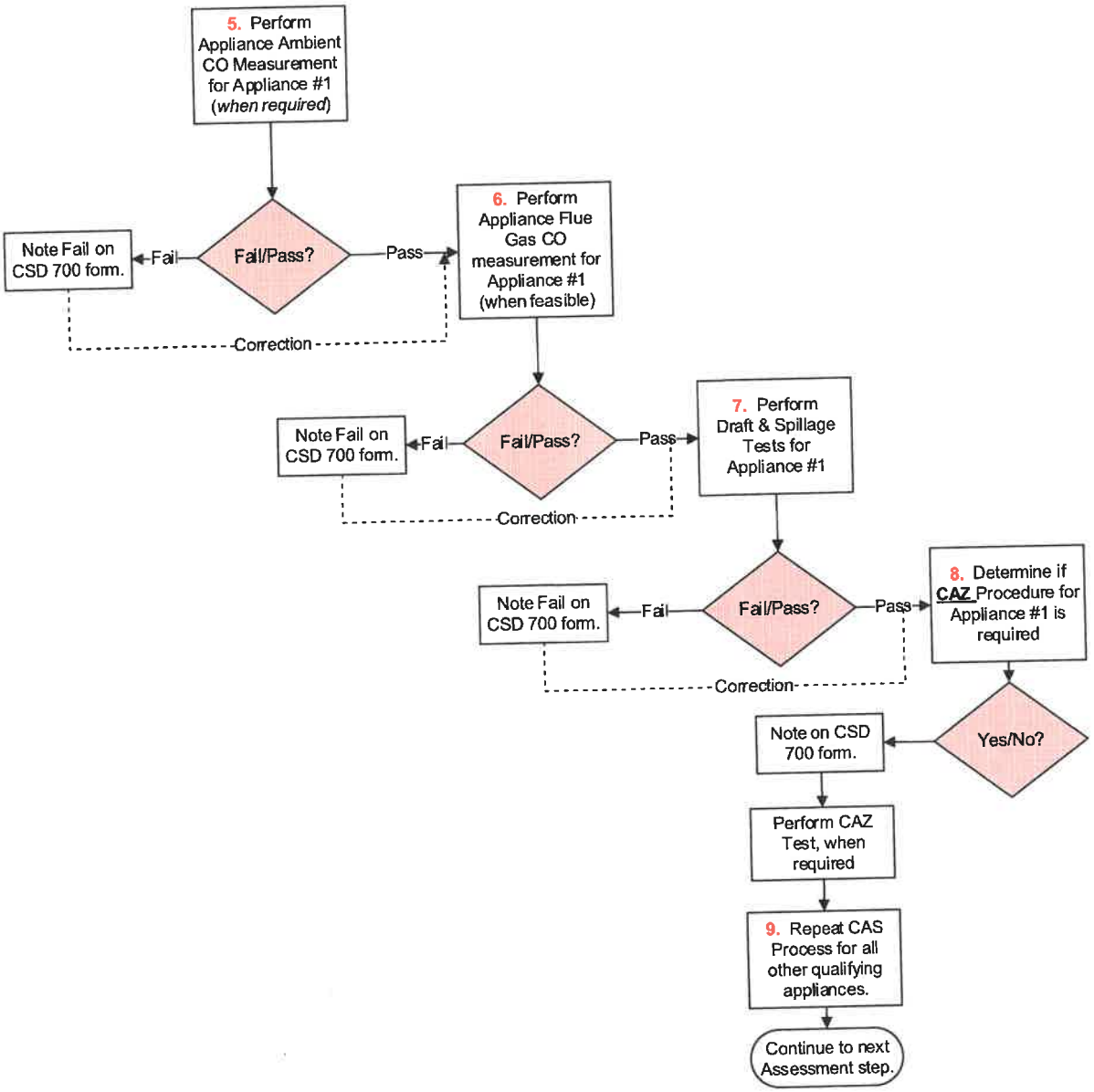
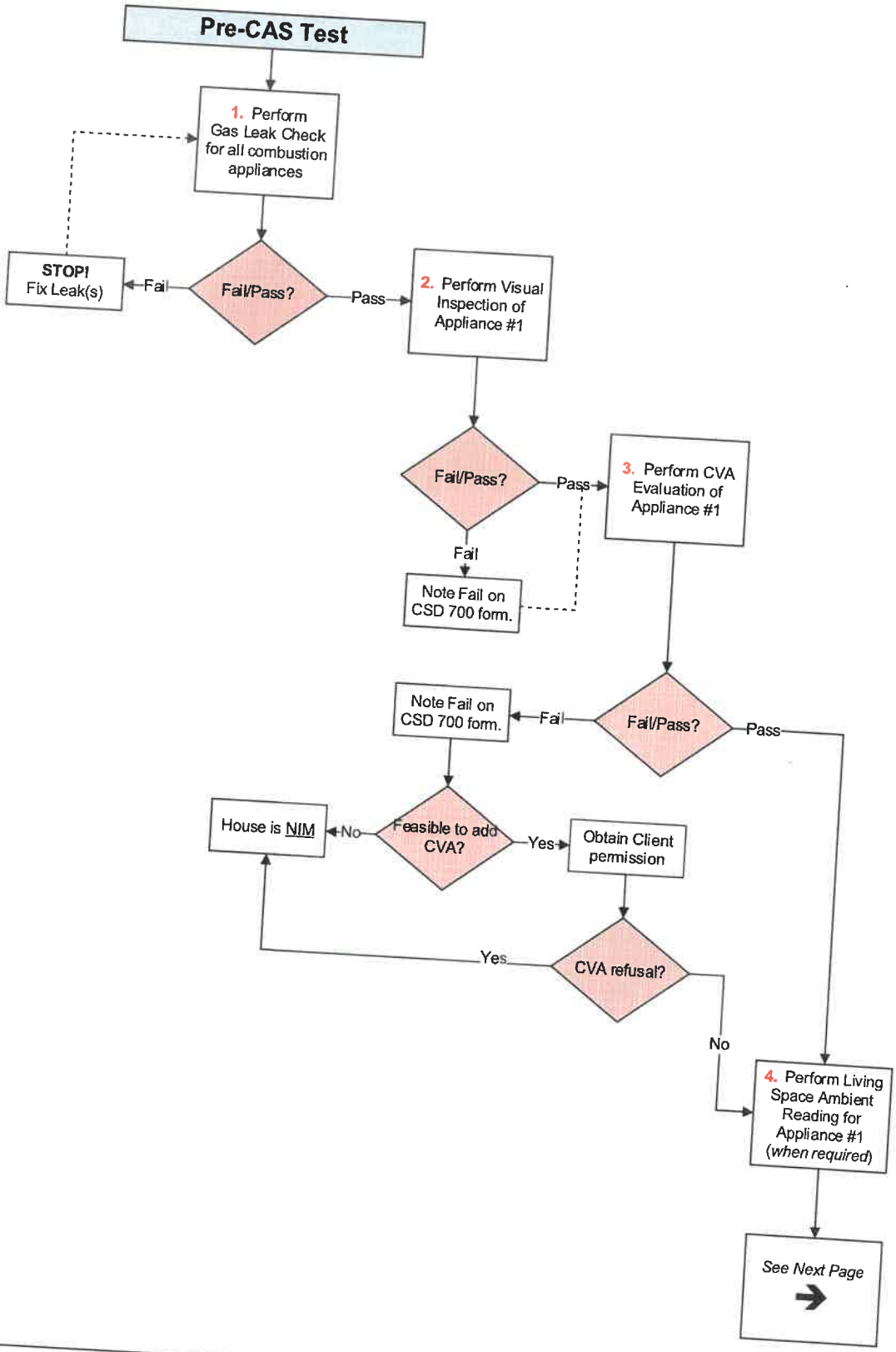

5. Perform Appliance Ambient CO Measurement for Appliance #1 (when required)
Fail/Pass?
Fail
Note Fail on CSD 700 form.
Pass
6. Perform Appliance Flue Gas CO measurement for Appliance #1 (when feasible)
Correction
Fail/Pass?
Fail
Note Fail on CSD 700 form.
Pass
7. Perform Draft & Spillage Tests for Appliance #1
Correction
Fail/Pass?
Fail
Note Fail on CSD 700 form.
Pass
8. Determine if CAZ Procedure for Appliance #1 is required
Correction
Yes/No?
Note on CSD 700 form.
Perform CAZ Test, when required
9. Repeat CAS Process for all other qualifying appliances.
Continue to next Assessment step.

8.10 CAS PROTOCOL FLOW CHART

The flow chart on the next two pages takes you through the whole CAS testing procedure. At each step, you will need to make a decision. The decision will take you to either the next CAS step—or to the correction that must be made, before the testing can continue.



- Mobile Homes: CAZ testing is required when combustion air is drawn from the living space by any of the following appliances:
  - an open combustion space heater, or
  - an open combustion water heater, or
  - a solid-fuel stove or insert (wood or pellet).

8.9 REPEAT STEPS 2 – 8

Now that you've used steps 2 through 8 to test one combustion appliance, all additional combustion appliances must be tested in the same way, by repeating the same steps.

8.3 STEP THREE: CVA (COMBUSTION VENTILATION AIR) EVALUATION

This step determines if each appliance has enough fresh air to operate properly in the room or enclosure where it is located. The assessor will evaluate CVA for each appliance and provide this information to crews on the CSD 700 or 702 Form when additional combustion and ventilation air is needed.

8.4 STEP FOUR: LIVING SPACE AMBIENT CO READING

Next, two ambient carbon monoxide (CO) readings are taken in the living space. This test is used to determine if the home, with the normal operating state of the space heating appliance(s), has excessive CO present in the living space.

8.5 STEP FIVE: APPLIANCE AMBIENT CO READING

Immediately after the second Living Space Ambient CO reading is taken, the Appliance Ambient CO reading is taken for the space heating and water heating appliances(s), to ensure that the appliances are not sending CO into the living space.

8.6 STEP SIX: FLUE GAS CO TEST

The flue gas CO test determines whether or not the amount of CO carried in the appliance vent is within acceptable limits.

Note: When a flue gas CO test is not feasible (i.e., test location is inaccessible) or is not possible because of the type of appliance, an Appliance Ambient CO test is substituted. Check Section 13 for a description of the required procedures.

8.7 STEP SEVEN: APPLIANCE DRAFT TEST AND SPILLAGE CHECK

The appliance Draft Test and Spillage Check is a two-stage process:

- First, a Draft Test is conducted to determine whether negative pressure in the vent pipe is adequate for proper exhaust of combustion gasses up through the vent system.
- Then, the appliance is checked at the draft hood for evidence of "spillage"—which is escape/outflow of combustion gases from the draft hood opening (because gasses are not exiting the vent pipe as they should).

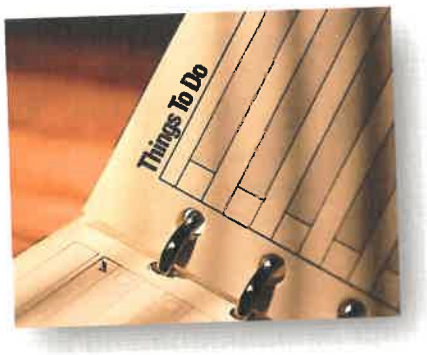
8.8 STEP EIGHT: COMBUSTION APPLIANCE ZONE (CAZ) "WORST CASE" TESTS

When an open combustion natural draft appliance is located inside a living space, a CAZ Test must be performed to determine whether exhaust devices or duct system imbalance are causing the combustion appliance zone to become overly depressurized. This can cause appliances to draft poorly or "backdraft", which is a dangerous condition.

CAZ testing is used to find and correct room-to-room imbalances, and make sure that a home is not brought below the House Depressurization Limit (HDL). CAZ testing is required for the following appliances and building types:

- Conventional Homes: A solid-fuel combustion appliance drawing combustion air from indoors.

8. Basic CAS Testing Procedure



For each combustion appliance affecting the living space, the following tests are required:

- Gas leak check.
- Visual inspection of appliance and vent system.
- CVA (combustion ventilation air) evaluation.
- Living space ambient carbon monoxide (CO) reading
- Appliance Ambient CO reading.
- Flue gas CO reading.
- Draft test of the appliance.
- Combustion appliance zone (CAZ) test, when applicable.

For each combustion appliance not affecting the living space, the following tests are required:

- Gas leak check.
- Visual inspection of appliance and vent system.

In CSD's weatherization program, the minimum CAS test procedure is made up of eight (8) steps, and is repeated for both pre- and post-tests. These 8 steps are repeated to test all types of combustion appliances.

8.1 STEP ONE: GAS LEAK CHECK

The gas leak check is the first test done during the home assessment, and it is the first step in all CAS testing to ensure that the combustion appliances in the home are not leaking gas. It is required that all combustion appliances be checked for leaks first, because if a leak is found, the CAS testing procedure must **STOP** immediately. Once the gas leak check is complete for all appliances, the additional steps (2-8) are repeated at each appliance.

8.2 STEP TWO: VISUAL INSPECTION

If no gas leaks are present (or identified leaks have been repaired), the CAS procedure continues with the 2nd step—the visual inspection, which includes identification of:

- Appliance inaccessibility;
- Unvented heating systems, including use of cooking appliances to warm the home;
- Unsafe gas connectors;
- Vent, draft hood, and vent system abnormalities;
- Heat exchanger defects; and
- Lack of appliance safety features (such as combustion chamber cover or shield) and improper alterations.

COMPANY NAME	TRADE NAME	"NOx Rod Furnace" MODEL NUMBERS
Goodman Manufacturing Company	**Franklin Electric, Goodman, GMC, Hamilton Electric, Janitrol, Johnstone, Liberty**	HBA040ND3(X, RX, XC or RXC), HBA060ND3(X, RX, XC or RXC), HBA080ND4(X, RX, XC or RXC), HBA100ND5(X, RX, XC or RXC), HBA120ND5(X, RX, XC or RXC), HCA040ND3(X, RX, XC or RXC), HCA060ND3(X, RX, XC or RXC), HCA080ND4(X, RX, XC or RXC), HCA100ND5(X, RX, XC or RXC), HCA120ND5(X, RX, XC or RXC), HCA140ND5(X, RX, XC or RXC), HCC040ND3(X, RX, XC or RXC), HCC050ND3(X, RX, XC or RXC), HCC060ND4(X, RX, XC or RXC), HCC075ND4(X, RX, XC or RXC), HCC080ND5(X, RX, XC or RXC), HCC100ND5(X, RX, XC or RXC)
Heat Controller, Inc.	**Comfort-Aire**	GSH40-T3N-X, GSH50-T3N-X, GSH60-T4N-X, GSH75-T4N-X, GSH80-T5N-X, GSH100-T5N-X
ICG/Keeprite	**Keeprite**	HAC/HCC, HBA
Johnson Supply	**Air Star**	SGH
Magic Chef Air Conditioning	**Magic Chef**	EG, ENG
MLX Refrigeration and Air Conditioning	**Heatmaster**	HAC/HCC, HBA
Premier Furnace Company	**Premier, Sunburst, Sun Glow, PFC, Carrier, Sunbelt**	HAC/HCC, HBA
Sears	**Kenmore**	735
Square D Company	**Sundial**	GH
The Trane Company	**Trane (XE60, XE70, XL80), American Standard**	THN050A936A, THN060A948A, THN075A948A, THN100A960A; also THS and THD
Westbrook Distributing, Inc.	**Heatmaster**	HAC/HCC
Any company	**Any brand**	HAC/HCC
Additional information may be obtained online at the following websites: • FAQ website: http://www.furnaceinspect.com/questions.shtml#1 • CPSC recall list: http://www.cpsc.gov/cpscpub/prerel/prhtml01/01189.html • Fire Marshal's recall list: http://www.furnaceinspect.com/includedmain.shtml		
If in doubt about whether a horizontal FAU is a NOx rod unit, call your supervisor for advice and assistance!		

TABLE 7.4.1: LIST OF NOX ROD FURNACES RECALLED MODELS

COMPANY NAME	TRADE NAME	"NOx Rod Furnace" MODEL NUMBERS
Addison Products Co.	**Weatherking**	GHC
Amana Company	**Amana**	GSE50DN3X, GSE75DN3X, GSE100DN5X
Arco Comfort Products	**ACP, Arcoaire, Northrup**	GHB
Bard Manufacturing	**Bard**	ESG040D36B, ESG040D36BC, ESG050D36B, ESG050D36BC, ESG060D36B, ESG060D36BC, ESG060D48B, ESG060D48BC, ESG080D60B, ESG080D60BC, ESG100D60B, ESG100D60BC, ESG120D60B, ESG120D60BC, ESG140D60B, ESG140D60BC, ESG050D36D, ESG060D48D, ESG075D48D, ESG080D60D, ESG100D60D, ISG060D36AX, ISG080D48AX, ISG100D60AX, ISG120D60AX
Carrier Corporation	**Sunburst by Carrier Southern California**	HAC040N(D,E, or F)3RXC, HAC050N(D,E, or F)5RXC, HAC050ND3RXD, HAC060N(D,E, or F)4RXC, HAC075N(D,E, or F)4RXC, HAC080N(D, E, or F)5RXC, HAC100N(D, E, or F)5RXC
Climate Control	**Climate Control**	GHC
Coleman Company (Evcon Industries)	**Coleman**	2505-25090B/ 2505-2509C, BGH
Consolidated Industries	**Consolidated**	HAC/HCC, HBA
DMO Industries	**Duomatic-Olsen, Olsen, Airco**	HCC, HBA
Goettl Air Conditioning, Inc.	**American Best, Goettl**	HAC040N(D, E, or F)3RCX, HAC050N(D, E, or F)3RCX, HAC040N(D, E, or F)3RXD, HAC050N(D, E, or F)3RXD, HAC040N(D, E, or F)3RXC, HAC050N(D, E, or F)3RXC, HAC060N(D, E, or F)4RXC, HAC075N(D, E, or F)4RXC, HAC080N(D, E, or F)5RXC, HAC100N(D, E, or F)5RXC, HCC040N(D, E, or F)3RX, HCC050N(D, E, or F)3RX, HCC060N(D, E, or F)4RX, HCC075N(D, E, or F)4RX, HCC100N(D, E, or F)5RX, HBA040N(D, E, or F)3RX, HBA060N(D, E, or F)3RX, HBA080N(D, E, or F)4RX, HBA100N(D, E, or F)5RX, HBA120N(D, E, or F)5RX

7.4 NOX FURNACE RECALLS

When performing CAS visual inspection of a horizontal furnace, it is important to determine whether it is one of the "NOx rod furnaces" subject to recall. These furnaces have potential fire hazards associated with the burner design. "NOx rod furnaces" were sold in California from January 1983 through December 1991.

- When checking horizontal furnaces:
  - Look for gas-fired horizontal units (like the pictures below) that are equipped with steel "NOx rods" installed above the burners. These units must be checked by a qualified technician.

Photo Credit: RHA, Inc.

Photo Credit: RHA, Inc.

These gas-fired horizontal furnaces have steel "NOx rods" installed above the burners. The picture on the right has more detail.

- If identified:
  - Check the nameplate on each horizontal furnace to determine if it was manufactured before 1992. If it was (or you can't tell), check to see if the model number is one listed in Table 7.4.1.
  - Schedule the furnace for examination by a qualified technician when:
    - The furnace is on the recall list, or
    - The model number cannot be determined (e.g., missing or illegible), or
    - Visual inspection reveals NOx rods in the combustion chamber.
  - If the furnace is determined to be a "NOx Rod Furnace" subject to recall, then:
    - The furnace is a **CAS Fail** and must be replaced before infiltration reduction measures are installed. If the appliance is on the recall list but replacement is not feasible, infiltration-reduction measures shall not be installed.
    - When an identified recalled FAU is replaced by the manufacturer at no cost, the weatherization contractor shall be reimbursed only for costs actually incurred, generally limited to ancillary components and installation labor. Costs for the unit itself shall not be billed to the weatherization program when the unit is replaced by the manufacturer.

- If it is clogged or leaking, it is a **CAS Hazard**. Document the issue in the CSD 700 and mitigate within 18 hours.

7.3.1 IDENTIFYING SOLDERED CONNECTORS

A flexible gas connector is considered unsafe and *must be replaced* with a new listed flexible gas connector when it is: **kinked, corroded, shows signs of visible wear, was manufactured before 1973** (per date ring near fitting), **or has any soldered connections.**

Protect your clients by correctly identifying and responding to soldered gas connectors:

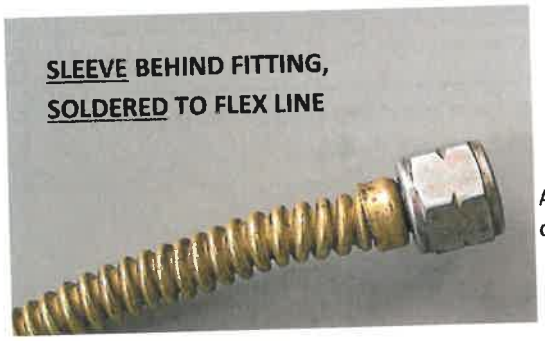
1. **All soldered** flexible gas connectors are made of **uncoated brass**, and **must** be replaced.
2. **Not all uncoated brass connectors are soldered**, and if not soldered, replacement is not required.

Learn to recognize connections that are soldered...

IMPROPER BRASS FLEX CONNECTORS WITH SOLDERED-ON FITTING AND NO COATING

At the right is a **soldered** connector with corrugations right up to the fitting (soldered joint location).

***Improper** (soldered) flex connectors:*
*(a) are always brass color, **and***
*(b) have corrugations right up to the fitting, **or***
(c) have a short sleeve covering the corrugations behind the fitting.



At the left is a **soldered** flex with a short sleeve covering the corrugations behind the fitting.

PROPER FLEX CONNECTOR WITH SMOOTH NECK AND GRAY COATING

Pictured to the right is an **acceptable** connector with a smooth neck entering the fitting (it may also be uncoated, plain brass).
Note that it has a *gray coating,* which soldered flex connectors do not have.

***Proper** flex connectors:*
*(a) may be brass without a gray or yellow coating, **or***
*(b) may be silver (stainless steel instead of brass), **and***
(c) have a smooth neck between the corrugations and the fitting.

Graphic Credit for all photographs on this page: RHA, Inc.

If in doubt about whether a flex connector is soldered, call your supervisor for advice and assistance!

7.3 UNSAFE GAS CONNECTORS

Soldered Flexible Gas Connectors

Until about 1986, uncoated brass flexible gas connectors were made with one or both threaded fittings soldered onto the flex tubing ("butt-soldered" joints). Solder may react with gas and become weakened, causing the soldered joint to break loose when the connector is disturbed, and creating a catastrophic gas leak and potential explosion of gas ranges or clothes dryers.

Photo Credit: CROBERTS.com

- When checking for gas leaks in older homes:
  - Look for uncoated brass flexible gas connectors with either or both fittings soldered onto the flex tubing.
  - Use information and procedures on the next page to help with the identification and correction of soldered flexible gas connectors.
  - Resource: Consumer Product Safety Commission at http://www.cpsc.gov.
- If identified:
  - It is leaking gas, list as a **CAS Hazard** in the CSD 700. If natural gas, the utility shall be notified immediately. Turn off the *appliance line valve*. Do not attempt to tighten fittings. Correction within 24 hours is required.
  - If not leaking gas, list the connector as a CAS Fail in the CSD 700 and replace with a new listed connector, if qualified and authorized to do so.[1]
  - Do not bend or disturb the connector or fittings—and do not move the appliance.

Copper Tubing Used as a Gas Connector

Copper is no longer used; however, in some older installations, copper tubing was used to bring gas from the appliance line valve to the appliance. Copper reacts with gas, causing deterioration of the metal and sometimes blockage of the line.

- Replace the unsafe copper connector with a new listed connector, if qualified and authorized to do so (or have it done by a qualified technician).
- When checking for gas leaks in older homes: a copper connector is not a **CAS Hazard**, unless it is clogged or leaking.
- If identified:
  - If it is not clogged or leaking, list it in the CSD 700 as a CAS Fail.

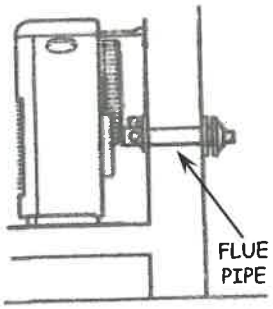
> ***When replacing an unsafe gas connector, it is best practice to replace the gas valve at the same time, especially "spring"-type gas valves.***

[1] Contact the gas supplier to determine if they have a replacement program for soldered or copper tubing gas connectors (some utilities replace unsafe connectors at no charge).

7.2 KEROSENE CONDITIONS

When a home is heated with a kerosene-burning appliance, check these conditions:

- Appliance Venting—does a flue pipe take combustion gases outdoors?
- Heater Location—is a heater located too close to combustibles? Is there scorching?
- Fuel Tank Location—is kerosene piped in from an unsafe outdoor storage tank?



EXAMPLE OF A DIRECT VENT KEROSENE HEATER

Graphic Credit: RHA, Inc.

Appliance Venting

- Some homes have code-conforming *vented* kerosene heaters (such as Monitor® and Toyotomi® models) that:
  - Are mounted on the floor near a wall, and
  - Have a "flue" pipe extending outdoors—usually through the wall (possibly through a window using a special window kit).
- These are usually direct vent (DV) appliances, with a double-chamber flue system that brings in combustion air through one chamber and exhausts combustion gases out through the other.
- A kerosene heater used for residential space heating must be vented outdoors. If not, it is an unvented heater, which is a **CAS Fail** and makes the home NIM.

Appliance Location

- Direct Vent kerosene space heaters can usually be located fairly close to combustibles. Clearances vary by make and model, so consult the installation manual. Check at the manufacturer's website, when possible.
- In the absense of instructions, the following default clearances from combustibles may be used (which may be greater than required by the manufacturer):
  - Front = 5', • Rear = 6", • Sides = 1', • Top = 2'
- Advise occupants when there is an inadequate clearance. If there is scorching of combustibles, see below.

Fuel Tank Location

- Manufacturer's Instructions: Manuals specify outdoor tank clearance from a "heat source"—which may be a combustion appliance burner, draft hood, or vent termination (including that of the kerosene heater).
  - Recommended clearances range from 3' (Monitor®) to 6' (Toyotomi®). Check the specific installation manual.
- National Standards: NFPA 31 allows location of a kerosene storage tank *adjacent to* a home, but it must not be too close to a heat source, and the tank and fuel line must not sag or leak.
- Local Code: The local building department and fire marshal interpret the safety codes regarding clearances, support, warning signs, etc.
  - A home is not NIM simply because an outdoor kerosene tank is adjacent to a wall.
  - When in doubt, the local jurisdiction can tell you if tank location or condition may be unsafe (or may be a code violation).

CHECK TANK AND PIPE FOR UNSAFE CONDITIONS

Photo Credit: © 2015 InspectAPedia.com

What to Do

- **Defer** the home when there is a known code violation or obvious unsafe condition and correction is outside the program scope, such as:
  - The storage tank is too close to a heat source.
  - The storage tank or fuel line is leaking.
  - The storage tank is sagging, or any other aspect of the tank/installation is unsafe.
  - There is scorching of combustibles due to inadequate indoor clearance from the heater.
- **Weatherize** the home. Install:
  - All measures, when the heater and storage tank do not appear to be unsafe or in violation of local code.
  - Non-infiltration measures, when storage tank against the wall is a violation of local code (home is NIM).

7.1 PROPANE (LP GAS) CONDITIONS

Regular propane tanks may not be within 10 feet of a building. Here is a summary of clearances typically applicable to weatherization situations:

Photo Credit: Public Domain

Tanks Under 125 Gallons

- Minimum 5' from doors, windows, and crawlspace vents.
- Minimum 10' from any combustion or ignition source, such as window/wall AC, central AC condenser, direct vent appliance terminal, open combustion appliance, or any open flame.

Tanks 125 to 500 Gallons

- Minimum 10' from doors, windows, and crawlspace vents.
- Minimum 10' from any combustion or ignition source, such as window/wall AC, central AC condenser, direct vent appliance terminal, open combustion appliance, or any open flame.

Tanks More Than 500 Gallons

- Minimum 25' from the building.

When a tank does not meet the correct clearance requirement, the property owner shall be notified of the nonconforming condition in writing as an Advisory Condition, but the home is not NIM.

IMPORTANT NOTE: Rubber tubing shall NEVER be used to connect the tank to the appliance. If rubber tubing is used, it is a **CAS Fail**.

PORTABLE PROPANE TANK WARNING

At the right is an example of a portable 5–10-gallon propane tank. Other types of portable tanks include smaller cylinders used for camping stoves.

Photo Credit: Public Domain

It is ***illegal and very unsafe*** to have a small propane cylinder inside a closed building (especially a dwelling). The regulator vents gas into the atmosphere, so indoors it would vent propane into the living space -- which, if ignited, could cause an explosion.

Therefore, when any propane tank is encountered *inside the home* to fuel an indoor appliance:

- CAS Testing shall NOT take place for any appliance.
- Raw propane fumes inside the home constitute an explosion hazard, and the weatherization contractor shall not install **ANY** measures.
- A Deferral Form must be completed to notify the occupants and owner that the condition is very unsafe and must be corrected before any weatherization services shall be provided. You must carefully list the conditions that have led to the home deferral on the Deferral Form and obtain the client's signature.

If a portable 5–10-gallon tank is properly set up outdoors (more than 5' from the building, doors, windows, and crawlspace vents), no gas leak exists, and the regulator and tubing are in good condition (also **NOT** rubber tubing), etc., then a CAS test may be conducted and weatherization work completed in accordance with programmatic policies.

If in doubt about whether a CAS test or weatherization work is feasible, call your supervisor for advice and assistance!

- Furnace roll-out shield missing (if manufactured with one).
- Air Handler door defective or missing (opening must be temporarily sealed for testing). Note: This is a CAS Hazard when the FAU is natural draft, or a natural draft water heater is in the same enclosure.

WATER HEATER CAS FAILS

- Flammable Vapor Ignition Resistant (FVIR) water heater system that has been activated. When identified, the water heater shall be replaced (it cannot be repaired).
- Closed combustion or FVIR water heater, with combustion chamber access not securely closed and sealed.
- Open combustion water heater with both combustion chamber inner shield and outer door missing.

OTHER APPLIANCE CAS FAILS

- Gas range with three or more defective burners. (Note: A cooktop with up to 2 non-operational burners, is not a CAS Fail.)
- Gas clothes dryer in the living space with moisture exhaust not ducted outdoors.

MOBILE HOME CAS FAILS

- Mobile Home that has one or more of the following conditions:
  - Gas cooking, but gravity or mechanical ventilation not present.
  - Space heater, water heater, or solid fuel appliance is drawing combustion air from the living space, unless the CAZ is less negative than the HDL.

7. Special CAS Considerations

There are some unique combustion appliance conditions that require additional information in order to determine if a CAS Hazard or a CAS Fail may be present. The following sections are intended to provide supplement the knowledge of field technicians, and help them make more informed decisions.

Specifically, this section provides information about:

- Propane Conditions
- Kerosene Conditions
- Unsafe Connectors
- NOx Furnace Recalls

6.4.3 EXAMPLES OF CAS FAILS

Examples of CAS Fails are provided below:

TABLE 6.4.3: EXAMPLES OF CAS FAIL CONDITIONS

CAS FAILS TO BE CHECKED BY A QUALIFIED TECHNICIAN AND CORRECTED WITHIN 20 BUSINESS DAYS

ALL COMBUSTION APPLIANCE CAS FAILS

- Appliance enclosure floor or platform that is deteriorated or unsafe.
- Appliance enclosure door missing, when CVA comes from outdoors.
- CVA is inadequate/incorrect/obstructed.
- Excessive amounts of carbon or rust deposits are present on the appliance.
- Flame Abnormalities.
  - Improper flame position.
  - Soft lazy flame or smothering flame (flame recirculation).
  - Large yellow flame (unless that is normal for the appliance). Note: Some burners (e.g., in space heaters, decorative fireplaces, and gas logs) are designed to burn with a yellow flame. Service is not required if (a) the burner is normal per manufacturer's specifications, and (b) it is not producing excessive CO or soot (e.g., carbon in the combustion chamber and/or draft hood).
- Ignition Abnormalities.
  - Delayed ignition (with a bang or whoosh) with CO PPM below Action Level.
  - Pilot defects, such as IID (intermittent ignition device) do not properly light pilot or the thermocouple/ pilot generator does not function properly.
  - Roll-out ignition and scorching (not continuous roll-out).
- Physical evidence of a defective heat exchanger (defects that do NOT create an high carbon monoxide condition, such as warping or metal fatigue, etc.).
- Primary gas appliance (e.g. space heater, water heater, range) that will not operate, and there is no gas leak.
- Propane tank is connected to appliance with rubber tubing.
- Kerosene storage tank is against the wall and is in violation of local code (the home is NIM).
- Unsafe connector (see Section 7.3 for additional information)., such as:
  - Gas flex line with soldered fittings but no gas leak.
  - Copper tubing used as gas appliance connector.
- Inadequate clearance to combustibles causing visible evidence of a fire danger, including charring of wood, melting of foam insulation, etc.
- Vent defects.
  - Loose joints or connections needing screws, missing or defective vent caps, etc.
  - Improperly positioned draft hood, multiple draft hoods, or missing draft hood. (Note: spillage or high CO created by this condition is a CAS Hazard and must be corrected within 18 hours).
  - Vent terminal is too close to a window, door, or gravity inlet into the home.
  - Gas vent pipe is connected to a solid fuel chimney.
  - Vent cap is damaged or missing.

HEAT SOURCE CAS FAILS

- FAU "short cycling" on the limit switch.
- Return leaks inside the FAU enclosure, or anywhere combustion products can be drawn in.
- Recalled NOx rod furnaces (see Section 7.4 for additional information).
- Improper appliance modification, or missing or defective parts, such as the following:
  - Furnace combustion chamber door is defective or missing.
  - Furnace roll-out shield is defective or missing (if unit was manufactured with one).
  - Wall furnace front cover/grille is missing or damaged enough to make furnace unsafe.

When performing CAS testing procedures and a CAS Hazard is discovered:

1. Turn off appliance—at the wall thermostat, gas control valve, and the appliance line (shutoff) valve. If applicable, also unplug unit or turn off power at the breaker/fuse.
2. Inform occupants of the unsafe (nonconforming) condition, and advise them to not use that appliance until service has been performed and the condition has been corrected.
3. Record the condition in the CSD 700.
4. Document client notification, using the CSD 540 Assessment Form.
5. Mark the "Service Required" box on the CSD 700 and notify the agency immediately. Once a hazard is identified, agencies may not exceed 18 hours to mitigate the issue.
6. No measures (including infiltration-reduction measures) shall be installed before all **CAS Hazards** are corrected.
7. If correction is beyond the scope of the weatherization program:
   - A CSD 542 Deferral Form shall be completed, and
   - The client shall be referred to a program that may have repair or replacement service available to the household, such as ECIP EHCS.

6.4 CAS FAILS

CAS Fails are combustion appliance safety conditions that must be corrected within 20 business days of discovery, but do not present an immediate threat to the occupants. During a home assessment, any **CAS Fails** that are discovered must be recorded in the CSD 700, and the client shall be advised of:

- The condition and plans for correcting it.
- Precautions they should take, if any, pending the correction.

Photo Credit: WAPTAC.org

6.4.1 NATURAL GAS CAS FAIL

For natural gas appliances, if correction of an unsafe CAS condition is not within the scope of CSD programs, the appliance must be referred to the utility Gas Service Department (who may red-tag the appliance and shut it off).

6.4.2 PROPANE CAS FAIL

For propane appliances, a CAS fail referral would be to the propane provider.

- If the propane supplier does not take action to protect the health and safety of the occupants, the weatherization contractor shall do the following:
  - Notify the owner or rental manager and, if applicable, complete the CSD 542 Deferral Form for partial deferral (house shall be NIM, unless abandonment is allowed).
  - Request permission of the owner/rental manager to abandon the appliance (as described in Section 5.7).
- The agency shall take action as requested by the owner or rental manager; document all actions in the CSD 700, and proceed.

6.3 CAS HAZARDS

CAS Hazards are conditions that cause immediate danger to the client. The hazardous condition(s) must be corrected within 18 hours, even if infiltration-reduction measures will not be installed for any reason. Clients must be informed of the unsafe condition and kept safe while it is being corrected. Some examples of **CAS Hazards** are provided in Table 6.3 below.

Photo Credit: WAPTAC.org

TABLE 6.3: EXAMPLES OF HAZARDOUS CONDITIONS

CAS HAZARDS MUST BE REMEDIED WITHIN 18 HOURS.

- Gas leak.
  - Note: If a gas leak is found in a location with a soldered or copper connector, the connector shall be replaced as part of the hazard correction.
- CO PPM above the "Action Level" (also called "high CO").
- Delayed ignition with high CO.
- Portable propane tank is used in a dwelling to fuel a dwelling appliance(s) such as a cooking appliance or water heater, or has inadequate clearance from dwelling (requires immediate home Deferral).
- There is a known code violation or obvious unsafe condition with a kerosene heater or kerosene storage tank (requires immediate home Deferral), such as:
  - The storage tank is too close to a heat source.
  - The storage tank or fuel line is leaking.
  - The storage tank is sagging, or any other aspect of the tank/installation is unsafe.
  - There is scorching of combustibles due to inadequate indoor clearance from the heater.
- Continuous roll-out: Fuel gas combustion process where flame extends outside the normal combustion area of a combustion appliance.
- Spillage or backdrafting: Continuous flow of combustion gases from a vented natural draft combustion appliance, where gases do not draft properly.
- Vent system obstructions that cause spillage.
- Flame interference (in a FAU): A change in flame pattern or color as the FAU blower comes on, usually indicates a defective heat exchanger. Look for evidence of a damaged exchanger with appliance off (crack or metal fatigue, visible with a mirror and strong light).
- Physical evidence of a defective heat exchanger (defects that create an actual high carbon monoxide condition, such as cracks, holes, warping, metal fatigue, etc.).
- Unsafe fuel modification (e.g., propane used in appliance with natural gas orifice).
- Damaged/disconnected vent pipe that allows CO to enter the home.
- Vent terminal is too close to an evaporative cooler during the cooling season.
- Return air system leaks that cause spillage and/or draw any combustion byproducts or toxic fumes into the duct system.
- Mobile home: Improper/failed isolation of return air in a mobile home (where a divided enclosure is shared by an FAU with non-ducted return intake and an open combustion water heater. This is referred to as improper isolation of return air, because the FAU return intake depressurizes the FAU side of the enclosure, and that can cause the water heater to backdraft and spill CO into the return air system.
- Any other condition that allows flue gas to enter a home.

6. Descriptions of Abnormal Findings (Fails)

The following section describes typical CAS-identified conditions that may be encountered in the field. Depending upon whether it is a CAS Hazard or a CAS Fail, CSD requires the correction of that condition. When other conditions are encountered, and there is uncertainty about how to handle a situation (i.e., whether it is a hazard or not), agencies and their subcontractors shall communicate with the CSD Technical Hotline at (877) 831-7596 or Wx.Hotline@csd.ca.gov.

6.1 CAS CONDITIONS AND RESPONSES

While assessing client homes, the discovery of any abnormal finding during the Pre-CAS test begins a timeline of correction for agencies or their subcontractors as defined in Section 5.2. These abnormal findings are most commonly called **CAS Hazards** and **CAS Fails**. When a non-conforming condition is found that does not prevent weatherization, it is now known as an **Advisory Condition**.

6.2 ADVISORY CONDITIONS

In a home assessment, certain non-conforming conditions do not create an immediate health and safety hazard, but are required to be brought to the attention of the client. Repair of these items shall not be performed. These conditions do not prevent duct or shell sealing.

TABLE 6.2: EXAMPLES OF ADVISORY CONDITIONS

ADVISORY CONDITIONS DO NOT IMPEDE WEATHERIZATION.

- Inadequate clearance of vent pipe to combustibles.
- When an appliance or vent system will not be replaced, and no charring is evident, a single-wall vent pipe where B-vent is required, and/or no firestop spacer, support box, or thimble at ceiling or wall penetration.
- Vent pipe is transite (asbestos-containing) material.
- Nonconforming appliances that do not affect the living space.
- Horizontal vent pipe run without adequate upward slope, but draft is satisfactory.
- Propane tank is inadequate distance from dwelling.
- Cook stove defects, as described below:
- A pilot does not work, but the burner can be lit with a match, it burns properly. CO must be below the Action Level.
- A burner knob is frozen.
- 1 or 2 cook top burners will not light, even with a match.
- The oven operates but has a separate broiler burner that does not work.

Photo Credit: Community Resource Project

APPLIANCE ABANDONMENT PROTOCOL

An appliance is considered abandoned only if the:

- The flexible gas connector is *removed*, and
- Appliance line (shutoff) valve is capped, or the valve is removed and the gas line is capped.
- Turn off power to the unit when applicable, by unplugging it or turning off the source (breaker or fuse).
- When a cooktop or oven burner is abandoned, the burner valve must be capped when possible.

In order for an appliance to be properly "abandoned", agencies or their subcontractors shall ensure that:

- Owners shall be informed of the reason for abandonment, options available, and the consequences of abandoning the appliance. Written permission must be obtained before an appliance is abandoned and documented in the CSD 540.
- If an appliance was removed from use by the owner or occupant prior to weatherization, the contractor shall ensure that the appliance has been "properly" abandoned (as described above), with documented written permission from the owner before any further weatherization activity is allowed.

5.7.1 PARTIAL ABANDONMENT

Partial abandonment may be an acceptable option for a malfunctioning cooktop so that a home is not NIM unnecessarily. For a cooktop or freestanding range, partial abandonment of up to 2 burner(s) or separate built-in oven is allowed when necessary and feasible.

- To abandon a burner, the burner valve must be capped. *Exception*: Capping is not required, and the burner is considered "properly abandoned", when:
  - The burner is non-operational (valve is frozen and the burner cannot be turned on and lit with a match), and
  - Capping the valve is not feasible/possible, and
  - There is no gas leak associated with the burner.

  Note: Only a check for gas leaks is required for abandoned burners—however, a complete CAS inspection and test is required for the working cooking appliance components (e.g., other burners, oven, and broiler).

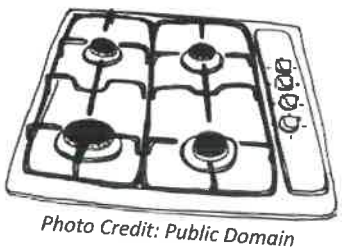


Photo Credit: Public Domain

- Once identified by field personnel, the policies in the CSD TRM that regulate timelines for correction and feasibility of measures shall apply.

5.5 INACCESSIBLE APPLIANCES

When a gas appliance affects the living space, but cannot be tested because it is not accessible, the unit is considered a **CAS Fail**. The home shall remain deferred (DOE) or NIM (LIHEAP) unless it can and will be abandoned with owner permission on the CSD 542 Deferral Form.

5.6 INOPERABLE ("NON-OP") APPLIANCES

When the inoperable unit is a primary Health and Safety appliance, the unit is considered a **CAS Fail**. When a gas appliance potentially affects the living space, but is inoperable, a qualified technician shall attempt repair of the appliance when allowed under the program. If the technician documents that full repair or replacement is unfeasible, the home remains deferred (DOE) or NIM (LIHEAP) and the condition shall be documented on the CSD 542 Deferral Form.

5.7 APPLIANCE ABANDONMENT

For the CSD Weatherization Assistance Program (where DOE funding is used), appliance abandonment is not allowed for primary heat sources. The appliance must be repaired/replaced, or the dwelling must be deferred. Unsafe secondary heat sources must be repaired (except for portable heat sources) or removed. In mobile homes, any other type of combustion appliance that is unsafe must be removed from the dwelling with client permission on the CSD 540 Dwelling Assessment Form. If the client does not allow removal, the dwelling must be deferred.

When allowed under the LIHEAP weatherization program only, an appliance abandonment may be performed when a CAS Hazard or CAS Fail cannot be corrected within the scope of the program (i.e., appliances cannot be repaired or replaced, or for appliances the owner or occupant prefers to stop using). Abandonment may only be performed by a qualified crew person who is trained and authorized to do this work with permission from the owner and signature documented on the CSD 540. Abandonment shall be:

- When an essential appliance (e.g., primary heat source, water heater) is properly abandoned in accordance with the CSD TRM Appendix A, the dwelling shall no longer be NIM because the appliance shall no longer be considered an unresolvable CAS Hazard or CAS Fail.
- If a non-essential appliance has a Hazard or Fail condition that cannot be corrected under the program scope (e.g., a gas dryer, secondary heat source, portable heater, etc.), then the appliance may be abandoned with client permission. Once abandoned, the dwelling is no longer NIM.
- Abandonment, and the rationale for it, shall be documented on the CSD 542 Deferral Form, and a note made on the CSD 700.
- When prescribed, abandonment shall be completed before any infiltration or non-infiltration measures are installed.

Appliances shall not be abandoned solely to install infiltration-reduction measures. Every effort shall be made to repair or replace the defective appliance as a "Health and Safety" or "Energy Efficiency Upgrade" measure, when allowed by contract.

Client refusal to have a functioning primary heat and/or cooling source shall disallow installation of all infiltration-reduction measures in a dwelling.

CAS Fails: Fails are combustion appliance safety conditions that must be corrected, but do not present an immediate threat to the occupants. All non-hazardous conditions noted field personnel shall be corrected within 20 working days of written notification by the Assessor/Auditor in the CSD 540 form. When a **CAS Fail** is found, the client must be advised of the issue, and provided with a timeline for correction. No infiltration-reduction measures shall be installed until after the fail is corrected.

The time periods for correction may be extended for circumstances beyond the agency's control; however, a waiver must be approved in writing by CSD prior to the expiration of the original timeline.

CAS Hazards and CAS Fails are sometimes referred to as "hazardous or dangerous conditions" while talking in the office. However, the term "hazard" should never be used when speaking with clients or occupants. Tell them the appliance "does not meet program safety standards, and an immediate follow-up service call is being requested".

5.3 APPLIANCE REPAIR VS. REPLACEMENT

A malfunctioning combustion appliance shall be examined by a qualified technician to determine Repair feasibility. Repair by a qualified technician shall be made, if feasible. Appliance replacements shall be made in conformance with the measure-specific policies of the CSD TRM and when repairs would equal more than 50% of the replacement cost. When appliance replacement is specified, and Manual J sizing documentation is required by Title 24, copies of the Manual J documents are required to be kept in the client file.

- To be replaced, an appliance must be documented to be unsafe and non-repairable (repair not feasible or not possible). That includes:
  - Evidence of unsafe condition(s) recorded in the CSD 700, and
  - Documented information from the qualified technician describing the issues and why the appliance cannot feasibly be repaired (such as defects too extensive to repair, or required parts are not available).

5.3.1 REPAIR EXCEPTIONS

- FVIR (Flammable Vapor Ignition Resistant) Water Heaters: If the FVIR System has been activated, the entire water heater must be replaced (cannot be repaired).
- Other repair exceptions will be considered by CSD on a case-by-case basis.

5.4 RESOLUTION OF CAS HAZARDS AND FAILS

By CSD policy, every effort shall be made (and documented) to correct an appliance Hazard or Fail that is within the program scope. When a CAS Hazard or Fail exists that is correctable, these policies shall apply:

- All CAS Hazards, CAS Fails, and IAQ Fails must be correctable and remedied before infiltration-reduction measures will be installed. If correction is NOT feasible within the program scope, see Section 5.1.
- Agencies and subcontractors shall not install infiltration-reduction measures when there is a possibility that a CAS Hazard, CAS Fail, or IAQ Fail cannot be corrected.

5. CAS Testing Policies

5.1 REQUIRED ACTIONS FOR A CAS HAZARD OR CAS FAIL

CSD believes that Combustion Appliance Safety is the most critical of procedures that is undertaken by weatherization field personnel to ensure the safety of dwelling occupants. When an appliance does not operate properly, it can create a life-threatening condition such as Carbon Monoxide (CO). For this reason, whenever a CAS Hazard or CAS Fail is found for an appliance affecting the living space, corrective action by a qualified technician is required.

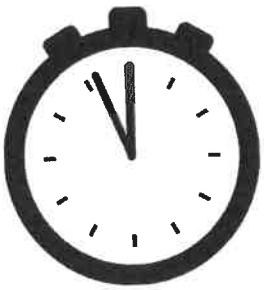
Agencies and subcontractors must mitigate and correct CAS Hazards, CAS Fails, and IAQ Fails that are within program scope before any other measures are installed. For DOE jobs, the client shall be notified in writing the results of fuel leak testing and the specific location(s) where the fuel leak is detected.

When a **CAS Hazard** or **CAS Fail** cannot be corrected, or correction would be outside of the scope of the program, CSD requires the following actions:

1. A program waiver shall be sought to bring the issue to CSD's attention.
2. The client must be notified, in writing, on the CSD 542 Deferral Form, a client signature obtained to confirm understanding of the issue, and a copy of the form shall be maintained in the client file.
3. (DOE) When the dwelling is served under DOE, or is leveraged with DOE, if a combustion appliance cannot be repaired or replaced within the program scope, written permission will be obtained from the client for the removal of the appliance. If removal is not allowed, the dwelling shall be a full deferral.
4. (LIHEAP) The issue shall be mitigated (appliance abandonment), a limited deferral is required, and the dwelling shall be NIM until the issue can be completely resolved.

5.2 TIMELINE FOR CORRECTION OF CAS HAZARDS AND CAS FAILS

Agencies are under a strict timeline to mitigate all CAS Hazards and CAS Fails as soon as they are identified.



CAS Hazards: Immediate hazards must be mitigated within 18 hours, even if infiltration-reduction measures will *not* be installed for any reason. Clients must be informed of the unsafe condition, the immediate plan to correct the issue, and precautions they must take, pending correction. If the CAS Hazard is corrected through temporary abandonment to mitigate the immediate hazard and a portable heating or cooling appliance was offered (as applicable), CSD considers the issue from that point on to be non-hazardous, and subject to the CAS Fail timeline described in the bullet below.

- Exception: If a water heater is temporarily abandoned to mitigate a hazard, the appliance condition must be completely resolved within five working days.

4.5.2 CALIBRATION LIMITATIONS

When dropped or otherwise damaged, an instrument must be calibrated and checked by an in-house qualified technician. (Note: When in-house calibration does not resolve all performance issues, instruments must be sent to a factory-authorized service center and replaced when recommended by the manufacturer.)

4.5.3 CALIBRATION REQUIREMENTS

- When the weatherization contractor has a calibration kit CO sensor calibration may be performed in-house, but only by qualified personnel trained to do so.
  - Calibration gas shall be maximum 500 PPM CO.
  - Instruments with an O2 sensor (e.g., those capable of "air-free" CO readings) must be calibrated by a factory-authorized facility.
  - A calibration label shall be applied to the instrument showing the technician's name, date, and PPM of calibration gas used.
  - Calibration information must be documented in the company's Calibration Logs (CSD 785 for "Carbon Monoxide Analyzers" and CSD 786 for "Manometers").

4.6 NOX FILTER AND CONDENSATE TRAP

A NOx filter and condensate trap are required to filter nitrogen oxides (NOx) from the flue gas, because NOx affects the CO sensor the same as CO does (it looks like CO). The NOx filter can be on-board (common in newer CO testers), or in-line (required for most older instruments). The condensate trap, usually clear plastic, is normally installed in-line.

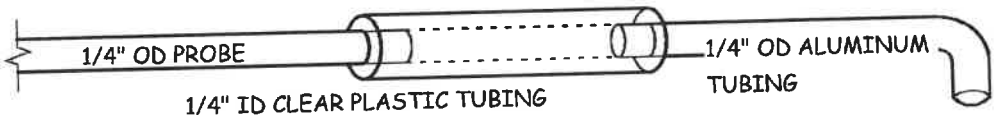
Agencies and their subcontractors are required to obtain and install NOx Filters and condensate traps for older equipment, and to ensure that all new equipment contains these components for the following reasons:

- By removing NOx from the flue gases drawn into the CO tester, measurement accuracy is improved 50% to 75% or more. For example, the tester might read 120 ppm CO without a filter (appliance fails), but might more accurately read 60 ppm CO with a NOx filter (appliance passes).
- Without the filter, the appliance appears to need service. With the NOx filter, the appliance would Pass, and an unnecessary service call would be avoided.
- The condensate trap collects moisture from the flue gases, and prevents it from damaging the NOx filter and CO sensor.
- NOx filters shall be replaced in accordance with manufacturer's recommendations.

Graphic Credit: Bacharach, Inc.

Generally, the clear plastic tubing will be 1/4" ID (Inside Diameter). When selecting plastic tubing, have available both the aluminum tubing and CO Tester Probe. 1/4" ID plastic tubing should fit, but check because brands vary.

- Slide the plastic tubing over both the Tester Probe and aluminum extender. Plastic tubing must fit snugly but easily be twisted on/off the CO Tester Probe.
- Note: Some older CO Testers (e.g., early Monoxor II) have a *removable* metal Probe. The 1/4" OD aluminum extender can fit directly into the handle (plastic tubing not needed).
- Be careful to not lose or damage the small plastic ferrule inside, when installing and removing the aluminum extender directly into the CO Tester probe handle.

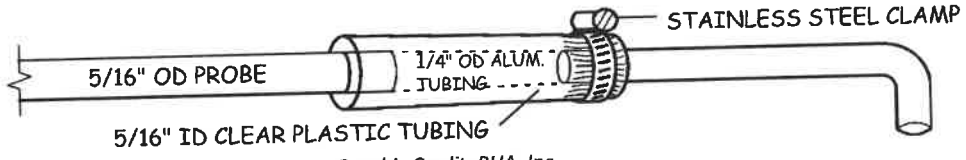


Graphic Credit: RHA, Inc.

4.4 EXTENDERS FOR 5/16" OD PROBES (E.G., ON FYRITE PRO)

Some CO testers have a 5/16" OD metal Probe, so larger ID clear plastic tubing is required. When selecting tubing, slip it over the probe to find a diameter that is removable but not loose.

- Keep aluminum extender tubing at 1/4" OD, so it will fit into a standard 5/16" sampling hole (eliminating the need for larger holes and larger plug buttons).
- Because the plastic tubing ID is larger than the OD of the aluminum extender, use a small stainless steel worm-drive clamp to secure the plastic tubing to the extender. (Do not clamp plastic tubing to the CO tester so it can be easily removed from the probe.



Graphic Credit: RHA, Inc.

4.5 CALIBRATION FOR CO TEST INSTRUMENTS

Carbon monoxide test instruments shall be equipped with a NOx filter (and condensate trap) and shall be properly maintained and calibrated in accordance with manufacturer's specifications and the following policies:

4.5.1 CALIBRATION TIMELINE

Each CO test instrument shall be calibrated:

- Every 6 months, or at intervals recommended by the manufacturer, if more stringent.
- After the instrument has been dropped or otherwise damaged.
- After the instrument has been subjected to several doses of high CO (1,000 PPM or higher), or
- Readings appear to be abnormal.

Materials	*Requirements*
SAFETY TEST TOOLS	– Safety Test Tools • Battery-powered nut driver, heavy duty, with 1/4" and 5/16" Magnetic Hex Nut Driver Bits • 5/16" and 3/8" Drill Bits: Metal drills sized to match plug buttons • Inspection Mirror: Small round or rectangular mirror on telescoping handle • Propane Lighter: "Gas Match" type trigger-operated, long-nose lighter (flexible nose is best)

The following guidelines for the creation of "probe extensions" used to measure CO in difficult-to-access locations. **THESE EXTENDERS SHALL BE ALLOWED UNLESS PROHIBITED BY THE MANUFACTURER OF THE TEST EQUIPMENT.**

4.1 PROBE EXTENSIONS

A probe extension ("extender") shall be used as needed to take "Air-Free" CO measurements in locations where a straight probe cannot achieve that result, such as:

- Natural draft water heater, to reach down into the center tube to measure CO on each side of the baffle.
- Natural draft wall furnace, to reach down into the flue (exhaust port) to measure CO on each side of the baffle.
- Closed combustion/direct vent units, to reach inside the flue to measure CO inside the exhaust stream.

4.2 ACCEPTABLE MATERIALS, CUTTING, AND BENDING

Extenders are made with aluminum tubing and clear plastic tubing. (Do not use copper tubing, because it may react chemically when exposed to flue gases). The extender is connected to the tester probe with clear plastic tubing, approx. 1 foot long.

- Required materials are found in hardware and auto parts stores (e.g., clear plastic tubing, aluminum tubing, and worm-drive clamps), and at gas appliance parts houses (e.g., 1/4" pilot tubing).
- The end of the extender shall be bent sufficiently to reach inside the flue to measure CO free of outside air:
  - A "standard" extender is about 1 foot long. For mobile homes, a 4' to 8' long extension may be needed to reach FAU flue terminations (usually several feet from the roof edge).
  - For aluminum extensions, 1" to 2" of tubing is bent at one end approximately 90° to form an "L" shape.

4.3 EXTENDERS FOR 1/4" OD PROBES (E.G., FOR MONOXORS)

To make an extender, use aluminum tubing, 1/4" OD (Outside Diameter). OD of the aluminum extender should match the OD of the CO Tester rigid metal probe, and the clear plastic tubing should fit securely onto both of them without clamps.

- The extender is made with 1/4" OD tubing, so it will fit into a standard 5/16" sampling hole.

4. Required Test Equipment and Accessories

For specifications on test equipment, accessories, and tools, see the table below.

Materials	*Requirements*
CO ANALYZERS	– Carbon Monoxide Testers • Shall be manufactured under an ISO 9001 quality management system or be ISO 9001–certified • Shall, at a minimum, measure CO levels from zero ppm to 999 ppm • New Units: Capable of providing air-free CO readings • New and Existing Units: On-board or in-line NOx filter and condensate trap *Overall Photo Credit:*
CO ANALYZER SAFETY TEST ACCESSORIES	– Safety Test Accessories • Monoxor Probe Extension materials: – 1/4" OD aluminum tubing (e.g., pilot tubing), cut in 1' & 2' (or longer) lengths (do not buy copper tubing) – 1/4" ID and 5/16" ID plastic tubing – Small stainless worm-drive clamp to fit over 5/16" ID plastic tubing • High-temperature caulk: Non-hardening sealant (e.g., RTV silicone) with a minimum service temperature of 450°F • Aluminum foil tape: UL-listed, with minimum service temperature of 265°F (e.g., 181A-P duct tape) • Liquid gas leak detection compound with spray bottle: can be "neutral" leak detection soap (not dishwashing detergent) • Incense sticks: mildest scent available • Smoke Sticks, Puffers, Pens to create smoke for diagnostic testing: commercially available • Match Extender: Alligator clip on telescoping handle
OTHER TEST EQUIPMENT	– Draft Gauges • Draft gauges shall have a range of –0.25 to +0.05 inches of water column (IWC), or –62.5 to +12.5 Pascals (Pa) – Thermometers • Thermometers shall have a range from 0°F to 250°F – Gas Leak Detectors • Gas Leak Detectors shall be listed to UL 913
PLUG BUTTONS	– Vent "Plug Buttons" • Metal and non-corrosive (e.g., nickel plated snap-in hole caps), sized to match drill bit(s) used to drill sampling holes (e.g., 5/16" and 3/8")

3. Qualified Technicians

CAS Testing shall only be performed by technicians and service professionals who have successfully completed the required Combustion Appliance Safety training at a CSD-approved training center, or who have been provided equivalent permission by CSD. Testing shall be performed in accordance with the following policies:

- **Pre-CAS testing** shall be performed by the weatherization agency's technicians who have successfully completed Combustion Appliance Safety Training only.
- **Interim, Post Repair/Replacement, and Post-CAS tests** shall be performed by agency or subcontractor technicians who have successfully completed Combustion Appliance Safety Training or are trained HVAC subcontractors.
- **Fuel Oil Appliance Testing** shall consist of living space ambient testing by a qualified CAS testing technician. Further testing of the appliance and verification of the presence and operability of a draft regulator shall only be performed by a licensed professional contractor with appropriate training, or by a fuel oil supplier-qualified contractor.
- **CAS Hazards** (including gas leaks) shall be corrected by a qualified person, which in most cases is:
  - A utility gas service representative, when the appliance fuel is natural gas;
  - A licensed HVAC contractor (C-20) or licensed contractor-supervised technician;
  - A licensed plumbing contractor (C-36) or licensed contractor-supervised technician for water heaters;
  - A propane dealer's technician, for propane appliances.

> ***Weatherization crews shall not make adjustments to the gas pressure, air-gas mixture, and other technical adjustments (unless fully licensed, trained, and authorized).***

- Crews shall make only those CAS Fail repairs for which they are trained and qualified, which usually include:
  - Appliance abandonment, in compliance with CSD procedures.
  - Correction of draft hood abnormalities (e.g., improperly positioned, multiple, missing).
  - Vent pipe repairs (e.g., replacement, minor adjustments, securing single-wall metal vent pipe joints and connections with screws, vent caps, etc.).
  - Replacement of minor components (water heater burner access cover or inner shield, or furnace rollout shield). Component shall be factory-made, not field fabricated.
  - Clean greasy accumulations from gas cooking appliances, without affecting the combustion air adjustment.
  - Install additional, or correct nonconforming, CVA venting.
  - Install a clothes dryer moisture exhaust.

> ***If any CAS testing reveals a CAS Hazard or a CAS Fail, correction timelines and procedures shall be followed in Section 5.2.***

2.4 POST-CAS TEST

Post-CAS testing shall be performed to prove that weatherization activities have not caused unsafe operation of natural draft appliances. Post-CAS testing is required the same day infiltration-reduction measures (including duct sealing) are completed, *and at least* one item in each of the next two "Conditions" exists (see blue box below):

POST-CAS TESTING *Condition 1:*

- The home has at least one open combustion natural or induced draft appliance that can be affected by changes to house pressure, including:
  - A FAU in any location, OR
  - A non-ducted heater or water heater that draws combustion air from the living space, or is located in an attached garage with or without a walk-through door into the living space.

POST-CAS TESTING *Condition 2:*

- Duct repair/sealing was performed.
- Mechanical ventilation was installed.
- Blower door was used and any shell sealing was performed.
- Blower door was not used, and installation of one or more of the following measures occurred:
  - Door or window replacement.
  - Storm windows.
  - Glass replacement.
  - Shell sealing, which eliminates holes totaling 10 sq. in. or more.
  - Door repair/modification (includes replacement of threshold or shoe, and repair/replacement of frame or stop).
  - Caulking that applied one or more tubes of caulk.
  - Range hood vent damper, fireplace chimney damper, or fireplace glass doors.
  - Interior vent cover(s).
  - Weatherstripping (door or non-door), including any of the following: entrance door, furnace enclosure door, patio door, attic or crawl space access, or windows.

If infiltration reduction measures were not installed, or if shell leakage was not reduced enough to justify a Post- CAS test, a Post-CAS test is not required.

2.2 INTERIM-CAS TEST

"Interim"-CAS testing shall be performed each day that "significant" air sealing (as described in the sidebar above) is performed but is not completed. Minimal testing is performed for each natural draft appliance that draws combustion air from the living space.

- Interim-CAS tests shall consist of <u>all</u> of the following:
  - Visual draft test ("Smoke" test), and
  - Tactile test for spillage

Interim-CAS testing shall be conducted with the house set up for appliance-on testing (exhaust devices on, and doors set properly), and the results shall be recorded on the CSD 700B or 702B Form.

INTERIM-CAS TESTING
is required when:

Blower Door <u>is</u> used, and:

- Any shell sealing was performed and the job was not completed the same day, OR
- Any amount of duct repair/sealing was performed.
- Mechanical Ventilation is installed.

Blower Door is <u>not</u> used, but one or more of these was installed:

- Duct repair/sealing.
- Any infiltration-reduction measures were installed and at least 10 sq. in. or more of leakage area was eliminated (total for all measures).
- Storm windows.

2.3 APPLIANCE R&R CAS TEST

All gas appliances that are repaired or replaced shall be checked for safe operation, following completion of any combustion appliance repair/replacement. This test shall be performed:

- The same day repair/replacement is finished, if feasible, but no later than 5 calendar days later.
- Before infiltration-reduction measures are installed.
- When appliance repair/replacement occurs as the target appliance for an ECIP EHCS job. When repair or replacement occurs after completion of infiltration-reduction measures, this test shall be attached to the CSD 57 ECIP Assessment Form.

1.4 RECORD-KEEPING FOR CAS TESTING

Diagnostic test results and incremental work performed shall be accurately recorded on the CSD 700 series forms, unless a home has no combustion appliances present (this is known as an "all-electric" home):

As applicable, these CSD forms shall be completed and stored in each client's file:

- CSD 700 Combustion Appliance Safety Inspection Form
- CSD 700B Interim-CAS Tests
- CSD 700C CAS Post Repair/Replacement Safety Checks

Copies of the most up-to-date forms are always available on CSD's Providers' Website, to be accessed by network weatherization agencies only. (On the "Energy" tab, click on "Forms".) Agencies shall be responsible for distributing the current forms to their subcontractors.

2. Test Types and What Triggers Them

The following categories of Combustion Appliance Safety (CAS) testing are required:

- Pre-CAS Testing: As part of the home assessment, before any measure installation work is performed. The pre-CAS test procedure is required to be performed by the Assessor.
- Appliance R&R-CAS Testing: After combustion appliances are repaired or replaced.
- Interim CAS Testing: During installation of infiltration-reduction measures when work is not completed at the end of the day, an "interim" test is performed before the crew leaves the job site.
- Post-CAS Testing: As a final step to weatherization, after installation of infiltration-reduction measures is complete, to ensure that the appliances are left in safe condition.

All CAS testing and documentation of results shall be in accordance with the CSD 700 form series and this appendix.

2.1 PRE-CAS TEST (PERFORMED DURING HOME ASSESSMENT)

Pre-CAS testing shall be performed by qualified weatherization Agency technicians. Pre-CAS tests are valid for 60 days. After that, the test shall be repeated before any installation of infiltration-reduction measures.

When contacted by a client for ECIP EHCS services, the appliance must be pre-combustion appliance safety-tested to determine the scope of the appliance issue(s) and identify all hazardous and non-hazardous conditions pertaining to the appliance before any repair or replacement work will be completed.

1.3 CAS TESTING FEASIBILITY CRITERIA

CAS testing of combustion appliances shall occur when...

- A dwelling unit to be weatherized is equipped with one or more qualifying fuel-burning appliance(s) that affects the living space. Qualifying appliances include:
  a. Open or closed combustion;
  b. Natural gas, propane, fuel oil, kerosene
  c. Solid-fuel burning appliances (require a visual inspection only).
- Appliance is accessible.
- Repair or replacement of a fuel-burning appliance is contemplated.
- Infiltration-reduction measures shall be installed.

Combustion appliances shall NOT be CAS tested when...

- Appliance is properly abandoned (the flexible gas connector is removed, and the gas valve is capped, or the valve is removed and the line is capped).
- Performance of the CAS test would violate the CSD Asbestos Policy or Lead-Safe Weatherization Policy.
- Client refuses (see warning below).

WEATHERIZATION FEASIBILITY

In the LIHEAP, ECIP, and DOE contracts, if a client refuses Combustion Appliance Safety or CAS testing (which includes Combustion Appliance Zone or CAZ testing when required by program policy), the:

- Dwelling is deferred and shall not receive weatherization services.
- Refusal shall be documented in the CSD 542 Deferral Form by the Assessor, with client signature and date collected from the client.

1. What Is CAS Testing?

Combustion appliance safety (CAS) testing is a critical requirement that protects residents from the effects of CO gas and other combustion products before, during and after weatherizing a home.

1.1 WHAT DOES CAS ACHIEVE?

Technicians, who work in income-qualified homes, must be able to test houses and combustion appliances properly, to ensure that everything is safe. By creating "worst case" situations with the tests, we are able to catch...and correct...many potentially harmful conditions.

The purpose of CAS testing is to:

- Detect defects and hazards with specific combustion appliances that may jeopardize the health and safety of occupants, and
- Correct defects and hazards, when feasible.

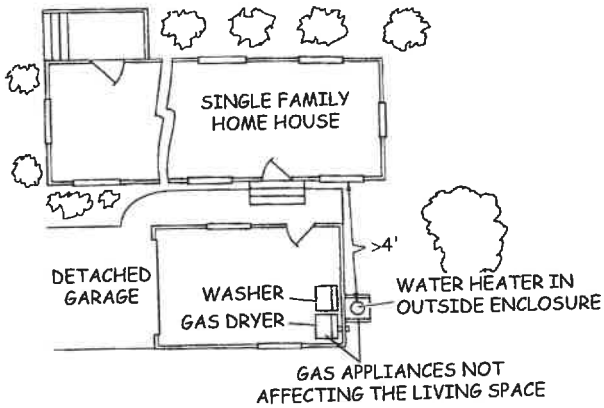
1.2 APPLIANCES THAT AFFECT THE LIVING SPACE

CAS testing shall be conducted when the home has one or more combustion appliances that "affect the living space".

1.2.1 APPLIANCES THAT AFFECT LIVING SPACE

Combustion appliances that affect the living space are:

- All space heating appliances.
- Other appliances located:
  - Partially or entirely within the living space (including closets located within the envelope but accessed from outdoors).
  - An outdoor location where any part of the appliance is within 4' of an operable door or window, or air inlet, leading directly into the living space.
  - In the attic or basement, or in an enclosure communicating with the attic or basement.
  - In an attached garage with *or without* a walk-thru door into the house.
  - A location where combustion products from the appliance could infiltrate a forced air duct system (e.g., in a garage or room containing supply or return plenum/ductwork).



Graphic Credit: RHA, Inc.

1.2.2 APPLIANCES NOT AFFECTING THE LIVING SPACE

Appliances in all *other* locations do not affect the living space.

10. Visual Inspection

Assessors shall utilize the visual inspection process to identify and document the following CAS conditions on the CSD 700 (or 702) form.

- Appliance inaccessibility;
- Unvented heating systems, including use of cooking appliances to warm the home;
- Unsafe gas connectors;
- Vent, draft hood, and vent system abnormalities;
- Heat exchanger defects; and
- Lack of appliance safety features (such as combustion chamber cover or shield) and improper alterations.

What Do I Do When...? CSD Policies Related to CAS Visual Inspections
When **visual inspection** identifies a repair issue (i.e., draft hood/vent pipe defects, nonconforming T&P, lack of enclosure, etc.) with an appliance that ***does not*** *affect the living space* • The appliance must be confirmed as belonging to the dwelling being served. • The repair issue must be identified and documented with photographs. • If "minor" correction is possible (such as CO, draft hood/vent pipe defect, non-conforming T&P, etc.), agency shall perform CAS test on the appliance and correct identified issues. • If "major" correction is required (i.e., heat exchanger replacement, relocation and/or construction of an appliance enclosure), full documentation is required, and a waiver must be sought in order to repair and relocate/enclose the appliance.
When **visual inspection** identifies a replacement issue with an appliance that *does **not** affect the living space* (i.e., leaking water heater, sediment build-up, etc.): • The appliance must be confirmed as belonging to the dwelling being served. • The replacement issue must be identified and documented with photographs. • The appliance shall be replaced and CAS tested as required by the CSD policy. • If the dwelling is tenant-occupied, the owner shall be notified in writing of the non-conforming condition, using a certified letter.
When **CAS inspection** identifies a non-conforming issue with a nonconforming appliance that ***does** affect the living space*: • The appliance must be confirmed as belonging to the dwelling being served. • The repair issue must be identified and documented with photographs. • If "minor" correction is possible (correction of draft hood/vent pipe defect, CO issue, non-conforming T&P, etc.), agency shall make correction and continue with weatherization. • CSD policies for repair or replacement in the measure-specific policies shall be followed.

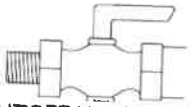
10.1 TABLE: VISUAL INSPECTION– ALL APPLIANCES—ALL DWELLINGS

Assessors shall check for each of the following additional defect types in all combustion appliances. Each of the conditions below is considered a **CAS Fail**, except where noted as a **CAS Hazard**. Infiltration-reduction measures shall not be installed until ***the Fail or Hazard is first repaired by the client or by the weatherization program***.

APPLIANCE Fail

VISUAL INSPECTION—ALL DWELLINGS	
ALL COMBUSTION APPLIANCES	**INSPECTION REQUIREMENTS**
Appliance Accessibility 	CAS testing is required for all combustion appliances that affect the living space. When an appliance affecting the living space cannot be tested because it is inaccessible, the home shall be deferred (DOE) or NIM/no infiltration measures (LIHEAP). Inaccessible appliances must be noted on the CSD 700. Examples include: • Water heater in locked room/enclosure for which a key is not available or entry is not possible. • Attic-mount combustion appliance in a multi-family apartment unit that requires entry through an inaccessible unit. • Floor furnace in a crawl space with inadequate crawl clearance. • Floor furnace that has gas line still connected and has been turned off and covered over by plywood or attached floor covering (e.g., wall-to-wall carpet or vinyl). Note: Such an appliance should be "abandoned", so installation of infiltration–reduction measures is allowed. • Floor or wall furnace that has been turned off and blocked by heavy furniture (e.g., a hutch or cabinet). Under LIHEAP, all other appliances affecting the living space *in addition to* the inaccessible appliance shall be tested and repaired or replaced as appropriate.
Appliance Components Defective, Missing, or Improperly Modified	The following appliance components shall be present in order for an appliance to meet minimum safety considerations: • Appliance door(s), including air handler compartment door. • Combustion chamber access door(s). Note: Gas water heaters shall have at least an access cover or roll-out shield. • Wall furnace front cover/grille (Cover/grille shall not be missing or damaged enough to make the unit unsafe to occupants). • On closed combustion appliances, and FVIR-compliant water heaters, the combustion chamber access panel/cover must be properly secured in place and sealed.

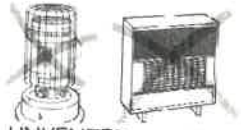
10.2 TABLE: VISUAL INSPECTION– FUEL LINES

VISUAL INSPECTION—ALL DWELLINGS	
APPLIANCE FUEL LINES	**INSPECTION REQUIREMENTS**
Appliance Line (Shutoff) Valves Not In Use  UNUSED SHUTOFF VALES MUST BE CAPPED *Graphic Credit: RHA, Inc.*	Appliance line (shut-off) valves that are not being used shall be capped with brass caps for flare fittings (not standard iron caps), or shall be removed and the pipe capped. The appliance line valve shall be temporarily capped, when a defective appliance was removed for repair/replacement, and the appliance will not be reinstalled and reconnected to the gas line before weatherization is complete.
Butt-Soldered Flexible Gas Connectors	Soldered flexible connectors shall be replaced as described in Section 7.3.1. Any connector that is *leaking* is a **CAS Hazard** that requires immediate correction. *Photo Credit: CROBERTS.com*
Gas Connector Replacement: SMOOTH NECK BEHIND FITTING, AND NOT SOLDERED THIS DESIGN WITHOUT COATING (PLAIN BRASS) IS ACCEPTABLE *Photo Credit: RHA, Inc.*	An existing flexible gas connector is considered unsafe and must be replaced with a new, listed flexible gas connector when it is kinked, corroded, shows signs of visible wear, was manufactured before 1973, or has any soldered connections. Copper tubing used to connect a gas appliance is also considered unsafe. Replacement of a defective flexible gas connector, or of a copper tubing connector, is a standard procedure that must be performed, whether or not the appliance is repaired or replaced. If the local jurisdiction requires additional replacements (e.g., installation of hard pipe from the gas control valve to outside the housing of an FAU), agencies shall seek a program waiver. Also, it is the intent of CSD to always replace the flexible gas connector when a gas appliance (FAU, water heater, range, etc.) is replaced. This policy is effective as of the date of this CSD TRM.

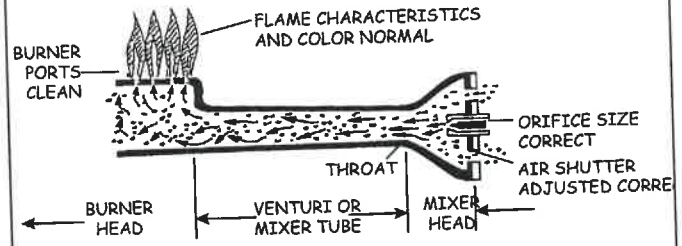
10.3 TABLE: VISUAL INSPECTION– OPERATIONAL CONDITIONS—ALL DWELLINGS

Operational Fail

VISUAL INSPECTION—ALL DWELLINGS	
APPLIANCE OPERATIONAL CONDITIONS	**INSPECTION REQUIREMENTS**
Existing Wall Furnace in a Bedroom	Repair or replacement of a wall furnace is not prohibited in a bedroom location. • For replacement of a unit in this location, a permit is required from the local jurisdiction and the replacement unit cannot have a manufacturer's restriction prohibiting installation in a bedroom.
Existing FAU or Open Combustion Water Heater Located within a Sleeping Area or Bathroom (Conventional Homes)	When an existing open combustion water heater or FAU is present in a sleeping area (including an attached garage converted to living space) or bathroom, it is a CAS Fail and corrective action by a qualified tech is required. • To correct the fail, a program waiver request must be submitted to 1) build an enclosure with a weatherstripped, self-closing door, and all CVA obtained from outdoors, or 2) replace the appliance with a direct vent, closed combustion unit. • If correction is not feasible, Section 5.1 of this appendix shall apply.
Existing Open Combustion Appliance Located in Any Room Other Than a Bedroom or Bathroom (Conventional Homes)	When an existing open combustion appliance is present in any room *other than* a bedroom or bathroom and takes air from the living space, the home is not NIM as long as there is adequate CVA (at least 50 cu. ft. per 1,000 BTU) in the combustion zone of that appliance.
Existing Open Combustion Appliances Located within a Manufactured Housing (Mobile Home)	Cooking appliances, ovens, illuminating appliances, solid fuel burning fireplaces or stoves, or clothes dryers are the *only* open combustion appliances that are allowed to draw combustion air from a living space in mobile homes. • All other combustion appliances must be installed to provide for the complete separation of the combustion system from the interior atmosphere of the mobile home (i.e., to draw their combustion air from outside), and be vented to outside the dwelling. ▪ A gas or solid fuel appliance that draws combustion air from a sleeping room or bathroom is a CAS Hazard. ▪ To correct the fail, a program waiver request must be submitted to 1) build an enclosure with a weatherstripped, self-closing door, and all CVA obtained from outdoors, or 2) replace the appliance with a direct vent, closed combustion unit. ▪ Any other combustion appliance (gas or solid fuel) drawing air from the living space **is a** CAS Hazard, **except** as allowed by the following provision. ▪ Exception: If a natural draft wall furnace is present (but not in a sleeping room), shell sealing is allowed as long as pressure in the CAZ if no more negative than –1 Pa. (Note: If sealing activities do cause the zone to become more negative, supply mechanical ventilation shall be installed).

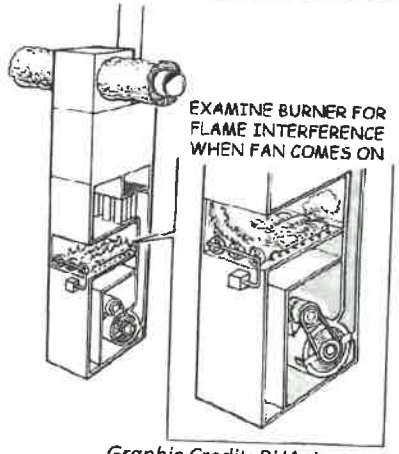
VISUAL INSPECTION—ALL DWELLINGS	
Existing Gas Log or Wood-Burning Fireplace within the Living Space (DOE Only)	Where a woodstove or fireplace insert is present within the living space, it is required to meet safety requirements. • Conduct a visual inspection of the entire system, including verification of adequate floor protection, code-compliant clearances to walls and other combustible materials, etc. • Perform visual draft testing to ensure proper operation of the appliance (see Table 15.5.1). • Fireplace or woodstove venting that is left operational after weatherization must meet current California Mechanical Code (i.e., the vent shall extend 3 feet above any part of the roof within 10 feet) and all local and national standards. • If it is unfeasible to make safe, dwelling deferral is required.
Existing Gas Log or Wood-Burning Fireplace Located within a Bedroom (All Housing Types)	When a gas log or wood-burning fireplace is present in a bedroom: • If there is a gas log in the fireplace, the damper must be blocked partially open with a damper clamp, or it is a CAS Hazard. Client education shall be provided regarding the safety considerations. ▪ Clients with a gas log or wood-burning fireplace located in a bedroom shall receive special client education, warning them of the dangers of sleeping with these heat sources operating, and also highlighting the importance of not blocking the gap under the bedroom door to prevent drafts. ▪ Client signature to document this education shall be obtained and kept in the client file. • If an existing woodstove or fireplace has sealed doors and takes all air from outdoors, or if a nonconforming woodstove can be replaced with a listed mobile home woodstove that draws all combustion air from outdoors, shell sealing is allowed.
Appliance(s) Not Properly Vented *Graphic Credit: RHA, Inc.*  UNVENTED HEATERS	Checks shall be made for lack of proper venting/exhaust, such as: • Any combustion appliance <u>not</u> properly vented to the outdoors (except cooktops and unvented ranges). • Gas range present which has a space heater or incinerator that is <u>not</u> vented outdoors. • Gas clothes dryer located in the living space <u>not</u> exhausted outdoors. • Clothes dryer (gas or electric) moisture exhaust that terminates in an open combustion appliance enclosure/closet. • Corrective action is required, or Section 5.1 of this appendix shall apply.

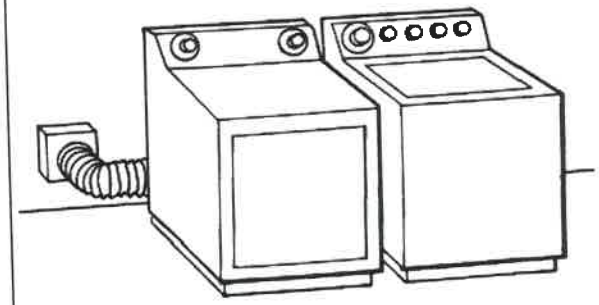
VISUAL INSPECTION—ALL DWELLINGS	

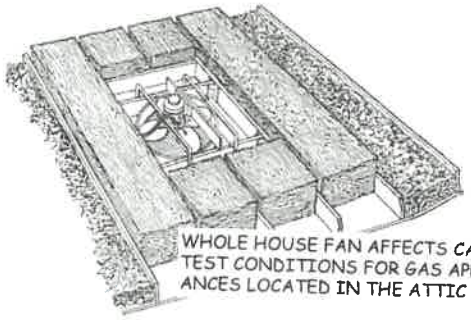
Burner Abnormalities
 
 	
Graphic Credit: RHA, Inc.
	• When the burner(s) ignite, inspections shall be made for:
	  - Delayed ignition.
	  - Excessive roll-out.
	• Burner(s) shall be examined for flame abnormalities, including:
	  - Soft lazy flame or smothering flame (flame recirculation); and
	  - Large yellow flame (more than 50% yellow).
	  ▪ Note: Service is not required if (a) yellow flame is normal per manufacturer's specifications, and (b) it is not producing excessive CO or soot (e.g., carbon in the combustion chamber).
	  ▪ If dust has settled on the burner, dust should be removed and the burner re-checked.
	• Corrective action is required, or Section 5.1 of this appendix shall apply.

Carbon and Rust Deposits	• Burner(s), heat exchanger, draft hood, and vent pipe shall be examined for carbon and/or rust. • The presence of carbon or rust may indicate that an appliance is malfunctioning and shall be checked by a qualified technician. • Corrective action is required, or Section 5.1 of this appendix shall apply.

Damper Requirements for Fireplace with Gas Log
 	
	• When a CAS fail is identified with a fireplace with a gas log, or when a replacement damper will be installed, a spark arrestor must be in place or installed. The spark arrestor shall meet all of the following requirements:
	  – The net-free area of the arrestor shall not be less than four times the net-free area of the chimney flue.
	  – The arrestor screen shall be equivalent to 12-gauge wire, 19-gauge galvanized steel, or 24-gauge stainless steel.
	  – The arrestor shall not allow sparks with more than 1/2" diameter to enter the chimney, nor shall it block sparks with less than 3/8" diameter.
	  – The spark arrestor shall be installed to allow access for cleaning of the flue.
	• When a gas log is in a fireplace, the fireplace damper shall be blocked open with a permanently installed damper clip that is open a sufficient amount to prevent spillage of combustion products into the room. For damper blocking, the CSD program does not distinguish between a fireplace/gas log that is a primary or secondary heat source.
	• Occupants shall be advised of the nonconforming condition and the importance of making sure the damper is at least partially open when the gas log is operating.
	• If a damper clamp is unfeasible, or refused by the client, Section 5.1 of this appendix shall apply.

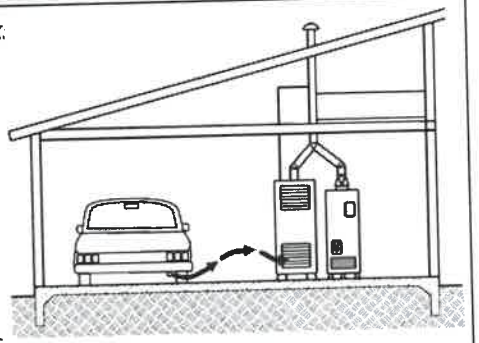
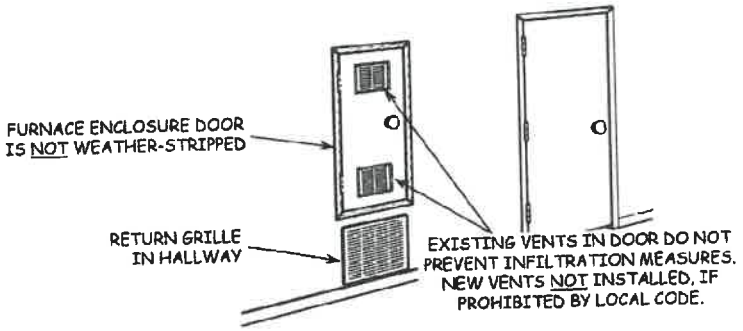
VISUAL INSPECTION—ALL DWELLINGS	
APPLIANCE OPERATIONAL CONDITIONS (CONTINUED)	**INSPECTION REQUIREMENTS**
Gas Water Heater Compartment Floor/Platform	The compartment floor or appliance platform shall be checked for structural integrity and strength. • It must be secure, stable, and level enough to properly and safely support the water heater. • The floor must be repaired or replaced (under the Limited Home Repair measure) when: 1) the appliance is leaning in an unsafe position, or 2) flooring is deteriorated to the extent that it is not safely supporting the tank. • Corrective action is required, or Section 5.1 of this appendix shall apply.
Space Heating Heat Exchanger Defects Example of a cracked heat exchanger *Graphic Credit: WAPTAC.org*	• When accessible, the heat exchanger of each space heating appliance shall be inspected for cracks with a mirror and strong light. • The unit shall be further examined/serviced by a qualified technician if any of the following **CAS Hazard** conditions is present: - "Flame interference" occurs in an FAU when he air handler comes on, or - A visually-detected crack or other evidence of a defective heat exchanger, or - Appliance Ambient CO exceeds the second Living Space Ambient CO by *more* than 2 PPM. • If a defect exists, the condition shall be corrected *within 18 hours* of identification. • Corrective action is required, or Section 5.1 of this appendix shall apply.  *Graphic Credit: RHA, Inc.*
Clothes Dryer Moisture Exhaust System Visual Inspection	A gas clothes dryer located in the living space, or an attached garage used as living space, must be exhausted outdoors in conformance with the Limited Home Repair measure policies in CSD TRM Section 1. **Corrective action(s) is/are required or Section 5.1 of this appendix shall apply if the following Fails are not correctable.** • An existing moisture exhaust shall not: - Have leaks, obstructions, or improper termination (must terminate outdoors in a location where moist air will re-enter the living space). - Terminate in an open combustion appliance enclosure/closet. - Pass through an FAU plenum (unless material is hard pipe and sealed). • An installed moisture exhaust shall not: - Terminate less than 3' from an opening into the home, - Terminate less than 10' from the intake of a forced air (fan-driven) inlet.

VISUAL INSPECTION—ALL DWELLINGS	
Clothes Dryer Moisture Exhaust System Visual Inspection (cont.)  GAS CLOTHES DRYER IN THE LIVING SPACE AND EXHAUSTED OUTDOORS *Graphic Credit: RHA, Inc.*	- Terminate in an open combustion appliance enclosure/closet. - Pass through an FAU plenum. - Terminate within the living space or have no moisture exhaust that extends to the outdoors, • When an existing dryer moisture exhaust cannot be extended outdoors, the following shall result: - Dryer located in the Living Space: ▪ DOE Program, or when leveraged with DOE: Dwelling shall be deferred. ▪ LIHEAP: Home is NIM and mechanical ventilation shall be assessed. - If a dryer is located in an unconditioned dwelling area (i.e., an enclosed porch, attached garage, etc.), *not used as a living space,* the moisture exhaust shall be ducted to the outdoors and the home is <u>not</u> NIM. (Note: If the presence of lint creates a dangerous CAS or fire condition due to proximity to an open combustion appliance, it shall be handled as a CAS Hazard). ▪ Mechanical ventilation shall be assessed when required by program.
Improper Appliance <u>Location</u>	• When a combustion appliance draft hood, or any appliance vent termination, is located *within 4 feet* of an openable door or window, the appliance shall be fully inspected for all CAS Fails, including: - Gas leak; - Draft hood abnormalities; - Vent deficiencies or termination defects; - Burner abnormalities; - Carbon and rust deposits; - Excessive CO; and - Inadequate draft or spillage. • If *none* of these operational issues is present, the home is <u>not</u> NIM. • If *any* CAS Hazard or CAS Fail condition is present corrective action is required or Section 5.1 of this appendix shall apply.

VISUAL INSPECTION—ALL DWELLINGS	
APPLIANCE OPERATIONAL CONDITIONS (CONTINUED)	**INSPECTION REQUIREMENTS**
Improper Appliance Modification	Improper modifications to an appliance may include the following: • **CAS Hazard**: Incorrect burner orifice (e.g., propane gas used with natural gas orifice). This hazard requires installation of the correct orifice and removal of excess carbon/soot to correct the condition. • **CAS Fail**: Alteration of the gas control valve (correctable). • **CAS Fail**: Jumper installed to override a thermostat/control (correctable). Corrective action is required as described above, or Section 5.1 of this appendix shall apply.
Presence of a Whole House Fan  *Graphic Credit: RHA, Inc.*	• If a whole house fan vented into attic causes a natural draft water heater or FAU to fail the appliance CO or draft tests (see "Appliance CO Testing" section), the following steps shall be taken: - Calculate NFVA of the existing attic venting. - Determine outlet venting NFVA recommended by the whole house fan manufacturer. - Subtract existing attic venting NFVA from the recommended outlet venting NFVA to determine additional venting NFVA needed (if any) to meet or exceed manufacturer's recommendation. - Install additional attic venting, as needed. • If attic insulation will not be installed, a waiver is required to install additional attic venting. • If needed additional NFVA cannot be installed, corrective action is required, or Section 5.1 of this appendix shall apply.

10.4 TABLE: VISUAL INSPECTION– RETURN SYSTEM ANALYSIS

Return System Fail

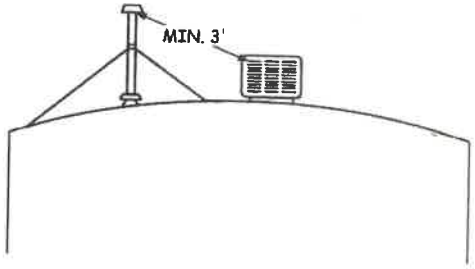
VISUAL INSPECTION—CONVENTIONAL HOMES	
RETURN SYSTEM ANALYSIS	**INSPECTION REQUIREMENTS**
Return System Leak.  *Graphic Credit: RHA, Inc.*	• The return system shall not have leaks that can cause any of the following problems: - Depressurize any open combustion enclosure; - Draw in combustion air or combustion byproducts from any open combustion appliance (e.g., from the furnace itself or the nearby combustion appliance); - Depressurize or draw air from a garage or other space where hazardous chemicals are stored or toxic fumes may be present (e.g., where a car may be idling). • If correction or addition of an isolation barrier is not feasible, corrective action is required or Section 5.1 of this appendix shall apply.
Return Grille Adjacent to Appliance Enclosure Door	• The enclosure door shall be weatherstripped, if it does not seal tightly. - *Exception:* Not required when combustion air is taken from the living space. • Existing vents in the enclosure door do not NIM the home. • Unless prohibited by local code, it is acceptable to install new combustion air vents in the enclosure door, when there is no better CVA option.  *Graphic Credit: RHA, Inc.*
Prohibited Sources of Return Air	• Return air shall not be taken from a closet, bathroom, or kitchen. • When return air comes from any of those locations, replace the non-conforming return with a ducted central return that originates in an approved location. • Corrective action is required, or Section 5.1 of this appendix shall apply.

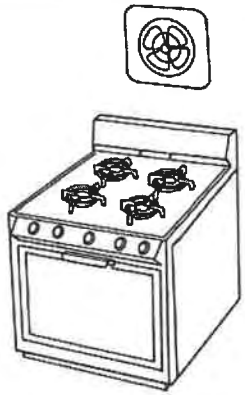
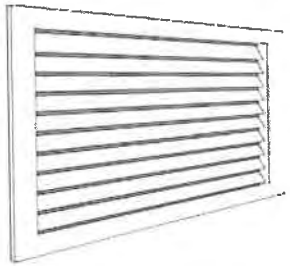
10.5 TABLE: VISUAL INSPECTION – MOBILE HOMES

Assessors shall check for each of the following additional defect types in all MOBILE HOMES. Each of the conditions below is considered a **CAS Fail**, unless noted as a **CAS Hazard**. Infiltration-reduction measures shall not be installed until ***the Fail or Hazard is repaired by the client or by the wx program***.

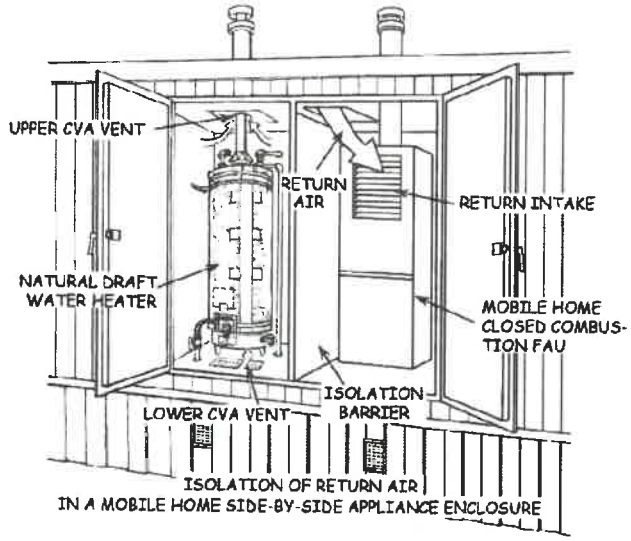
VISUAL INSPECTION – MOBILE HOMES	
MOBILE HOME NON-CONFORMING CONDITIONS	**INSPECTION REQUIREMENTS**

All Mobile Homes (DOE Only)
 	
	Combustion appliances in mobile homes must comply with the US Department of Housing and Urban Development (HUD) *Manufactured Home Construction and Safety Standards*.
	• All combustion appliances installed by or left in place after weatherization in mobile homes must meet these HUD standards, including secondary heating sources.
	• Malfunctioning combustion appliances shall be repaired or replaced before weatherization, or they must be removed.
	  - Note: Not all combustion appliances are served within the CSD WAP, but still would require removal.
	• If an occupant will not allow the removal of any unsafe combustion appliance from the home (includes all combustion appliance types), deferral is required.
	• All fuel-burning appliances must be installed with complete separation of the combustion system from the interior atmosphere of the home (i.e., drawing combustion air from outdoors) and be vented to the outdoors.
	  - Exception: Ranges, ovens, illuminating appliances, clothes dryers, solid fuel-burning stoves, and fireplaces
	• If complete separation cannot be achieved, the appliance must be removed from the dwelling or deferral is required.

Gas Vent Terminals
 
Graphic Credit: RHA,
	• Undercarriage Area: Vent pipes shall not terminate underneath a mobile home.
	• Evaporative Cooler: Water heater and furnace vent pipes located near an evaporative cooler shall terminate at least 3' from the cooler intake.
	• *Exception* for an Inoperable Cooler:
	  - When an evaporative cooler is inoperable, or the property owner wants it abandoned, the vent terminal clearances do *not* apply, if the cooler is removed and the roof opening is sealed.
	• *Exception* for Furnace Vent Pipe Near Cooler: Vent terminal clearance is not required under the following conditions:
	  - All cooler discharge openings are equipped with a vent cover, and
	  - The client is informed of the non-conforming vent termination and advised to keep cover(s) in place during the heating season, and

VISUAL INSPECTION – MOBILE HOMES	
MOBILE HOME NON-CONFORMING CONDITIONS	**INSPECTION REQUIREMENTS**
	- Occupant notification of non-conforming vent is documented in the CSD 700. • If clearance requirements are not met, or corrections cannot be made, Section 5.1 of this appendix shall apply.
Gas Cooking Appliances—Kitchen Ventilation for Mobile Homes  *Graphic Credit: RHA, Inc.*	• A functional kitchen exhaust system and vent to outdoors must be present or feasible to install above or near gas cooking appliances, or Section 5.1 of this appendix shall apply. • Requirement can be met with: - an exhaust fan, or - a passive ventilation duct. • See CSD TRM Section 11 *Kitchen Exhaust* for additional installation details.
Transfer Grille Is Required in Wall or Enclosure Door Separating FAU from the Living Space	• A transfer grille with sufficient NFVA shall be present in the enclosure door/wall that separates the FAU return intake from the living space, as described in **the** CSD TRM Section 8 *Ducting Repair, Sealing, and Insulation*. • If the existing grille is too small, or none is present, corrective action is required or Section 5.1 of this appendix shall apply.  EXAMPLE OF TRANSFER GRILLE REQUIRED TO PROVIDE ADEQUATE RETURN AIR PATH IN THE WALL OR DOOR SEPARATING THE FAU FROM THE LIVING SPACE *Graphic Credit: RHA, Inc.*

VISUAL INSPECTION – MOBILE HOMES

MOBILE HOME NON-CONFORMING CONDITIONS	INSPECTION REQUIREMENTS
Isolation of Return Air  *Graphic Credit: RHA, Inc.*	When a gas water heater and FAU are in adjacent enclosures: • The water heater enclosure shall not be depressurized by an adjacent FAU enclosure that serves as the return plenum. • The "isolation barrier" (partition between the two enclosures) must be complete and intact and must totally isolate the two appliances. • When the enclosure partition is not complete and intact, that is a CAS Hazard. • Corrective action is required, or Section 5.1 of this appendix shall apply. - Any condition (e.g., a defective isolation barrier) that allows pollutants to be drawn into the FAU return shall be corrected, including for duct sealing. - Air leaks between the living space and the FAU and water heater enclosures shall be sealed via an intact, complete isolation barrier. - If complete isolation cannot be achieved (is unfeasible and beyond the scope of the program), Section 5.1 of this appendix shall apply, and a CSD 542 Deferral Form" shall be completed

10.6 TABLE: VISUAL INSPECTION - VENT SYSTEMS

Assessors shall check for each of the following additional defect conditions in all vent systems. Each of the conditions below is considered a **CAS Fail**, unless noted as being a **CAS Hazard**. Infiltration-reduction measures shall not be installed until ***the Fail or Hazard is first repaired by the client or by the weatherization program***.

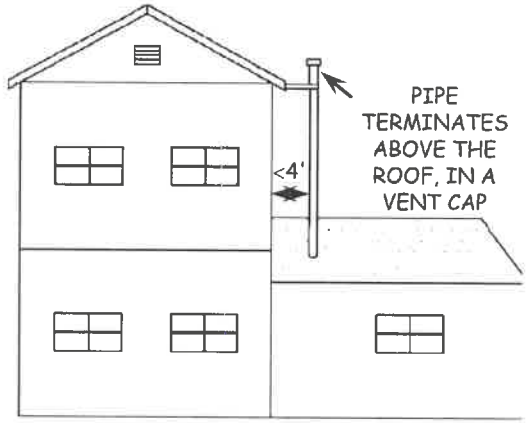
VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS	
VENT SYSTEM AND DRAFT HOOD ABNORMALITIES	**INSPECTION REQUIREMENTS**
All Appliances *Photo Credit: RHA, Inc.*	• Non-conforming vent systems shall be corrected before infiltration-reduction measures will be installed. Corrective action is required or Section 5.1 of this appendix shall apply. - Visual inspection includes checks for vent system defects in both fail categories. - Note: A vent system Fail is a "non-conforming" condition that does not cause CO to enter the home, and a Hazard is a condition that does cause CO to enter the home. **CAS Hazards**, *which requires correction within 18 hours,* include the following: • A vent system with a section missing, disconnected joint, hole, crush/obstruction, draft hood defect, or any other condition that adversely affects draft and causes combustion byproducts to enter the home. • A vent termination (most commonly that of a water heater) that is too close to an evaporative cooler intake. **CAS Fails**, *which require correction within 20 business days*, include the following non-hazardous vent defects, when they do not cause CO to enter the home: • Misaligned draft hood, multiple draft hoods, or no draft hood, *without* spillage. • Vent pipe needing screws due to loose/unsafe joint, or a defective/missing vent cap. • Single-wall pipe installed where double-wall pipe is required (e.g., in an attic or outdoors). • Damper in fireplace with gas log not blocked partially open, when the gas log is the home's primary heat source. • Inadequate clearance to combustibles causing visible evidence of a fire danger, including charring of wood, melting of foam insulation, etc. • Connection to a solid-fuel appliance chimney.
Clearance to Combustibles 	Corrective action is required or Section 5.1 of this appendix shall apply. • Newly installed single-wall pipe shall have 6" clearance to combustibles (wood framing, drywall, etc.). • Newly installed double-wall pipe clearance is as specified by the manufacturer, usually at least 1". • When clearance is less in *existing* vents, agencies or their subcontractors shall deem this an Advisory Condition. • Code-specified clearances are required for newly-installed vent system components.

VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS	
Combustion Appliance Vented to a Masonry Chimney	• (DOE only) If weatherization installs an appliance where the existing appliance was vented into a masonry chimney, the chimney must be lined in compliance with the International Fuel Gas Code (IFGC), California Mechanical Code, and local code (if more stringent).

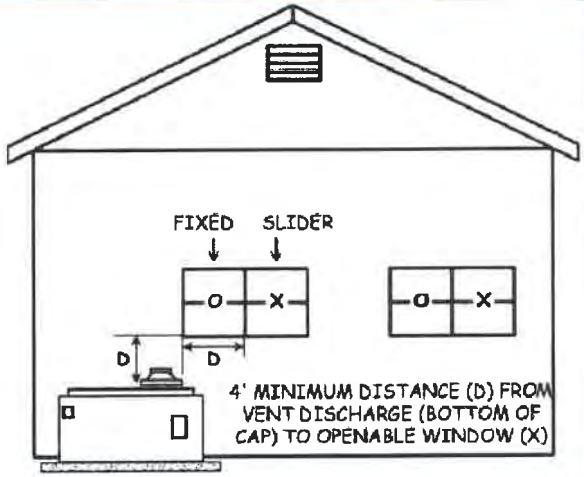
VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS

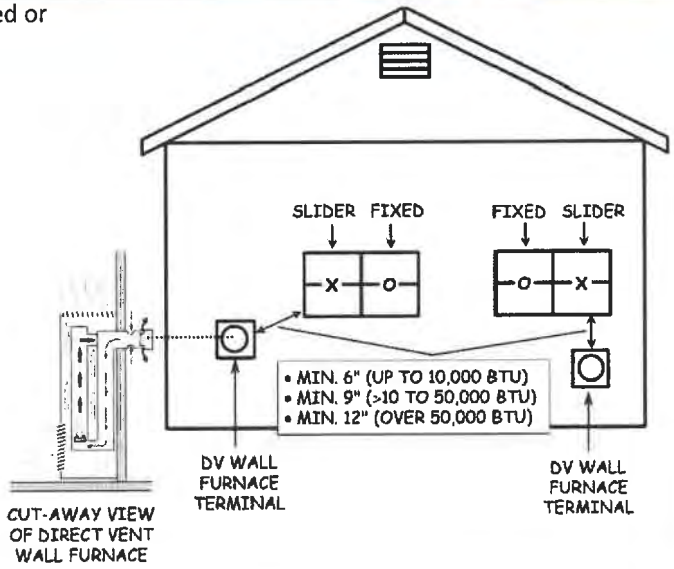
VENT SYSTEM AND DRAFT HOOD ABNORMALITIES (CONT.)	INSPECTION REQUIREMENTS
Vent System Materials and Repairs DOUBLE-WALL (TYPE B) PIPE SINGLE-WALL VENT PIPE *Graphic and Photo Credit: RHA, Inc.*	• Single-wall pipe is called a "vent connector". It is used to connect a vented appliance to a double-wall pipe, known as "Type B" vent pipe. • A single-wall pipe vent connector is allowed only up to the ceiling or over to a wall, where it connects to a Type B vent pipe. The connection at a ceiling is usually in a "support box", and at a wall in a "thimble". • Double-wall pipe must extend: - Beyond the ceiling and through the attic to outdoors, and - Beyond a wall and up to a vent termination above the roof. • All-single wall vent pipe joints and connections shall be secured with 3 sheet metal screws (spaced as evenly as possible) where 1) existing connections are loose and unsafe, or 2) new components are installed. • Type B-vent pipe connections/joints shall not be drilled or have screws installed, unless allowed by the pipe manufacturer. • New vent system installations shall conform to local code. • Vent pipe material used/located incorrectly is an **Advisory Condition**, *unless* the vent pipe requires correction for a **CAS Fail** condition. Corrective action for the CAS Fail is required or Section 5.1 of this appendix shall apply.
Draft Hood Defects *Photo Credit: Long Beach CAP*	All natural draft appliances have a draft hood. One purpose is to introduce "dilution air" into the vent system to help create and maintain proper drafting. Commonly-found draft hood defects include the following: • Misaligned (usually on a water heater). - The draft hood "feet" are not where they belong, and the draft hood is not centered over the flue. - This can usually be corrected by moving the draft hood into its correct position, and securing one or more feet with a sheet metal screw. - If the vent pipe does not line up with the draft hood, it may be necessary to install an offset (adjustable elbow) in the vent pipe (or on top of the draft hood). • Missing or doubled (stacked) draft hoods. - The draft hood being missing is usually because a new tank was installed that is taller than the old one. Rather than shortening the vent pipe, the draft hood was eliminated. - The draft hood being doubled is usually because a new tank was installed that is shorter than the old one. Rather than lengthening the vent pipe, the new draft hood was installed on top of the old one. • These conditions are all CAS Fails. If spillage is occurring, that is a CAS Hazard. Corrective action is required or Section 5.1 of this appendix shall apply.

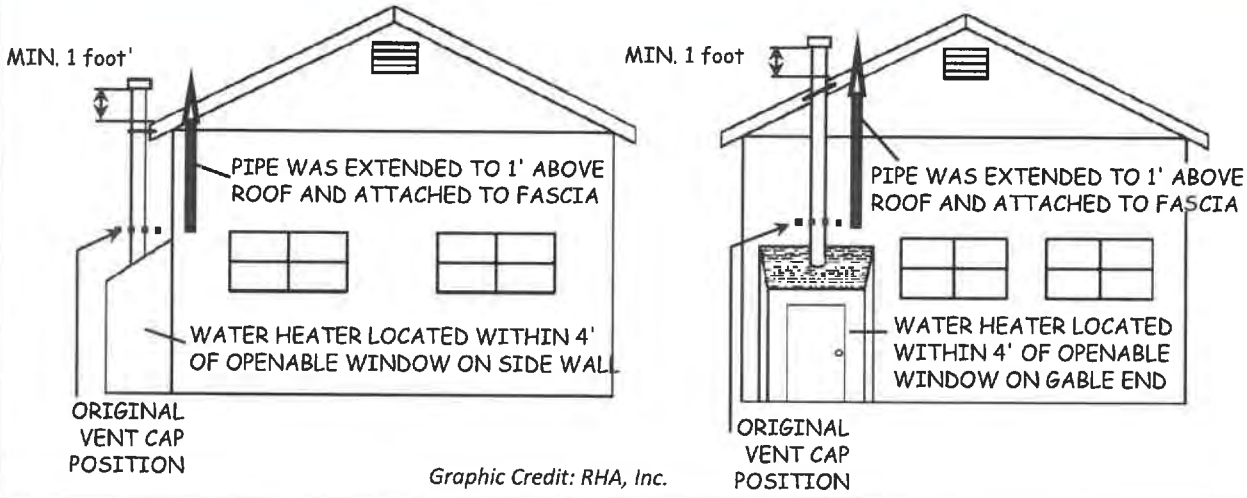
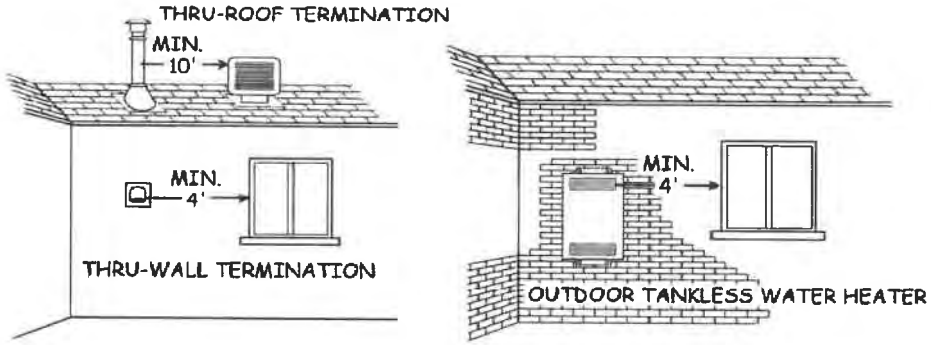
VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS	
VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS	
PROPER (CORRECT) VENT TERMINATIONS	
Vent Terminations— Existing and Newly-Installed	• See an overview of program criteria, based on CMC requirements, in Table 10.6.1. Note that requirements differ by appliance type, location of the vent pipe, and type of home (conventional or mobile).
Correct Positioning— EXISTING Standard Vent Pipe	***Existing Vents that Penetrate a Roof:*** • The existing vent pipe may terminate less than 1 foot above the roof, as long as it extends through the roof and the appliance passes draft test and spillage check. • It is a **CAS Fail** if the appliance does not pass draft test and spillage check (regardless of vent terminal location). ***Existing Vents Near a Wall*** • A vent pipe located *at least* 4 feet way from a wall is not required to terminate above the wall. • A vent pipe located *less than* 4 feet away from a wall must terminate above the roof. If it does not, that is a CAS Fail. • It is also a CAS Fail when any vent pipe terminates less than: ▪ 4-feet below or to the side of, or 1-foot above, an operable door or window. • Corrective actions are required or Section 5.1 of this appendix shall apply.



Graphic Credit: RHA, Inc.

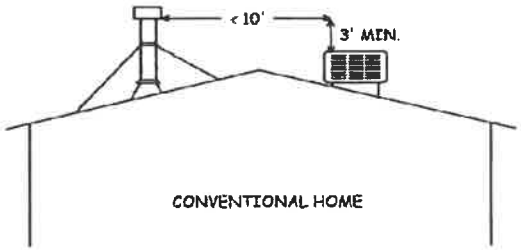
VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS	
Gas Vent Terminals—Below a Door or Window (Clearances in Feet)	Corrective action if clearance is not met when required or Section 5.1 of this appendix shall apply. *Graphic Credit: RHA, Inc.* 

VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS	
Gas Vent Terminals—Direct Vent Appliances (Clearances in Inches)	Corrective action if clearance is not met when required or Section 5.1 of this appendix shall apply. *Graphic Credit: RHA, Inc.* 

VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS	
Gas Vent Terminals— Outdoor Water Heaters	Corrective action if clearance is not met when required or Section 5.1 of this appendix shall apply.  *Graphic Credit: RHA, Inc.*
Clearances for— Gas Tankless Water Heaters	Corrective action if clearance is not met when required or Section 5.1 of this appendix shall apply.  *Graphic Credit: RHA, Inc.*

VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS

Gas Vent Terminals—
Near A Cooler or Mechanical Vent Inlet



Graphic Credit: RHA, Inc.

Water Heater Vent Terminals—CONVENTIONAL HOMES

- Vent terminal located within 10' of a forced air (fan-driven) or mechanical vent inlet shall terminate at least 3'above it—unless the cooler is removed and roof opening is sealed.
- Corrective action if clearance is not met when required or Section 5.1 of this appendix shall apply.

Furnace Vent Terminals

- Applies to all open and closed combustion appliances, *except* direct vent wall furnaces.
- A furnace vent terminal located within 10' of an inlet shall terminate at least 3' above the inlet.
- Corrective action if clearance is not met when required or Section 5.1 of this appendix shall apply.
- *Exceptions*: Clearances not required when:
  - All cooler discharge openings are equipped with a vent cover, or
  - The cooler shares the duct system with the FAU, and there is present a functional damper that isolates the cooler from the duct system during the heating season, or
  - The cooler is removed and the roof opening is sealed (e.g., when cooler is inoperable).
- When the exception applies, occupants shall be informed of it and advised that, during the heating season, they should do whichever of the following applies:
  - Keep the vent cover(s) in place, or
  - Keep the damper completely closed to isolate the cooler.
- Non-conforming vent termination shall be documented in the CSD 700 and occupant shall be notified.

10.6.1 TABLE: VISUAL INSPECTION–PRE-EXISTING VENT PIPE—EVALUATION AND CORRECTION REQUIREMENTS†

***REMINDER**: Corrective action is required if clearance is not met when required, or Section 5.1 of this appendix shall apply.

Appliance Type	Vent Location	Applies to	CAS FAIL Condition*	Termination Requirement	Additional Requirements
Natural Draft	Vertical pipe terminates **at least 4'** from a wall/ obstruction^.	Vent pipes that pass through the **roof**.	CAS Fail*, if vent pipe terminates less than 1 foot above the roof and the appliance fails draft and spillage checks.	• Not required to extend a full foot above the roof, IF the appliance passes draft and spillage checks.	• Vent cap required*.
	Vertical pipe terminates **<4'** from a wall.	Vent pipes that pass through a **wall** or terminates <4' from a wall.	CAS Fail*, if vent pipe terminates below roof.	• Shall extend vertically and terminate above the roof. • Note: Vent terminals <4' from an openable door, window, or gravity air inlet into the building must extend above roof.	• Vent cap required*.
	Vertical pipe terminates **<4'** from a wall/obstruction^ (e.g., 2nd story wall).	Vent pipes that pass through a **roof** (e.g., garage roof) near a wall.	CAS Fail*, if vent pipe terminates less than 2-feet above the roof and the appliance fails draft and spillage checks.	• Vent pipe is not required to extend 2' above the roof, IF the appliance passes draft and spillage checks.	• Vent cap must be present and located higher than the adjacent roof*.
	Horizontal pipe in sidewall.	Vent pipe passes through a **wall**.	CAS Fail*, if outdoor pipe is single-wall or vent pipe terminates below roof.	• Double-wall pipe or thimble shall extend through the wall and terminate in vent cap. • Outside the wall, double-wall pipe must turn 90° and extend above the roof.	• If single-wall is *corrected**, it must be replaced with double-wall pipe that extends upward to 2' higher than any portion of the building within 10'.
Other Combustion Types	Terminates **<4'** from a wall	• Package units (integral vent). • Induce draft. • Power vent. • Outdoor tankless water heater (no vent pipe).	CAS Fail*, if termination is nonconforming and not corrected.	Gas vents shall terminate no closer to a door, window, or gravity air inlet into the building, than the following minimum distances: • 4' below, or 4' horizontally from, or • 1' above.	• Vent cap required on induced draft and power vent units*. • Note: Package FAU and outdoor tankless units—correction requires moving the appliance or eliminating the opening/inlet into the building.
	Vent Pipe (horizontal) extending through sidewall.	• Power vent. • 90+ closed combustion (condensing furnace).	CAS Fail*, if termination is nonconforming and not corrected.	• If so designed, may terminate directly outside the wall (upward extension not required). • Must have 4'/4'/1' clearances from door, window, or gravity inlet (see criteria above).	• Vent must terminate in accordance with manufacturer's instructions. • May be directed downward and have no vent cap.
		• Direct vent wall furnace.	CAS Fail*, if terminal requirement is not met and not corrected.	Direct vent wall furnace terminal shall be at least the following minimum distances for any air opening into the building: • 6″ for inputs up to 10 kBtu. • 9″ for inputs up to >10 kBtu up to 50 kBtu. • 12″ for inputs over 50 kBtu.	• Listed vent terminal must be in place*. • Note: Clearance *exceptions* for direct vent wall furnace terminals near an evaporative cooler are illustrated in Table 10.6.

Appliance Type	Vent Location	Applies to	CAS FAIL Condition*	Termination Requirement	Additional Requirements
Outdoor Storage Water Heater Vent	Vent pipe terminates below the roof, in a location that affects the living space.	• Storage water heater located adjacent to a dwelling wall (e.g., in a small enclosure near or against a side/end wall).	• Outdoor vent is single-wall pipe*. • Vent is less than 1' above roof or within 4' of an operable door or window*. • Vent cap is missing*.	Must terminate at least 1' above the roof and be: • Secured to the fascia or penetrate the roof and flashing. • In conformance with local code. • If offsets are used, offsets shall not exceed 45°, except one 60° offset is allowed.	• Vent cap required*. • Type-B vent pipe (double-wall) is required*. • If offsets are used, offsets shall not exceed 45°, except one 60° offset is allowed.
Outdoor Tankless Water Heaters	Vent pipe terminates below the roof, in a location that affects the living space.	• All outdoor tankless water heaters with vent pipe.	• Outdoor vent is single-wall*. • Vent terminal less than 1' above roof or within 4' or an operable door or window*. • Vent cap is missing*.	• More than 4' below or to the side of, or 1' above, operable door or window, or • Manufacturer's specifications, if different.	• Vent cap required*. • When correction to the existing vent is required, the vent type shall be in accordance with the manufacturer's requirements.
	Outlet at top of outdoor tankless water heater.	• All outdoor tankless water heaters with NO vent pipe.	• Unit is within 4' of an operable door or window*. • Unit is within 10' of, and less than 3' above, a forced air (fan-driven) intake*.	• Unit is at least 10' away from, or at least 3' above, a forced air (fan-driven) intake. • More than 4' below or to the side of, or 1' above, operable door or window, or • Manufacturer's specifications, if different.	• N/A (Correction requires moving the appliance.)
Indoor Tankless Water Heaters	Vent pipe terminates below the roof in a location that affects the living space.	• Indoor tankless water heater with a vertical vent.	• Outdoor vent is single-wall pipe*. • Vent terminal less than 1' above roof or within 4' or an operable door or window*. • Vent cap is missing*.	• Vent must extend through roof and terminate in a listed vent cap or roof assembly. • When vent is located less than 4' from a wall, must terminate in a vent cap located higher than the adjacent roof.	• Vent cap required*. • When correction to the existing vent is required, the vent type shall be in accordance with the manufacturer's specifications.
		• Indoor tankless water heater with a horizontal vent.	• Outdoor vent is single-wall pipe. • Vent terminal < 1' above roof or within 4' of operable door/window*. • Natural draft vent does not slope upward at least 1/4" per foot of horizontal run*. • Vent cap is missing*.	• More than 4' below or to the side of, or 1' above, operable door or window into the living space, or • Manufacturer's specifications, if different.	• Vent cap required*. • When correction to the existing vent is required, the vent type shall be in accordance with the manufacturer's requirements.
Gas Vent Terminals Near a Forced Air (Fan-Driven) Inlet	• Too close to an **evaporative cooler** or mechanical vent inlet.	• Water heater vent terminals.	Home is NIM* ***except*** when: • Inoperable cooler is removed and roof opening is sealed.	• A water heater vent pipe located within 10' of a forced air (fan-driven) air inlet shall terminate at least 3' above it. For Mobile Homes, see table in Section 10.5.	• N/A
	• Near a forced air inlet (mechanical vent).	• Space heater vent terminals. • Applies to all open and closed combustion appliances, **except** direct	Home is NIM* ***except*** when: • All cooler discharge openings are equipped with a vent cover, or • Cooler shares duct system with the FAU, and there is a functional damper	• A space heater vent pipe located within 10' of a forced air (fan-driven) inlet shall terminate at least 3' above it. For Mobile Homes, see table in Section 10.5.	When a space heater vent termination does not meet 10'/3' clearances, inform client of non-conforming condition and advise that, during the heating season, they should (as applicable): • Keep the vent cover(s) in place, or

Appliance Type	Vent Location	Applies to	CAS FAIL Condition*	Termination Requirement	Additional Requirements
		vent wall furnaces. (See "Direct Vent" section.	that isolates the cooler from the duct system during the heating season, or • Inoperable forced air unit is removed and the roof opening is sealed.		• Keep the damper completely closed to isolate the cooler. • Document client notice in CSD 700.

† When correction includes installation of new vent pipe, the pipe type, vent cap, and terminal location must comply with local code. A permit must be obtained, when required by the local jurisdiction.
^ An "obstruction" is any surface angled more than 45 degrees above horizontal (e.g., wall, dormer, etc.).

10.6.2 TABLE: VISUAL INSPECTION–VENT CLEARANCES (NEW VENTS)

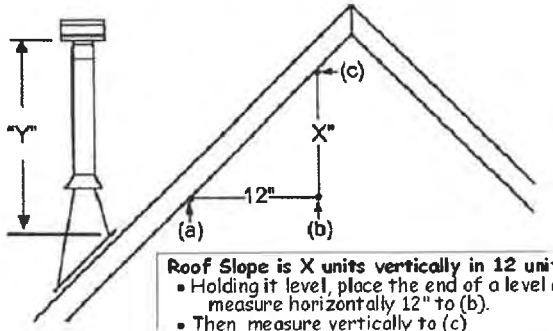
NEWLY-INSTALLED VENT PIPES FOR NATURAL DRAFT APPLIANCES—INSTALLATION REQUIREMENTS†

Type of Vent	Vent Location	Applies To	Installation Requirement	Additional Requirement
Natural Draft Vent	• As required by code and the local jurisdiction.	• For slopes up to 6/12.	• Must extend at least 1' above roof.	• Must be installed in conformance with manufacturer's instructions and local code.
		• For slopes greater than 6/12.	• Extension above the roof must comply with CMC Chapter 8, part of which is illustrated in the table below. • Height above roof is measured from the roof on the high side to the bottom of the exhaust opening (see below).	

† When correction includes installation of new vent pipe, the pipe type, vent cap, and terminal location must comply with local code. A permit must be obtained, when required by the local jurisdiction.

VENT HEIGHT FOR SOME ROOF SLOPES

ROOF SLOPE ("X" IN 12)	MIN. HT. ABOVE ROOF (DISTANCE "Y")	ROOF SLOPE ("X" IN 12)	MIN. HT. ABOVE ROOF (DISTANCE "Y")
Flat to 6/12	1'-0" (12")	>9/12 to 10/12	2'-6" (30")
>6/12 to 7/12	1'-3" (15")	>10/12 to 11/12	3'-3" (39")
>7/12 to 8/12	1'-6" (18")	>11/12 to 12/12	4'-0" (48")
>8/12 to 9/12	2'-0" (24")	>12/12 to 14/12	5'-0" (60")



Roof Slope is X units vertically in 12 units *horizontally*
- Holding it level, place the end of a level at (a), and measure horizontally 12" to (b).
- Then, measure vertically to (c)
- The vertical distance from (b) to (c), which is X, determines roof slope
- If X is 4", roof slope is 4/12 if X is 6", roof slope is 6/12, and so on.

Step 3

CVA EVALUATION

REMEMBER: If any CAS Hazard or CAS Fail condition is identified that cannot be corrected:

- (DOE Program or dwelling leveraged with DOE) The dwelling shall be DEFERRED.
- (LIHEAP) The dwelling shall be NIM (non-infiltration reduction measures) only.

11. CVA Requirements

Photo Credit: RHA, Inc.

Assessors and field crews must evaluate existing combustion and ventilation air (CVA) to ensure safe operation of open combustion appliances. CVA shall:

- Comply with CSD guidelines (unless superseded by manufacturer's instructions or local code).
- Be corrected, if non-conforming or inadequate.

There are five (5) steps to evaluate an appliance for CVA:

1. Identify all open combustion appliances at a dwelling.
2. Verify CVA source for each appliance. Does the air come from indoors, outdoors, or a combination?
3. Determine the minimum CVA required for each existing appliance.
4. Measure and calculate how much CVA is pre-existing.
5. Determine when additional CVA is needed; and if so, how much?

11.1 WHAT IS THE PURPOSE OF CVA?

CVA is needed in the appliance burner and combustion chamber ("combustion air") for a proper flame, and in the vent pipe ("dilution air") for proper drafting of combustion gasses.

- When there are both "upper" and "lower" CVA vents, combustion air enters the appliance enclosure primarily through the lower vent. Ventilation air vents heat and combustion gases out of the enclosure through the upper CVA vent.
- When there is "upper-only" CVA venting, that vent provides both combustion and ventilation air.
- The higher the Btuh Input rating is for an appliance, the greater the amount of CVA that is needed.

11.2 CVA CLIENT EDUCATION

In addition to understanding how to evaluate CVA and determine what corrections must be made, weatherization workers must also be able to explain CVA corrections to clients.

Photo Credit: WAPTAC.org

- Explain that gas appliances need "combustion air" to operate properly (to "breathe")—and that their appliance(s) do not presently have enough.
- Describe what must be done to correct the deficiency, such as:
  - For outside air, install larger vents to outdoors, or
  - For indoor room volume, install vents into an adjacent room (or install a louvered door, or permanently remove the solid door).
  - If the client resists taking feasible corrective action—or if correction is not possible—explain that infiltration-reduction measures shall not be installed.

- Always get agreement from the occupants, and written permission from the owner (or rental agent), before installing CVA vents or changing/removing a door.

Note: Because of the potential danger to occupants from CO poisoning, air sealing measures shall not be installed when CVA is not sufficient. Corrective action is required, or Section 5.1 of this appendix shall apply.

11.3 IDENTIFY APPLIANCE TYPE

CVA requirements apply to open combustion appliances that draw combustion air from the room/enclosure/space in which they are located. For each appliance in the living space listed below, you must perform a CVA evaluation:

- Open combustion furnace/heater
- Open combustion water heater
- Cooking appliances (for homes constructed from 2008 to the present time).

Open combustion appliances include "Natural Draft" (with a draft hood) or "Induced Draft" (with an inducer fan instead of a draft hood).

Figure 11.3.1 Natural Draft Furnace

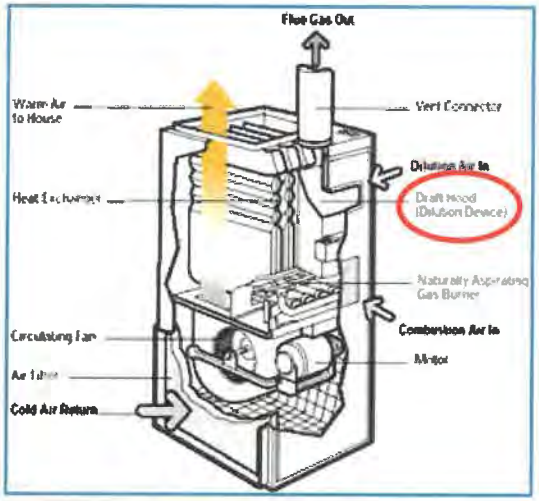
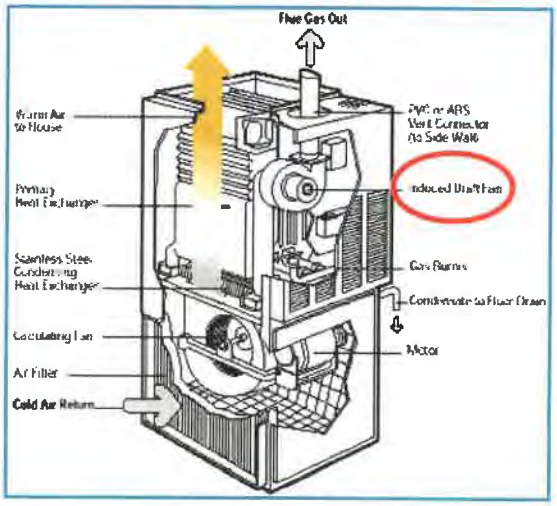


Figure 11.3.2 Induced Draft Furnace



11.4 SOURCES OF COMBUSTION AIR

The following are combustion air sources:

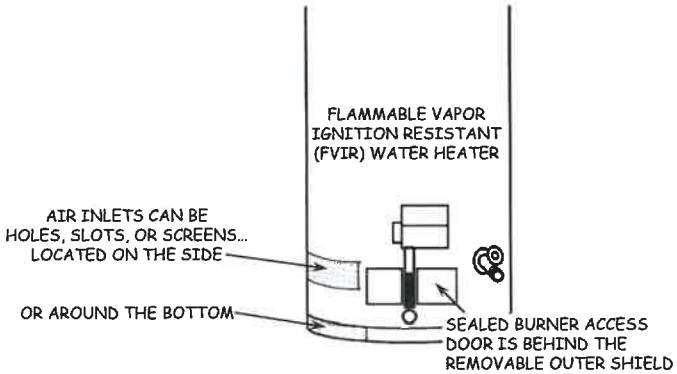
- Indoors—combustion air is based on *room volume* where the appliance is located.
- Outdoors—combustion ventilation air is supplied through CVA vents/grilles and ducts, which are sized to have the correct amount of "net free venting area" (NFVA). Where applicable and an appliance is replaced, combustion air shall be provided from the outdoors and installed in accordance with the 2012 IRC, manufacturer specifications, and additional applicable codes for the type of appliance installed.

- Both indoors and outdoors. This is a very undesirable condition when the appliance is in the living space, because a vent/duct to outdoors is actually a large shell leak. When possible within the scope of the program, CVA must be corrected to make all combustion air come from indoors or all from outdoors, for appliances located within the thermal envelope.

11.5 VISUAL EXAMINATION OF ALL EXISTING CVA VENTS

During the initial CVA evaluation, make sure to check and clear vents (or ducts) of obstructions like insulation, lint, animal hair, etc.

- Any obstructions must be removed during the home's assessment to ensure that combustion appliances are functioning properly during the CAS tests.
- Existing CVA vents to outdoors must also be evaluated to determine if they meet the requirements listed in Section 11.7 or require correction.
- Note: FVIR water heaters are very sensitive to obstruction to combustion air inlet vents. Check and clean inlets during the CVA evaluation. Occupants must be educated by the Assessor about how to clean the intakes and why it is important to clean them regularly.



Graphic Credit: RHA, Inc.

11.6 MINIMUM INDOOR CVA

11.6.1 HOW MUCH CVA IS REQUIRED?

Each room, enclosure, or space containing one or more open combustion appliance must provide a minimum room volume of 50 cu. ft. per 1,000 Btuh total input. The space where the appliance is located is called the "combustion appliance zone" or just "zone".

MINIMUM CVA	INSUFFICIENT CVA
At least 50 cu. ft. of room volume per 1,000 Btuh input	Less than 50 cu. ft. of room volume per 1,000 Btuh input

- When a zone has *at least* the minimum room volume, combustion air is adequate, and nothing needs to be done.
- When room volume of a zone is *less than* 50 cu. ft. per 1,000 Btuh total input, there is *insufficient* CVA volume
- If a client refuses to allow CVA to be corrected or added, Section 5.1 of this appendix shall apply.

To calculate indoor CVA, use the Sections 11.6.2 through 11.6.6 below.

11.6.2 CALCULATE INDOOR ROOM VOLUME

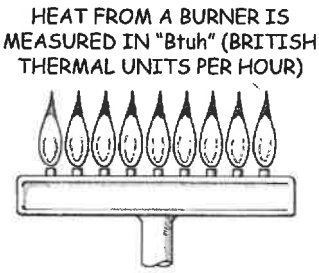
Indoor CVA is based on cubic feet of volume of the *indoor* room (zone) containing one or more appliances. To calculate room volume, multiply floor area times ceiling height.

- A 10'x 10' room with 8-foot ceiling has a volume of 800 cu. ft. (10 x 10 x 8 = 800).

If the CVA is insufficient, more room volume must be added—by venting into adjacent room(s).

11.6.3 CALCULATE INDOOR CVA

The minimum CVA requirement is based on the total Btu per Hour Input or "Btuh" of the appliance(s) inside an enclosure, room, or space. The Btuh Input can be read on the manufacturer's nameplate.



Graphic Credit: RHA, Inc.

- To calculate the existing indoor CVA, divide the Btuh input by 1,000. (Example: an 80,000 Btuh furnace ÷ 1,000 = 80 KBtuh); then multiply the KBtuh by 50 to determine the minimum amount of room volume that is required for the appliance(s).

Using the equation below, 80 (kBtuh) X 50 = 4,000 cu. ft.

TABLE 11.6.3.1—CVA FROM INDOORS

Application	CVA Requirement
All air from **indoors**, based on **room volume**	**Minimum Room Volume = KBtuh x 50**

There is a method called the "Known Air Infiltration Rate Method", which may be used when shell leakage is high. This method may reduce acceptable room volume to as little as 35 cu. ft. per 1,000 Btuh. Shell leakage CFM_{50} is used in the calculation, so a blower door test is required. More information is provided in Section 11.6.4.

When the nameplate is missing or illegible for an appliance, use the *default* Btuh values provided below. This table also appears in Section 17.

TABLE 11.6.3.2—DEFAULT BTUH VALUES

Appliance Type	Default Btuh Input Rating
Forced Air Furnace	• 25,000 Btuh per burner
Wall Furnace	• Single Sided: 35,000 Btuh • Double Sided with two burners: 60,000 Btuh
Floor Furnace	• Standard: 30,000 Btuh (usually 22" wide) • Large: 60,000 Btuh (usually wider than a single floor-joist bay)
Free-Standing (Room) Heater	• Small (up to 25" wide): 25,000 Btuh • Standard (26" to 32" wide): 50,000 Btuh • Large (34" or wider): 60,000Btuh
Gas Fireplace Unit	• 40,000 Btuh
Water Heater	• 1,000 Btuh per gallon
Cooktop Burners and Griddle	• 10,000 Btuh per burner
Oven	• 20,000 Btuh per burner

11.6.4 "KNOWN AIR INFILTRATION RATE" OPTIONS FOR INDOOR CVA VOLUME

When indoor CVA room volume is less than 50 cu. ft. per 1,000 Btuh, and installing CVA vents into adjacent spaces is not an option, it may be possible that a *smaller* room volume is acceptable.

- You must perform a blower door test, and then convert CFM_{50} shell leakage to "air changes per hour" (ACH), which is at natural pressure.
- The following table takes you step-by-step through the process.

TABLE 11.6.4: KNOWN AIR INFILTRATION RATE METHOD TO REDUCE CVA ROOM VOLUME

STEP #1: Calculate Actual ACH

Convert CFM50 to ACH at natural pressure.

1. Calculate "Interior Volume" of the dwelling.
   a. Use interior dimensions, or measure outdoor dimensions and subtract for wall thickness.
   b. Interior Volume (cu. ft.) = (floor area in sq. ft.) x (ceiling height in feet).

2. Use a Blower Door to measure CFM_{50} shell leakage, and calculate ACH to two decimal points. Use only one of the following equations:

Equation 1 for a **1-Story** Dwelling:

$$\textbf{ACH} = \frac{\textbf{(CFM}_{50}\textbf{) x 2.61}}{\textbf{cu. ft.}} = \frac{(CFM_{50}) \times (\text{1-story factor})}{\text{Interior Volume}}$$

Equation 2 for a **2-Story** Dwelling:

$$\textbf{ACH} = \frac{\textbf{(CFM}_{50}\textbf{) x 3.26}}{\textbf{cu. ft.}} = \frac{(CFM_{50}) \times (\text{2-story factor})}{\text{Interior Volume}}$$

Equation 3 for **3 Stories** or higher:

$$\textbf{ACH} = \frac{\textbf{(CFM}_{50}\textbf{) x 3.73}}{\textbf{cu. ft.}} = \frac{(CFM_{50}) \times (\text{3-story factor})}{\text{Interior Volume}}$$

Example for 1-story dwelling: Assume 1,000 sq. ft. of floor space, 8' ceilings, and 1,200 CFM_{50} shell leakage.

$$\text{ACH} = \frac{1{,}200 \times 2.61}{(1{,}000 \text{ sq. ft.}) \times (8 \text{ ft.})} = \frac{3{,}132}{8{,}000} = 0.3915 = \textbf{0.39 ACH}$$

Definitions for "Known Air Infiltration Rate Method" Equations 4 and 5

In the nest two equations, the following abbreviations are used:

I_{Nat}	= Input in Btuh* for Natural Draft appliances.
I_{Fan}	= Input in Btuh* for Induced Draft appliances (with inducer fan).
ACH	= air changes per hour** *Maximum 0.60 ACH may be used in volume calculations.*

* When using these equations, "Input in Btuh" is the total for the gas appliances drawing combustion air from the room/space, which include: **space heater(s), water heater(s), cooktop, and oven.**

** The volume of indoor air changed in an hour compared to the total volume of air in the building, expressed as a decimal.

Continued on next page.

STEP #2(A): Known Air Infiltration Rate Method—Natural Draft Appliances

1. For Natural Draft appliances, use the equation below to calculate the required volume for CVA.

Equation 4:

$$\textbf{Required Volume}_{Nat} = \frac{\textbf{21 cu. ft.}}{\textbf{ACH}} \times \frac{\textbf{I}_{Nat}}{\textbf{1,000 Btuh}}$$

2. Note: 0.60 ACH is the maximum infiltration rate allowed in the calculation, and ***35*** *cu. ft. per 1,000 Btuh Input is the smallest acceptable volume for* ***Natural*** *Draft appliances,* regardless of calculation result.

3. Example: Assume infiltration is 0.50 ACH and total Natural Draft Input is 100,000 Btuh.

$$\text{Required Volume}_{Nat} = \frac{21 \text{ cu. ft.}}{0.50} \times \frac{100{,}000 \text{ Btuh}}{1{,}000 \text{ Btuh}} = 4{,}200 \text{ cu. ft.}$$

By knowing the infiltration rate from a Blower Door test and using Equation 4, the required volume is *reduced* 16% to just 4,200 cu. ft. for this sample natural draft appliance.

STEP #2(B): Known Air Infiltration Rate Method—Induced Draft Appliances

1. For Induced Draft appliances, use the equation below to calculate the required volume for CVA.

Equation 5:

$$\textbf{Required Volume}_{Fan} = \frac{\textbf{15 cu. ft.}}{\textbf{ACH}} \times \frac{\textbf{I}_{Fan}}{\textbf{1,000 Btuh}}$$

2. Note: 0.60 ACH is the maximum infiltration rate allowed, and **25** cu. ft. per 1,000 Btuh Input is the smallest required volume allowed for **Induced** Draft appliances, regardless of calculation result.

3. Example: Again assume infiltration is 0.50 ACH and total Input is 100,000 Btuh.

$$\text{Required Volume}_{Nat} = \frac{15 \text{ cu. ft.}}{0.50} \times \frac{100{,}000 \text{ Btuh}}{1{,}000 \text{ Btuh}} = 3{,}000 \text{ cu. ft.}$$

By knowing the infiltration rate from a Blower Door test and using Equation 5, required volume is *reduced* 20% to just 3,000 cu. ft. for this sample induced draft appliance.

STEP #2(C): Both Natural Draft and Induced Draft Appliances In the Same Space

When both a Natural Draft appliance and an Induced Draft appliance draw combustion air from the same room or space, do the following:

1. Calculate required volume for the Natural Draft appliance.
2. Calculate required volume for the Induced Draft appliance.
3. Add the two volumes together to determine the total Required Volume for both appliances.

11.6.5 WHEN ADDITIONAL INDOOR ROOM VOLUME IS NEEDED

When existing indoor room volume is not sufficient—less than 50 cu. ft. per 1,000 Btuh—additional room volume must be added—or the condition is a CAS Fail. Corrective action is required, or Section 5.1 of this appendix shall apply.

First, use this equation:

(Required CVA Volume) – (Existing CVA Volume) = Additional CVA Volume Needed.

Then, the Equation below tells you how to properly size upper and lower CVA vents into adjacent space(s). The volume of the additional room(s) is then added to the volume of the room containing the appliance.

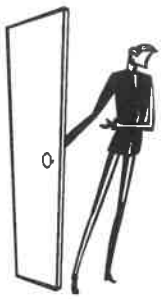
TABLE 11.6.5.1— MINIMUM CVA FROM INDOORS

Application	CVA Requirement
All air from **indoors**, with 1 Upper vent and 1 Lower vent venting to another interior room/space	When volume of a room/space containing an appliance is insufficient: • An Upper and a Lower vent shall be installed into adjacent space with sufficient volume. • Each vent must provide **1 sq. in. NFVA per 1,000 Btuh input**, with a *minimum size* of **100 sq. in.** per vent. **NFVA = 100 + # of KBtuh above 100**

Example: Required CVA room volume is 2,500 cu. ft., and existing (open area) room volume is 2,000 cu. ft.

- Using the equation above: (2,500) – (2,000) = 500 cu. ft., the amount of additional CVA volume required.
- If feasible, correct the condition by installing upper and lower 100 sq. in. NFVA CVA vents ("transfer grilles") into an adjacent room (or rooms) that can provide at least 500 cu. ft. of additional volume.

TABLE 11.6.5.2— CORRECTIVE ACTIONS FOR OBTAINING ADDITIONAL INDOOR CVA



To increase the amount of available CVA, it is required to do one of the following:

- Enlarge existing vents, or add additional upper and lower vents.
  - Minimum dimension of indoor CVA vents and ducts shall be no less than 3 inches. For example:
    - For a vent size of 30 sq. in., you can install a 3" x 10" vent or duct, but not a 2" x 15".
    - Round vents or ducts must have a minimum diameter of 3".
- Replace the solid door with a louvered door.
- Permanently remove the solid door (in accordance with quality standards).

When removing a door to provide additional indoor CVA, the following requirements shall be met:

- All hinges shall be removed from the jamb.
- Mortise holes left by hinge removal shall be patched neatly.
- When touch-up paint is available from the client, at least one coat shall be applied.

When written permission is obtained from the owner (landlord or agent, if a rental), the removed door shall be taken away from the premises, and the client permission stored in the client file.

11.6.6 MOBILE HOME INDOOR CVA REQUIREMENTS

CVA requirements for mobile homes depend upon the types and locations of the appliances. Here is one specific standard related to indoor combustion air that applies to mobile homes for Space and Water Heating Appliances Drawing CVA from the Living Space:

- Infiltration-reduction measures shall not be installed, *unless* all of the following requirements are met for the mobile home:
  - Volume of the space supplying combustion air shall be at least 50 cu. ft. for each 1,000 Btuh input, and
  - The combustion appliance zone (CAZ) for each appliance is tested according to this protocol; and
  - Negative pressure in CAZ does not exceed the House Depressurization Limit (HDL).

11.7 MINIMUM OUTDOOR CVA

Many appliances are in small enclosures, garages, or other spaces, so they must get sufficient CVA from outdoors. Assessors must ensure that pre-existing vents provide the required net free venting area (NFVA). Minimum amount of CVA depends upon whether the existing vent(s) are:

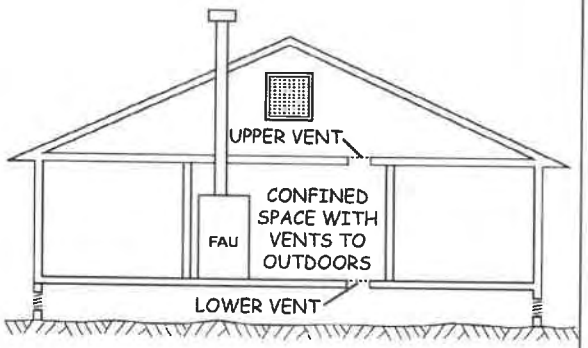
- Upper only
- Upper and lower vents or vertical ducts; or
- Upper and lower horizontal ducts.

If the existing vents do not meet the minimum of 50 cu. ft. per 1,000 Btu, the vents must be enlarged, or additional NFVA vents shall be installed, in accordance with the Table 11.7.2.

11.7.1 VISUAL EXAMINATION OF OUTDOOR CVA VENTS

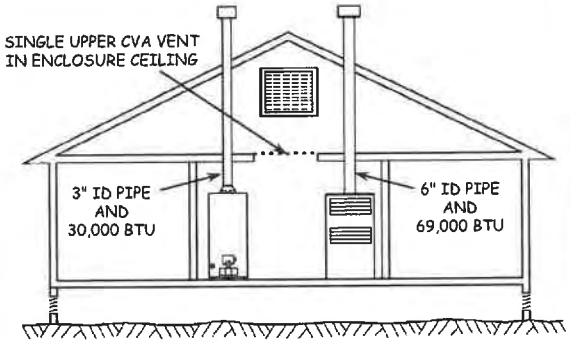
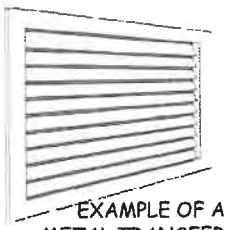
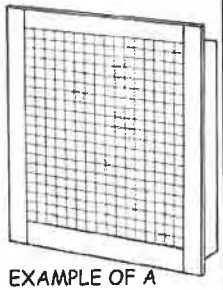
Since many appliances are in small enclosures, they must get CVA from outdoors. Combustion air reaches the appliance(s) through CVA vents or ducts to outdoors. Tables on the following pages summarize the minimum requirements for existing CVA vents from outdoors.

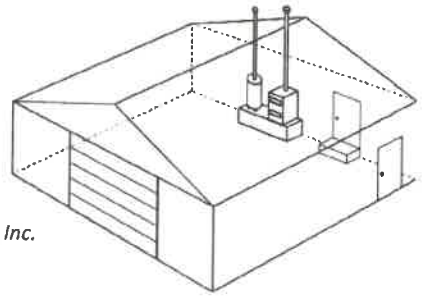
11.7.2 TABLE: POLICIES FOR EXISTING CVA VENTS TO OUTDOORS

<table>
<tr><th colspan="2">EVALUATION OF EXISTING CVA VENTS TO OUTDOORS</th></tr>
<tr><th>TOPIC</th><th>EVALUATION REQUIREMENTS</th></tr>
<tr><td><u>All</u> CVA Conditions</td><td>Corrective action is required when additional CVA is needed, or Section 5.1 of this appendix shall apply</td></tr>
<tr><td><u>All</u> CVA Vents and Ducts to <u>Outdoors</u> from the Living Space
 

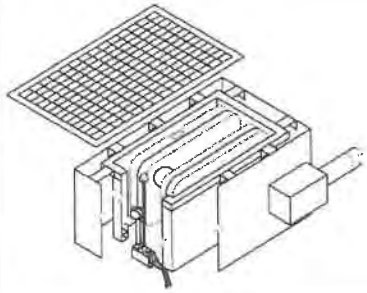
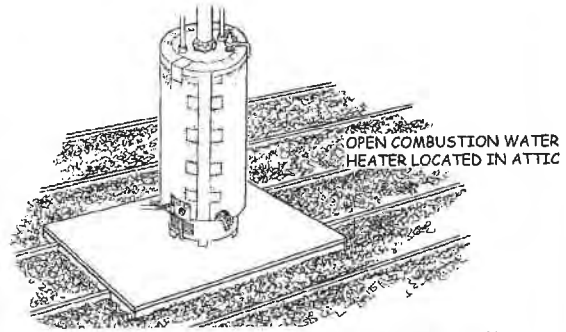
Graphic Credit: RHA, Inc.</td><td>CVA from outdoors must be obtained by one or more of the following methods:
• Permanent openings (with no damper) directly to outdoors through an enclosure floor, walls, or ceiling.
• Continuous vertical or horizontal ducts that extend from the enclosure to outdoors.
• It is acceptable to obtain CVA from attic and/or crawlspace when the attic or crawlspace vents conform with the following requirements:
<table><tr><th>AIR FROM ATTIC</th><th>AIR FROM UNDER FLOOR</th></tr><tr><td>Attic must have unobstructed cross ventilation, with NFVA that exceeds the CVA requirement.</td><td>• Crawlspace must have unobstructed cross ventilation, with NFVA that exceeds the CVA requirement.
• Crawlspace vents with closable louvers shall <u>not</u> be included in the NFVA calculation.</td></tr></table><u>Existing</u> CVA from outdoors can be supplied by:
• A combination of “upper” and “lower” vents or ducts, or
• Upper-only venting (when proper clearances are present in the enclosure.
- Note: If existing CVA is nonconforming, CVA must be brought to code and be upper-only, or upper and lower, in compliance with Table 11.7.3.</td></tr>
<tr><td>Existing CVA Vent Requirements – Ducts and Sleeves</td><td><u>Existing</u> CVA Ducts and Sleeves
• Minimum dimension of CVA vents and ducts to outdoors shall be no less than 3 inches. For example:
- For a vent size of 30 sq. in., you must install a 3″ x 10″ vent or duct, but <u>not</u> a 2″ x 15″.
- Round vents and ducts must have a minimum diameter of 3″.
• Ducts shall terminate in an unobstructed location that allows the free flow of combustion air to the appliance.
• Horizontal combustion air ducts must be level or have an upward slope. They must <u>not</u> slope downward toward the source of combustion air.
• For CVA Supplied by Ducts:</td></tr>
</table>

EVALUATION OF EXISTING CVA VENTS TO OUTDOORS

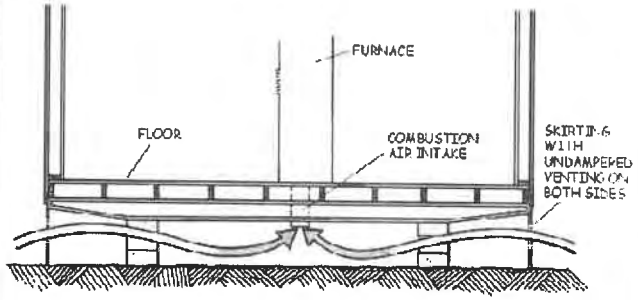
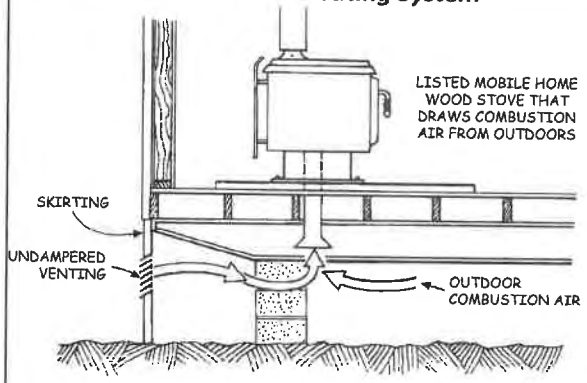
TOPIC	EVALUATION REQUIREMENTS
Existing CVA Vent Requirements – Ducts and Sleeves (continued)	- Separate ducts shall be used for upper and lower CVA (a single duct cannot be used for both). - When wall stud bays are used as CVA ducts, a separate stud bay is required for each (both upper and lower vent screens must not be installed in the same stud bay).
Existing CVA Vent or Duct Positions— Upper or Lower  *Graphic Credit: RHA, Inc.*	**Examine all existing CVA Vents and Ducts.** • A *pre-existing* upper vent or duct at *any height above the draft hood opening* is acceptable during CVA evaluation of existing CVA only, but not when a new vent is installed. • A *pre-existing* lower vent at *any height above the floor* is acceptable during CVA evaluation of existing CVA only, but not when a new vent is installed. • For CVA Supplied by Upper Venting: Upper CVA venting shall not be provided by a duct extending up from the crawlspace. If this condition exists, it must be corrected. • For CVA Supplied by Lower Venting: When lower CVA is provided via a duct *from the attic,* the duct must begin above the ceiling insulation and extend down to within 12" of the floor, and the duct shall not have mesh at either end. If this condition exists, it must be corrected. • Enclosure with No Ceiling - When an interior appliance enclosure has no ceiling, equipment in the enclosure is treated as though it is located in the attic. - The open top of the enclosure is like a large upper-only CVA vent, so a lower vent is not required. - CVA for the enclosure is adequate if: (a) attic volume is at least 50 cu. ft. per 1,000 Btuh Input, or (b) attic venting provides the required amount of NFVA venting.
Louvers, Grilles, and Screens for Existing Vents  EXAMPLE OF A METAL TRANSFER GRILLE: *Graphic Credit: RHA,*  EXAMPLE OF A SCREEN-ONLY VENT	**CVA Vent or Duct Screens** • 1/4" mesh is acceptable on standard vents to outdoors. When mesh is present that reduces NFVA too much, it can be replaced with a larger weave up to 1/4" mesh to increase NFVA without enlarging the vent. • 1/16" mesh shall always be replaced with 1/4" mesh. • Note: A CVA duct that terminates in the attic shall not be screened on either end. The upper end of the duct shall extend above ceiling insulation, or must be extended with a sleeve when insulation will be installed. **Net Free Ventilation Area (NFVA)** • Vents with louvers, grilles, and screens do not allow full transfer of air, and must use a reduction factor when calculating the NFVA of an opening. • There are different "reduction factors" for each mesh weave, for metal louvers (with and without mesh), and for wooden louvers (with and without mesh). The rules and calculations are covered in detail in Section 11.7.5.

EVALUATION OF EXISTING CVA VENTS TO OUTDOORS	
TOPIC	**EVALUATION REQUIREMENTS**
Louvers, Grilles, and Screens for Existing Vents (continued)	• When NFVA of an existing CVA vent is too small, it may be possible to increase NFVA by removing existing mesh. - On screened vents to outdoors, remove 1/16" mesh and replace it with 1/8" hardware cloth (1/8" mesh is required on all CVA vents to outdoors). - On screened vents to indoors, just remove the mesh (because mesh is *not* required).
Open Combustion Appliances Located In a Garage (or Enclosed Porch) with No Sleeping Area  *Graphic Credit: RHA, Inc.*	**When the Garage/Porch Is Not Living Space** A special rule applies to the CVA evaluation for *existing* open combustion appliances located in an attached garage or enclosed porch. *This rule does not apply to CVA requirements for new appliances installed in those locations, which must conform to current code.* • When a garage is (a) unfinished or (b) finished but not living space: - Existing room volume must be at least 50 cu. ft. per 1,000 Btuh, - When garage or porch has insufficient room volume, venting to outdoors is required. • Permanent unblocked CVA vent(s) shall provide a total of at least 1 sq. in. NFVA per 4,000 Btuh total Input. (Note: Vents with a damper do not qualify). • It is acceptable for venting to be *upper only*, or *lower only*, or *upper and lower* vent(s). (It is *not* necessary to have both upper and lower vents in this special circumstance)
Open Combustion Appliances Located In a Garage (or Enclosed Porch) with a sleeping area 	**When the Garage/Porch Is Living Space** • A garage is considered a living space under the following conditions: - The drive-through door is permanently closed, - The interior is finished (e.g., with sheetrock or paneling), - There are no vents to outdoors/attic (ventilation or CVA vents), and - The room has the appearance of being used as living space. • A garage is considered a sleeping area if it also contains sleeping furniture or appears to be used for sleeping. • It is *conditioned* space, if a heating and/or cooling source is present (i.e., appliance or FAU supply register). **When the Garage Is Living Space with a Sleeping Area** • When an open combustion FAU and/or water heater is in a garage *that is used as a sleeping area*: - Section 5.1 of this appendix shall apply, even if room volume is equal to, or more than, 50 cu. ft. per 1,000 Btuh.

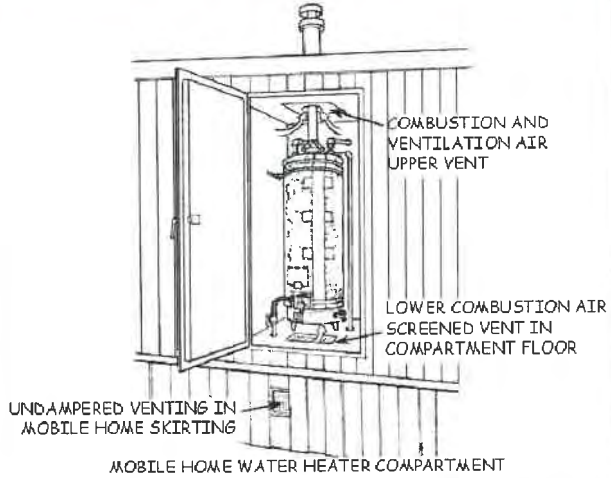
EVALUATION OF EXISTING CVA VENTS TO OUTDOORS

TOPIC	EVALUATION REQUIREMENTS
Open Combustion Appliances Located In a Garage (or Enclosed Porch) with a sleeping area (continued)	- *Exception*: Correction of the condition shall be made by isolation of the appliance(s) by: (a) Building an enclosure to isolate the appliance(s) from the sleeping area that is adequately vented to the outdoors *and* has a weatherstripped self-closing door, or (b) sleeping facilities are removed from the living space.
Appliances Located in a Crawlspace, Basement, or Partial Basement  FLOOR FURNACES ARE IN THE CRAWLSPACE, BASEMENT, OR PARTIAL BASEMENT *Graphic Credit: RHA, Inc.*	**When an existing open combustion appliance is located in a crawlspace, basement, or partial basement** • When volume is *less than* 50 cu. ft. per 1,000 Btuh input, permanent CVA venting to outdoors is required. - Vent(s) shall provide a total of at least 1 sq. in. NFVA per 4,000 Btuh total Input. - Added venting may be *upper only* (it is *not* necessary to have both upper and lower vents in this special circumstance). - The under-floor space shall be have free flow of outdoor air (i.e., cross-ventilation), provided by unobstructed openings to outdoors (e.g., foundation vents). Vents with a damper do not qualify. *This rule does not apply to CVA for new appliances installed in those locations, which must conform to current code.*
Appliances Located in an Attic  OPEN COMBUSTION WATER HEATER LOCATED IN ATTIC UPPER AND/OR LOWER ATTIC VENTS WITH CROSS VENTILATION REQUIRED WHEN ATTIC IS A CONFINED SPACE CONTAINING AN OPEN COMBUSTION WATER HEATER AND/OR FAU *Graphic Credit: RHA, Inc.*	**CVA evaluation for existing open combustion appliances located in an attic** • When volume is *less than* 50 cu. ft. per 1,000 Btuh input, permanent CVA venting to outdoors is required. - Vent(s) shall provide a total of at least 1 sq. in. NFVA per 4,000 Btuh total Input. - Added venting may be *upper only*, or *lower only*, or *upper and lower* vent(s). (It is *not* necessary to have both upper and lower vents in this special circumstance). • The attic shall be have free flow of outdoor air (i.e., cross-ventilation), provided by unobstructed openings to outdoors (attic vents). Vents with a damper do not qualify. Note: *This rule does not apply to CVA requirements for new appliances installed in those locations, which must conform to current code (see Table 11.8.3 with information on installing a new appliance in this location).*

EVALUATION OF EXISTING CVA VENTS TO OUTDOORS

TOPIC	EVALUATION REQUIREMENTS
MOBILE HOME CVA TO OUTDOORS REQUIREMENTS CVA requirements for mobile homes depend upon the types and locations of the appliances. Corrective action is required when additional CVA is required, or Section 5.1 of this appendix shall apply. Below are three specific standards related to combustion air from outdoors that apply to mobile homes:	
Appliance Drawing Combustion Air from Under the Mobile Home  *Graphic Credit: RHA, Inc.*	• Un-dampered venting shall be present in the skirting. • Cross-ventilation shall be present, with venting located on at least two different sides of the Mobile Home (as illustrated at left). • Skirting vents shall provide a total of at least 1.5 sq. ft. NFVA for each 25 lineal feet of the Mobile Home.
Mobile Home Solid Fuel Heating System  *Graphic Credit: RHA, Inc.*	• When a mobile home has a wood-burning stove, it is acceptable to install shell sealing measures if the stove: - Is labeled for use in a mobile home, and - Draws combustion air ducted in from outdoors. • When a stove is present that is *not* labeled for use in a mobile home, shell sealing measures shall not be installed *unless* one of the following conditions is met: - Option 1: The stove is designed to operate with doors closed, and outside combustion air is ducted to the combustion chamber. - Option 2: When combustion air cannot be ducted directly to the combustion chamber, but the stove operates with doors closed: ▪ The CAZ is tested as prescribed, and ▪ Negative pressure in the CAZ does not exceed the applicable HDL.

EVALUATION OF EXISTING CVA VENTS TO OUTDOORS

TOPIC	EVALUATION REQUIREMENTS
Open Combustion Water Heater CVA  *Graphic Credit: RHA, Inc.*	• An *upper* combustion air vent shall be present, which may consist of one of the following: - A round pipe-within-a-pipe vent assembly in the ceiling. This is when an appliance vent pipe surrounded by air space and a larger-diameter outer pipe. NFVA is cross-sectional area of the larger pipe minus cross-sectional area of the smaller pipe. - An undampered vent (screen or grille) installed in the door or outer wall and located higher than the draft hood. • A *lower* combustion air vent shall be present, which may be an undampered vent (screen or grille) to the outdoors, located in: - The enclosure floor, or - The door or wall, with the bottom beginning not *more* than 1' above the floor.

Vacancy Sensor Switches

1. MEASURE OBJECTIVES

1.1 A vacancy sensor switch (VSS) saves energy by turning off lights when a room is unoccupied.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure

2.2. Install

2.2.1 A light fixture is in an intermittently occupied location with incandescent, halogen, light-emitting diode (LED), or compact fluorescent lamp (CFL) lighting and

2.2.2 The location is a family room, living room, dining room, bathroom, kitchen, laundry room, utility room, or garage and

2.2.3 The VSS will be installed in the same room as the light it controls

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 A functional VSS or dimmer is already in place

3.2 A qualifying location, light, or circuit is not present or not operational

3.3 Physical risk to the occupant may occur if the sensor fails (such as in a stairway)

3.4 Physical limitations will impede the occupant's ability to operate the switch

3.5 The electrical box cannot physically contain the VSS

3.6 The switched load exceeds the maximum amperage specified by the sensor manufacturer

3.7 A functional grounding conductor is not present when required by the manufacturer

3.8 The room is continually occupied

3.9 A forced air register or ceiling fan is within 6' of the switch, unless allowed by the manufacturer

3.10 The switch will control any of the following devices:

3.10.1 Ceiling fan

3.10.2 Lighting in closets, unless the switch is located inside the closet

3.10.3 Switches that must remain on, such as those controlling mechanical ventilators or other medical equipment

3.10.4 Security lighting or outdoor lighting

3.10.5 Emergency lighting fixtures

3.11 Installation would violate Appendix E Health and Safety Requirements

3.12 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 VSS may be installed in all housing types, including renter-occupied homes.

4.1.2 A VSS with an integral LED night-light feature may be installed where the occupant requests nighttime illumination.

4.1.3 When controlling a qualifying bathroom light and exhaust fan with one sensor, install a dual-load VSS rated for the fan load.

4.1.4 Electrical Requirements

4.1.4(a) The electrical circuit must be 110–120 volts, safe, and properly sized with adequate overcurrent protection to support the installation of appliances and other electrical measures.

4.1.5 VSS Selection

Select and locate the VSS according to the room's characteristics and the VSS specifications, including:

4.1.5(a) Electrical load within minimum and maximum limits of VSS capacity

4.1.5(b) Acceptable range and coverage area of the sensor

4.1.5(c) Type of occupant use (walking, reading, computer use, etc.)

4.1.5(d) Obstacles and hard surfaces in the room

4.1.5(e) Magnitude of motion:

4.1.5(e1) Minor motion (reading, writing, and hand movements), or

4.1.5(e2) Major motion (full-body and walking)

4.1.5(f) Ability to sense occupants and not turn off lights while the room is still occupied ("false off")

4.1.5(g) Located to not monitor the area outside the door (which can cause nuisance switching)

4.1.5(h) Passive infrared (PIR) VSS:

4.1.5(h1) Shall be installed only in locations with an unobstructed line-of-sight of the entire room (Fig. 31-1)

4.1.5(h2) Is more sensitive to lateral (side-to-side) motion than ultrasonic (US) VSS

4.1.5(h3) Is suitable for smaller, enclosed spaces

4.1.5(h4) Is not suitable for locations:

- With low motion levels (e.g., office, computer area, or reading area)
- Where obstacles can block the sensor's view

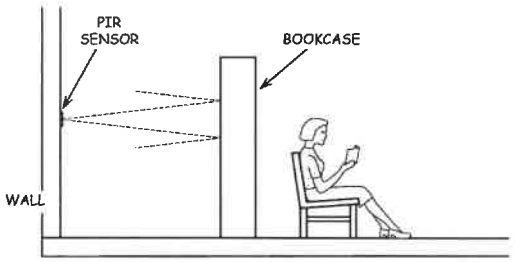


FIG. 31-1: PIR SENSORS ARE NOT USED WHEN OBSTACLES ARE PRESENT

4.1.5(i) Ultrasonic VSS:

4.1.5(i1) Is best in rooms with open spaces, obstructions, and hard surfaces

4.1.5(i2) Does not require occupants to be within its line of sight because its high-frequency sound can detect movement even around corners

4.1.5(i3) Has high sensitivity to minor movement, making it more suitable for areas with low motion (e.g., typing, writing, reading)

4.1.5(i4) Has a larger coverage area than a PIR sensor

4.1.5(i5) Is more sensitive to motion toward or away from the sensor than a PIR sensor

4.1.5(j) Dual technology (combination PIR/US) VSS:

4.1.5(j1) Is allowed in any location that conforms to the installation criteria and the manufacturer's recommendations

4.1.5(j2) Provides increased flexibility and accuracy

4.1.5(j3) Can reduce false-on/-off nuisance switching

4.2. Installation Procedure

4.2.1 Before replacing an existing switch with a VSS, turn off power to the switch box.

4.2.2 Verify that the controlled circuit is operational and properly grounded when grounding is required.

4.2.3 All VSS shall replace existing wall-mount light switches.

4.2.4 Total switched wattage shall be at least 40 watts and shall not exceed the manufacturer's load rating.

4.2.5 The VSS grounding lead must be properly connected to the system grounding conductor, when present.

4.2.6 Securely tighten screw-terminal wire attachments with a conductor wrapped around the screw no more than 360°.

4.2.7 Aluminum (Al) and copper (Cu) wires shall only be spliced together using Al/Cu wire connectors (and anti-oxidant paste when required) in accordance with the manufacturer's instructions and code.

4.2.8 The switch cover plate shall match the color of the VSS.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a lobby, hallway, kitchen, laundry room, etc.) is not allowed for this measure.

7. DOE–SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Each VSS will be tested for proper set-up and performance.

8.1.2 Time delay and sensitivity shall be set based on conditions at the residence.

8.1.2(a) Default delays (Fig. 31-2):

8.1.2(a1) 15 minutes for standard light controls

8.1.2(a2) 30 minutes for a dual-load VSS for a bathroom exhaust fan

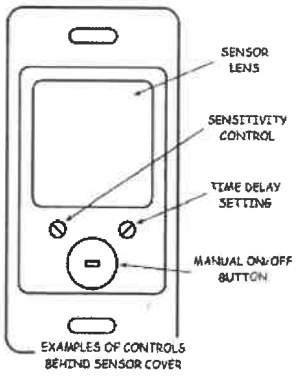


FIG. 31-2: EXAMPLE OF A SWITCH-BOX VACANCY SENSOR

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of using lead-safe practices when applicable and in accordance with federal, state, or local regulations and Section 1 Decommissioning.

8.3.2 Furniture and other household items moved for installation work shall be returned to their original positions.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 8 years

9.1.2 DOE: Not applicable to this measure

9.2 All VSS shall be:

9.2.1 Underwriters Laboratories (UL)–listed

9.2.2 Designed for installation in a wall-mount switch box

9.2.3 Title 24–compliant and listed in the California Energy Commission (CEC) Appliance Efficiency Database

9.2.4 Adjustable time delay, with maximum 20-minute delay

9.2.5 Manual on/automatic off

9.2.6 Not convertible to an occupancy sensor

9.2.7 Rated for use with the applicable lighting type

9.3 VSS for Specific Circuit Types

9.3.1 For single light–only circuits: Single pole

9.3.2 For light and exhaust fan controlled by one switch: Dual-load and rated for fan load

9.3.3 For multi-way and dimmable lighting circuits: Rated for use in such circuits

9.4 Sensor Types

9.4.1 Select the type appropriate for the location:

9.4.1 (a) PIR

9.4.1 (b) US

9.4.1 (c) A combination of both sensor types

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

32. Infiltration Reduction

Table of Contents

1. MEASURE OBJECTIVES 32-1

2. INSTALL THIS MEASURE WHEN: 32-1

2.1. Repair/Install 32-1

3. DO NOT INSTALL THIS MEASURE WHEN: 32-1

4. INSTALLATION GUIDELINES 32-2

4.1. General Requirements 32-2

4.1.2 Accessibility and Clearances 32-2

4.1.6 Shell Sealing 32-2

4.1.7 Sealing Thermal Bypasses 32-2

4.2. Shell Leakage Assessment 32-2

4.3. Prioritization of Sealing Activities 32-3

4.4. Ceiling Bypasses 32-6

4.4.2 Balloon Framing and Double Walls 32-6

4.4.3 Open Combustion Furnace Vent 32-7

4.4.4 Closed Combustion Furnace Vent 32-7

4.4.5 Attic Penetrations 32-7

4.5. Crawlspace Bypasses 32-8

4.5.2 Preparation of Crawlspace for Sealing 32-8

4.5.3 Balloon Framing and Double Walls 32-9

4.5.4 Bathtub Holes 32-9

4.5.5 Other Floor Bypasses 32-9

4.6. Doors 32-9

4.6.1 General Requirements 32-9

4.6.1(c) Modifying fire-rated doors 32-9

4.6.2 Door Repair 32-9

4.6.2(c) Sealing wood components 32-9

4.6.2(e) Safety glass repair 32-9

4.6.2(f) Door fit repair 32-10

4.6.2(g) Doorstop repair 32-10

4.6.2(h) Casing/trim repair 32-10

4.6.2(i) Door jamb repair 32-10

4.6.2(j) Threshold repair 32-10

4.6.2(k) Door hinge repair 32-10

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4.6.2(m) Strike plate 32-10
4.6.3 Door Installation *32-11*
4.6.3(c) Locks and deadbolts 32-11
4.6.3(e) Entrance doors 32-11
4.6.3(f) Entrance door hinge requirements 32-12
4.6.3(g) Entrance door clearances 32-12
4.6.3(h) Entrance door locks 32-12
4.6.3(i) Entrance door thresholds 32-12
4.6.3(j) Sealing entrance doors 32-13
4.6.3(k) Entrance door trimming/modifications 32-13
4.6.3(l) Appliance enclosure doors 32-13
4.6.3(m) Thresholds 32-13
4.7. Shell Sealing 32-15
4.7.1 General Requirements *32-15*
4.7.3 Caulking *32-16*
4.7.4 Patching *32-18*
4.7.5 Access Hatches *32-18*
4.7.5(d) Attic access (New installation—Horizontal) 32-19
4.7.5(e) Attic access (New installation—Vertical) 32-20
4.7.5(f) Crawlspace access cover replacement—Horizontal 32-21
4.7.5(g) Crawlspace access cover—Vertical 32-21
4.8. Fireplaces and Chimneys 32-22
4.8.1 Masonry Chimneys *32-22*
4.8.2 Fireplace Chimney Dampers *32-22*
4.8.3 Fireplace Glass Doors *32-22*
4.9. Penetrations 32-23
4.10. Wall Bypasses 32-24
4.10.2 Interior Wall Openings *32-24*
4.10.3 Exterior Wall Openings *32-24*
4.10.4 Cover Plate Gaskets *32-25*
4.11. Weatherstripping 32-25
4.11.1 General Requirements *32-25*
4.11.2 Exterior Doors *32-25*
4.11.3 Door Bottom and Threshold Weatherstripping *32-27*
4.11.4 Attic and Crawlspace Access Covers Located in Conditioned Space *32-27*
4.11.5 Appliance Enclosure Door Weatherstripping *32-28*
4.11.6 Window Weatherstripping *32-28*
4.11.6(g) Weatherstripping sliding glass doors (SGDs) 32-30
4.12. Window and SGD Repair 32-30

4.12.1 Window and SGD Replacement *32-30*
4.12.2 Window Repair *32-30*
4.12.3 SGD Repair *32-30*
4.12.4 Glass Replacement *32-30*
4.12.4(d) Glass selection 32-31
4.12.4(e) Glazing compound 32-31
4.12.4(f) Glazing channel 32-31
4.12.4(g) Wood sash 32-31
4.12.4(h) Metal sash 32-31

5. MOBILE HOME–SPECIFIC 32-32
5.2. Access Hatches 32-32
5.3. Mobile Home Doors 32-32
5.3.1 All Mobile Home Doors *32-32*
5.3.2 All Swinging Doors *32-32*
5.3.3 In-Swinging "House-Type" Doors *32-32*
5.3.4 Out-Swinging Doors *32-32*
5.3.5 Flush-Mount Doors with External Flange/Fin *32-33*
5.4. Mobile Home Glass Replacement 32-33
5.4.1 General Requirements *32-33*
5.4.2 Glass Replacement in Awning Windows *32-33*
5.4.3 Flanged Window Frame Removal *32-33*
5.5. Mobile Home Window Repair 32-33
5.6. Mobile Home Weatherstripping 32-34
5.6.3 Flush-Mount Doors with Exterior Flange *32-34*
5.7. Mobile Home Sealing Activities 32-34
5.7.5 Caulking Locations in Mobile Homes *32-34*
5.7.6 Marriage Line *32-35*
5.7.7 Ceilings *32-35*
5.7.8 Floors *32-35*
5.7.9 Bellyboard/Bottomboard *32-35*
5.7.10 HPDs in Mobile Homes *32-35*

6. MULTI-FAMILY–SPECIFIC 32-35
6.1. Installation Requirements 32-35
6.1.2 Fire-rated doors and jambs *32-36*

7. DOE-SPECIFIC 32-36
7.1. Assessment Requirements 32-36
7.2. Installation Requirements 32-37

8. POST-INSTALLATION GUIDELINES 32-38

8.1. Quality Check 32-38

8.2. Client Education 32-39

8.3. Clean-Up and Disposal Requirements 32-39

9. MATERIAL SPECIFICATIONS 32-39

9.4. Specific Applications 32-41

10. WARRANTY 32-50

Infiltration Reduction

1. MEASURE OBJECTIVES

1.1 Infiltration-reduction measures (IRMs) reduce the uncontrolled flow of air through the building envelope.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair/Install

2.1.1 Shell sealing measures are determined to be feasible as defined in Appendix C Shell Leakage Testing Protocol and CSD 704 Shell Leakage Data Sheet and

2.1.2 Cracks, gaps, and holes exist between conditioned and unconditioned spaces or between adjacent apartment units and fall into at least one of the following infiltration-reduction priorities (per Table 32-1):

2.1.2(a) Priority 1—Catastrophic air leaks are present with a visible opening >5 sq. in.

2.1.2(b) Priority 2—Attic and high-level air leaks are present

2.1.2(c) Priority 3—Crawlspace and low-level infiltration is present

2.1.2(d) Priority 4—Interior/mid-level infiltration is present and has a visible opening >⅝"

2.1.2(e) Priority 5—Interior/mid-level infiltration is occurring with a visible opening ≤⅝"

2.1.2(f) Priority 6—Exterior infiltration is present

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The dwelling has no heat source or cooling source

3.2 A combustion appliance safety (CAS) hazard or CAS fail exists and cannot be corrected as detailed in Appendix A Combustion Appliance Safety Protocol

3.3 The home is limited to non-infiltration measures only (the home is NIM) and shell sealing is not feasible per Appendix C Shell Leakage Testing Protocol

3.4 Mechanical ventilation assessment/installation is required as defined in Section 12 Mechanical Ventilation but cannot be installed

3.5 The dwelling envelope is damaged/deteriorated, or the home is being remodeled, and the thermal boundary is incomplete

3.6 Installation would violate the Appendix E Health & Safety Requirements

3.7 The client refuses after measure benefits have been explained by the assessor

3.8 The dwelling is:

3.8.1 A mobile home with an open combustion gas-burning space heater, water heater, or solid fuel burning space heater that draws combustion air from the living space or

3.8.2 A single-family home with a solid fuel–burning space heater that draws combustion air from the living space

3.8.2(a) Exception (for both mobile homes and single-family homes): Pressure diagnostics and IRMs shall be allowed when:

3.8.2(a1) Pressure measurement shows the combustion appliance zone (CAZ) of each appliance is less negative than the house depressurization limit (HDL). (See procedures described in Appendix A Combustion Appliance Safety Protocol.)

3.8.2(a2) Installed measures do not depressurize the CAZ beyond the HDL

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 All CAS hazards, CAS fails, or indoor air quality fails must be corrected before sealing activities begin, per Appendix A Combustion Appliance Safety Protocol.

4.1.2 Accessibility and Clearances

4.1.2(a) The attic or crawlspace shall be accessible, when required, in accordance with the clearance requirements identified in Section 1 General Installation Guidelines, Attic and Crawlspace Accessibility.

4.1.3 Prior to air sealing, an inspection will be conducted for mold, water leaks, and water damage.

4.1.3(a) All feasible moisture repairs will be completed before air sealing work begins.

4.1.3(a1) See Section 1 General Installation Guidelines, Limited Home Repair for specific examples of moisture repair.

4.1.4 Asbestos and Lead

4.1.4(a) If potential lead or asbestos hazards are present that could be impacted through infiltration activities, the dwelling shall be assessed in accordance with the Appendix E Health and Safety Requirements, Asbestos Policy and Lead Safe Weatherization (LSW) Policy.

4.1.5 Audited Measures

4.1.5(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded, it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.5(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.5(b1) Door replacement as an energy efficiency upgrade is not permitted with LIHEAP or DOE funds.

4.1.6 Shell Sealing

4.1.6(a) Cracks and gaps in the envelope shall be sealed from the interior side whenever feasible.

4.1.6(b) Continuous seal will be installed around seams, cracks, joints, edges, penetrations, and connections.

4.1.6(c) When a supplemental barrier is created (e.g., with a collar), it shall be secured as needed with mechanical fasteners (screws, staples, or nails) to ensure a complete and permanent seal.

4.1.6(d) Sealing work shall not create a fire hazard or other condition that conflicts with local code.

4.1.6(e) When applicable, sealing material shall be evenly tooled, with excess material removed, to ensure a clean appearance and adequate seal.

4.1.7 Sealing Thermal Bypasses

4.1.7(a) All air leakage locations (including duct leaks, shell leaks, and thermal bypasses) shall be sealed.

4.2. Shell Leakage Assessment

4.2.1 The dwelling shall be inspected to identify all thermal bypasses (areas of potential leakage from inside the living space), including in the wall(s) between the house and the garage, through ceilings, and between the floor and the crawlspace.

4.2.2 Assessors shall:

4.2.2(a) Identify all catastrophic shell leaks

4.2.2(b) Perform a visual inspection to identify gaps, cracks, and failed sealants

4.2.2(c) Conduct shell assessment per the Appendix C Shell Leakage Testing Protocol

4.2.3 Under LIHEAP, it is recommended that shell leakage testing be completed in all feasible dwellings. At a minimum, shell leakage test–driven air sealing shall be applied to at least 20% of single-family dwellings/mobile homes and at least 5% of multi-family units.

4.2.3(a) Exception: Shell leakage testing is not required for multi-family buildings of four stories or more.

4.2.4 When a home is NIM, no shell testing or sealing shall be conducted until the issue that created the NIM condition is corrected.

4.2.5 Shell sealing activities—either prescriptive or as a result of shell leakage testing—shall be assessed and documented on the CSD 704 Shell Leakage Data Sheet.

4.3. Prioritization of Sealing Activities

4.3.1 Once leaks have been identified, sealing activities shall be prioritized per Table 32-1.

4.3.2 Infiltration-reduction priority levels shall be utilized in numerical order from Priority 1 to Priority 6.

4.3.3 In addition, shell sealing activities shall be performed in the order presented within each priority level, unless the activity is documented to be unfeasible.

4.3.4 If feasible sealing activities are skipped without written justification, those sealing activities will fail inspection.

4.3.5 Certain leaks may require more than one sealing technique to be resolved.

TABLE 32-1: PRIORITY LEVEL, SEALING ACTIVITY, AND INSTALLATION GUIDELINE DIRECTORY

Occupant Protection–Related Sealing Must be completed before shell leakage test or any shell sealing is performed.		
Priority	**Sealing Activity***	**Installation Guideline Section**
Occupant Protection	• Interior vent cover: Cooling source is too close to a furnace vent pipe terminal. Cover required to prevent byproduct infiltration. • CAS patching: Seal gaps/holes in walls separating a combustion appliance from the living space. • When a whole house fan exhausts into the attic, both of the following must be completed: – Repair and seal ductwork in the attic – Repair and seal gaps/bypasses between the attic and living space (e.g., in the attic floor and knee walls) • Appliance enclosure door weatherstripping: Combustion air comes only from outdoors and interior combustion ventilation air vents are not present. • For attached garage: Door weatherstripping separates living space from garage when an open combustion appliance or any source of carbon monoxide (CO) is present. *Note: This list of sealing activities is not exhaustive. Other conditions may require occupant protection–related sealing.	• Appendix C Shell Leakage Testing Protocol

TABLE 32-1: PRIORITY LEVEL, SEALING ACTIVITY, AND INSTALLATION GUIDELINE DIRECTORY

PRIORITY 1: Catastrophic air leaks are present with a visible opening >5 sq. in.

a. When measurable as a physical gap, a catastrophic shell leak is defined as 5 sq. in. of leakage calculated for a single measure location (e.g., a door, a window, etc.).

b. To prove catastrophic shell leakage, measure and calculate gap length x gap width. If the total is equal to 5 sq. in. or more, then catastrophic leakage is justified. The actual calculation must be included in the CSD 540 Assessment Form, as in the example below.

Example:

10" gap length x 0.5" gap width = 5 sq. in.

This gap would qualify for repair as catastrophic leakage.

Priority	Sealing Activity	Installation Guideline Section
Priority 1	• Missing interior vent covers	• Section 4 Heating and Cooling—Evaporative Coolers • Section 4 Heating and Cooling—Window/Wall Air Conditioners
	• Missing or broken attic or crawlspace access cover	• Access Hatches
	• Missing chimney damper or fireplace doors	• Fireplaces and Chimneys
	• Missing kitchen exhaust (KE) damper, or gaps around KE vent	• Section 11 Kitchen Exhaust
	• Window/Sliding Glass Door catastrophic leakage	• Window and SGD Repair • Note: Catastrophic window replacement is addressed in Section 33 Windows and Sliding Glass Doors
	• Door catastrophic leakage	• Doors
	• Other catastrophic leakage	• Shell Sealing • Note: Catastrophic duct sealing is addressed in Section 8 Ducting Repair, Sealing, and Insulation
	• Mobile home: Catastrophic leakage	• Mobile Home Sealing Activities

TABLE 32-1: PRIORITY LEVEL, SEALING ACTIVITY, AND INSTALLATION GUIDELINE DIRECTORY

PRIORITY 2: Attic and high-level air leaks are present Sources of infiltration at the ceiling level, or within 12" of the ceiling.		
Priority	**Sealing Activity**	**Installation Guideline Section**
Priority 2	• Sealing at top plate and sill plate	• Wall Bypasses
	• Defective attic or crawlspace access cover	• Shell Sealing
	• Framing gaps and wall cavity openings	• Wall Bypasses
	• Ceiling thermal bypasses	• Ceiling Bypasses
	• Duct penetrations and chaseways in the ceiling	• Penetrations
	• Electrical penetrations, i.e., gaps around electrical (junction) boxes or other ceiling penetrations	• Penetrations
	• Knee wall-to-ceiling gaps • Knee wall penetrations	• Ceiling Bypasses
	• Gaps around light enclosures	• Ceiling Bypasses
	• Mobile home	• Mobile Home Sealing Activities
PRIORITY 3: Crawlspace and low-level infiltration is present Sources of infiltration between the floor and foundation, or within 12" of the floor.		
Priority	**Sealing Activity**	**Installation Guideline Section**
Priority 3	• Bathtub holes and other plumbing penetrations	• Penetrations
	• Framing gaps and wall cavity openings	• Wall Bypasses
	• Duct penetration/chaseway in the floor	• Penetrations
	• Electrical penetrations at floor level	• Penetrations
	• Miscellaneous holes in flooring	• Crawlspace Bypasses
	• Mobile home: Bellyboard repair (All holes in the bellyboard created for underfloor access shall also be repaired.)	• Mobile Home Sealing Activities
PRIORITY 4: Interior/mid-level infiltration is present and has a visible opening >⅝" Sources of infiltration >⅝" in the shell that are more than 12" above the floor and 12" below the ceiling.		
Priority	**Sealing Activity**	**Installation Guideline Section**
Priority 4	• Gaps around kitchen exhaust vent (non-catastrophic)	• Section 11 Kitchen Exhaust
	• Plumbing penetrations under sinks in kitchens and bathrooms requiring a wall patch	• Penetrations
	• Electrical penetrations, including service panels on interior walls	• Penetrations
	• At washer hook-ups	• Penetrations
	• Envelope leaks requiring repair/patch	• Shell Sealing
	• Joints between dissimilar materials, especially around fireplaces and other masonry trim, large ceiling beams, tubs and showers	
	• Unfinished wall areas inside cabinets, penetrations under kitchen and bathroom sinks	
	• Mobile home: Gaps and holes in floors and walls, e.g., joints between halves of a mobile, a mobile and an "expando" unit or add-on room, etc.	• Mobile Home Sealing Activities

TABLE 32-1: PRIORITY LEVEL, SEALING ACTIVITY, AND INSTALLATION GUIDELINE DIRECTORY

PRIORITY 5: Interior/mid-level infiltration is occurring with a visible opening <⅝"		
Sources of infiltration ≤⅝" in the shell that are more than 12" above the floor and 12" below the ceiling.		
Priority	**Sealing Activity**	**Installation Guideline Section**
Priority 5	• Weatherstripping of attic/crawlspace access cover(s)	• Access Hatches
	• Hidden leaks behind appliances, especially washers and dryers, including dryer exhaust penetrations	• Wall Bypasses
	• Plumbing penetrations that can be caulked under sinks and in utility rooms	• Penetrations
	• Weatherstripping (doors/windows) between conditioned and unconditioned space	• Weatherstripping
	• Bypasses in walls, including cracks around molding/trim, etc.	• Wall Bypasses
	• Windows and leaks around window-mount appliances	• Window and SGD Repair
	• Other infiltration points identified by blower door test or prescriptive sealing, including:	
	– Door or sliding glass door repair (with no catastrophic leakage)	• Doors • Window and SGD Repair
	– Window repair or glass replacement (e.g., cracked pane, up to five BB holes, etc.)	• Window and SGD Repair
	– Duct repair	• Section 8 Ducting Repair, Sealing, and Insulation
	• Cover plate gaskets	• Shell Sealing
	• Mobile home	• Mobile Home Sealing Activities
PRIORITY 6: Exterior infiltration is present		
Sources of infiltration in the home's exterior wall that allow infiltration into the wall cavities.		
Priority	**Sealing Activity**	**Installation Guideline Section**
Priority 6	• Exterior door and window frames, light fixtures, and holes in siding shall be sealed	• Shell Sealing
	• Mobile home	• Mobile Home Sealing Activities

4.4. Ceiling Bypasses

4.4.1 A ceiling bypass is a penetration from the living space into the attic (i.e., through the ceiling) that allows communication of conditioned air between the home and the attic.

4.4.2 Balloon Framing and Double Walls

4.4.2 (a1) Blocking shall prevent loose fill from falling down into open wall cavities.

4.4.2 (a2) The entire opening will be spanned with rigid material in line with the ceiling level.

4.4.2 (a3) The material will be cut to fit and mechanically fastened.

4.4.2 (a4) All remaining gaps at the top of the opening will be sealed.

4.4.2 (a5) All remaining gaps at the top of the chase will be sealed.

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4.4.3 Open Combustion Furnace Vent

4.4.3(a1) Ceiling bypasses at vent penetrations shall be sealed only when:

- The bypass is not required for combustion air
- Installation of a metal collar does not cover a vented thimble or support system and does not violate local code

4.4.4 Closed Combustion Furnace Vent

4.4.4(a) Ceiling collar

4.4.4(a1) A vent (pipe) collar at the ceiling is not required for gaps <⅜". (The gap may be sealed with high-temperature caulk.)

4.4.4(a2) When no collar is present or gaps at the existing collar are ≥⅜", a metal collar shall be installed.

4.4.4(a3) Loose-hanging and fallen collars shall be reinstalled when feasible.

- Collars shall be sealed and mechanically secured against the ceiling (Fig. 32-1).
- Elastomeric caulk (or duct mastic) shall be applied to back side of the collar (high-temperature caulk within 3" of the flue pipe).
- The collar shall be secured with at least four anchors (e.g., sheet metal screws) which penetrate solid wood when possible.
- High-temperature caulk shall be used to seal gaps ≥1/16" between the pipe and collar.

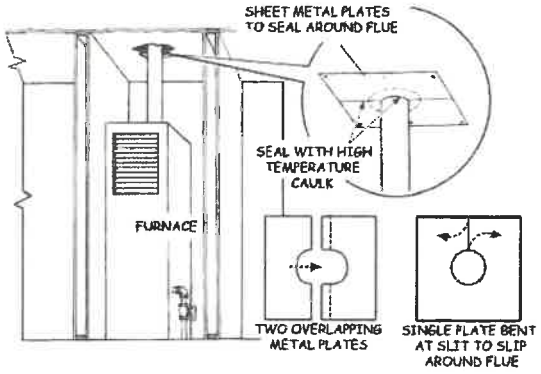

FIG. 32-1: SEAL CEILING VENT PIPES

4.4.5 Attic Penetrations

4.4.5(a) Heat-producing device (HPD) ceiling penetrations within the attic

4.4.5(a1) High-temperature caulk shall be used near HPDs (Fig. 32-2).

4.4.5(a2) Recessed lights

- Holes or ventilation openings in recessed light canisters or other HPDs shall not be blocked.

4.4.5(a3) Attic penetrations by masonry chimneys, see Fireplaces and Chimneys.

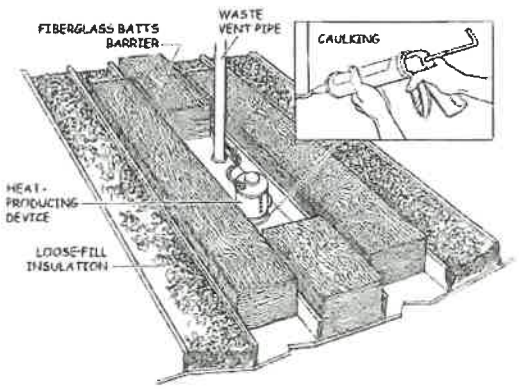

FIG. 32-2: USE HIGH-TEMPERATURE SEALANT ON HPDS

4.4.5(a4) Attic penetrations by metal pipes

- The following shall not be sealed:
  - Wall furnace vent pipes and other gas vents located inside wall cavities
  - Non-conforming single wall vent or flue pipes
  - Ventilated thimbles and collars

4.4.5(b) Ceiling vents not used for combustion air

4.4.5(b1) Seal the vent openings with minimum ½" gypsum, plywood, or metal and cover with insulation.

4.4.5(b2) Vents shall not be sealed with batts or foam board.

4.4.5(c) Non-HPD penetrations and similar leaks

4.4.5(c1) High-temperature caulk is not required for local or kitchen exhaust fan ducts, waste vent pipes, water pipes, and similar penetrations that are not heat-producing.

4.4.5(c2) Gaps <⅜" shall be sealed with elastomeric caulk.

4.4.5(c3) Gaps ≥⅜" shall be covered with a metal collar and:

- Sealed to the mounting surface with elastomeric caulk and
- Sealed at the penetration with elastomeric caulk

4.4.5(d) Chases and openings to the attic above a dropped ceiling or soffit

4.4.5(d1) The entire opening shall be spanned with rigid material in line with the ceiling level when possible or airflow will be blocked in locations where access allows.

4.4.5(d2) Material shall be cut to fit and fastened as required.

4.4.5(d3) Rigid material shall meet fire code flame and smoke spread requirements.

4.4.5(d4) All remaining gaps at the top of the chase/dropped ceiling shall be sealed.

4.4.5(d5) Tongue-and-groove ceilings

- Backing shall be installed behind tongue-and-groove ceilings.
- Sealants shall be compatible with their intended surfaces.
- Sealants shall be continuous and meet fire barrier specifications, according to the authority having jurisdiction.
- No sealant shall be allowed to be visible in the living space.

4.4.5(d6) Light boxes and fixtures in dropped ceilings (with non-intact fixed ceilings) or soffits

- An airtight seal shall be provided around perimeter between light box enclosure and interior ceiling.
- All seams and penetrations of the enclosure shall be sealed.
- Insulation shall be kept at least 3" away from the top and side of any fixtures.
- If a dropped ceiling will be filled with insulation, then a sealed rigid barrier enclosure shall be installed to maintain a 3" clearance on all sides and at least ½" from combustible materials.
  - Top of rigid barrier enclosure shall be sealed with non-insulating rigid material (e.g., gypsum or equivalent perm rating and R-value).

4.5. Crawlspace Bypasses

4.5.1 A crawlspace bypass is a penetration from the living space into the crawlspace (i.e., through the flooring) that allows communication of air from the crawlspace into the home's conditioned space (Fig. 32-3).

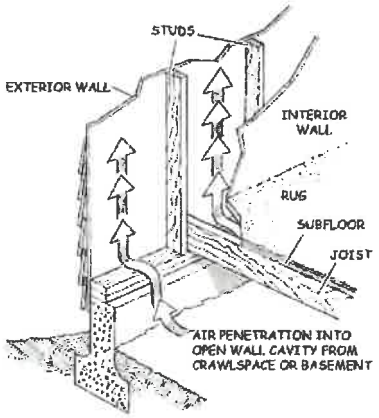

FIG. 32-3: CRAWLSPACE BYPASS

4.5.2 Preparation of Crawlspace for Sealing

4.5.2(a) Crawlspace repairs (sealing and installation of insulation) shall only be performed after heating, ventilation, and air conditioning work has been completed and inspected by the local jurisdiction.

4.5.2(b) When correction of standing water is not feasible, installation of floor insulation is not feasible.

4.5.2(c) When feasible, sealing of floor thermal bypasses shall be performed before floor insulation is installed.

4.5.2(d) Crawlspace must be separated from a conditioned basement or other conditioned space with a continuous air barrier, ground moisture barrier (when required by the local jurisdiction), and thermal boundary.

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4.5.3 Balloon Framing and Double Walls

4.5.3(a) Blocking shall prevent loose fill from falling down into open wall cavities and into the crawlspace or basement.

4.5.3(b) The entire opening will be spanned with rigid material in line with the ceiling level.

4.5.3(c) The material will be cut to fit and mechanically fastened.

4.5.4 Bathtub Holes

4.5.4(a) The floor opening under a bathtub shall be sealed with filler board and sealant (Fig. 32-4).

4.5.4(a1) Radiant barrier, foam board, duct board, or other approved barrier material may be used for filler board.

4.5.4(a2) Silicone, acoustical caulk, or foam sealant may be used to seal filler board.

4.5.4(a3) Filler board shall be secured, as needed, with mechanical fasteners (screws, staples, or nails) to ensure a complete and permanent seal.

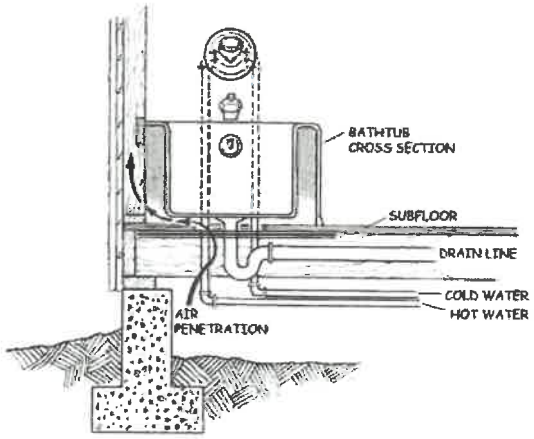

FIG. 32-4: OPENING UNDER BATHTUB

4.5.5 Other Floor Bypasses

4.5.5(a) Seal with caulk, foam, or other appropriate, approved material. (Also see Caulking.)

4.5.5(b) For plumbing floor penetrations, see Penetrations.

4.6. Doors

4.6.1 General Requirements

4.6.1(a) Documentation of the door repair or replacement condition is required.

4.6.1(a1) When catastrophic leakage is cited, measurements and calculations must be provided on the assessment form. (See Shell Sealing.)

4.6.1(b) Remove burs, sharp corners and edges, and other such hazards from the finished installation.

4.6.1(c) Modifying fire-rated doors

4.6.1(c1) Doors labeled to have a fire rating of >20 minutes shall not be modified or weatherstripped except as prescribed by the manufacturer and local code.

- Manufacturer or code documentation shall be kept in the client file.

4.6.2 Door Repair

4.6.2(a) Doors shall be repaired to correct infiltration or to support the installation of weatherstripping, safety glass replacement, etc.

4.6.2(b) Door will be adjusted to properly fit the jamb and allow for ease of operation (e.g., hinge replacement, door re-planing, door strike adjustment).

4.6.2(c) Sealing wood components

4.6.2(c1) New wood components shall be sealed on both sides and four edges with exterior-grade sealant.

- Acceptable exterior-grade sealers are paint, urethane, and varnish.
- Clear "water seal" products are not allowed.

4.6.2(d) Hardware shall be installed per manufacturer's instructions.

4.6.2(e) Safety glass repair

4.6.2(e1) Safety glass is required in door inserts.

4.6.2(e2) Replacement of existing in-door glazing with a "like" specialty glass (e.g., stained glass or special design glass) is not allowed.

4.6.2(e3) When allowed by local code and with permission of the client, polycarbonate may be used instead of tempered glass.

4.6.2(f) Door fit repair

4.6.2(f1) When the door does not close properly due to incorrect sizing or changes to door jamb shape, the door shall be planed or trimmed to improve closure and reduce infiltration.

4.6.2(g) Doorstop repair

4.6.2(g1) Wood jambs (Fig. 32-5)

- Stops shall be made of wood.
- Minimum stop dimensions: 5/16" x 1¼"

4.6.2(g2) Stops shall not be doubled (one on top of another) for added thickness on the latch side.

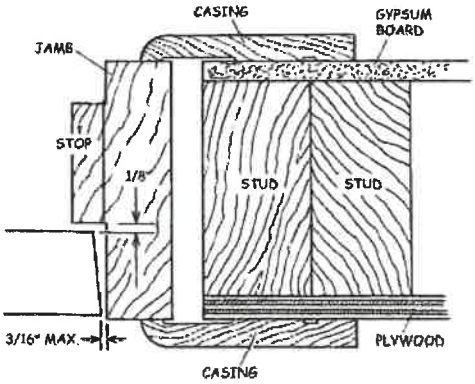

FIG. 32-5: DOOR JAMB DIAGRAM

4.6.2(h) Casing/trim repair

4.6.2(h1) Exterior-grade wood is required in all exterior locations.

- Paint-grade wood is acceptable if the wood does not have a natural finish.

4.6.2(h2) New casing/trim size/shape and miters shall be compatible with existing casing/trim visible from the location of the door.

4.6.2(h3) Sealer or primer shall be installed to prevent moisture damage to unfinished wood. (See Sealing wood components.)

4.6.2(h4) Finishing or casing nails are required for interior applications.

4.6.2(h5) Galvanized nails are required for exterior applications.

4.6.2(h6) Exterior casing/trim shall be caulked to provide a watertight seal around the entire perimeter.

4.6.2(h7) Exterior and interior gaps and cracks shall be caulked in accordance with Caulking.

4.6.2(i) Door jamb repair

4.6.2(i1) Exterior-grade material only

4.6.2(i2) 1¼"-thick stock standard; ¾" minimum

4.6.2(i3) Width shall be within ¼" of the finished wall thickness.

4.6.2(i4) The top shall be secured to the sides with dado or rabbet joints.

4.6.2(j) Threshold repair

4.6.2(j1) See Thresholds.

4.6.2(k) Door hinge repair

4.6.2(k1) Brass or stainless-steel flathead jamb screws shall be used for hinge repair with wood and metal jambs or as specified/supplied by manufacturer.

4.6.2(k2) Existing screw holes shall be filled with plugs or wooden golf tees and glued before reuse unless larger/longer screws that tighten securely are installed.

4.6.2(k3) Hinge relief mortise and flush mounting are required for all hinges. Mortise holes abandoned due to hinge relocation shall be patched.

4.6.2(k4) Screws shall penetrate the trimmer stud at least ⅝".

4.6.2(l) Deadbolts

4.6.2(l1) Deadbolts shall turn freely and engage when the door is closed and the entry set latch tongue is inside the strike plate.

4.6.2(m) Strike plate

4.6.2(m1) A jamb strike plate is required.

4.6.2(m2) The latch tongue shall engage properly when the door is closed with normal force.

4.6.2(m3) Simple strike plate adjustments shall not be billed as door repair.

4.6.2(m4) Multiple strike plates for added thickness are not allowed.

4.6.2(m5) The jamb shall be repaired when the latch will not function properly with one strike plate.

4.6.2(m6) When existing holes will not properly secure a standard strike plate:

- The jamb shall be repaired, or
- A large-sized strike plate (e.g., 4⅞" x 1¼") shall be installed to replace a standard plate when the screw holes in the jamb are stripped

4.6.2(n) Finish/sealer for exterior doors (Fig. 32-6)

4.6.2(n1) Doors, including those that are cut to fit on-site, shall be sealed (painted or primed) to prevent moisture intrusion.

4.6.2(n2) Acceptable sealers for wood doors, jamb, and casing/trim are exterior-grade paint, urethane, and varnish.

4.6.2(n3) Acceptable sealer for metal doors is exterior-grade paint.

4.6.2(n4) Clear "water seal" products are not allowed.

FIG. 32-6: DOOR FINISH SEALER

4.6.3 Door Installation

4.6.3(a) If both a new door blank and hardware (latch, door bottom, etc.) are installed, the work is door replacement.

4.6.3(b) All hinged replacement doors shall be:

4.6.3(b1) Limited to entrance doors and interior and exterior appliance enclosure doors

4.6.3(b2) Equipped with a keyed locking mechanism

4.6.3(b3) Glazed with safety glass

4.6.3(c) Locks and deadbolts

4.6.3(c1) Existing locks and deadbolts shall be reused if they are functional.

- Exception: If the existing deadbolt has a key closure on the interior side, it shall not be installed in the replacement door.

4.6.3(c2) New deadbolts shall have a thumb turn on the interior side.

4.6.3(c3) In renter-occupied dwellings, installation of a new deadbolt is only allowed when:

- A new replacement door is being installed, and
- The old deadbolt is inoperable or is not present

4.6.3(c4) In owner-occupied dwellings, a new deadbolt is not allowed when a door is being replaced; however, an existing deadbolt may be installed in the replacement door.

4.6.3(c5) When multiple new locks or deadbolts are installed, the new locks shall all be keyed alike.

4.6.3(c6) Existing locks shall not be re-keyed to match new locks.

4.6.3(d) All replacement doors shall:

4.6.3(d1) Be sized to fit properly into the opening with clearances that meet the door manufacturer's specifications

4.6.3(d2) Be framed square, level, and plumb in the opening

4.6.3(d3) Match the style of the existing door, subject to local code requirements

4.6.3(e) Entrance doors

4.6.3(e1) Replacement doors shall be limited to standard solid core slab or panel doors. (No ornate design, stained glass, decorative windows, etc., is allowed unless required by the State Historical Preservation Office and approved by weatherization waiver.)

4.6.3(e2) Entrance doors shall be fire-rated to comply with local code (e.g., from living area to garage in homes with attached garage, and in multi-family units).

4.6.3(e3) Securely attach the hinge side to the structural framing.

4.6.3(e4) Install mineral fiber or backer rod insulation in gaps between the door frame and the rough opening.

- Injected foam is not allowed.

4.6.3(e5) Caulk the exterior casing/trim to provide a watertight seal around the entire perimeter.

4.6.3(e6) Integral or applied weatherstripping is required.

4.6.3(e7) Shims shall not extend the top of the threshold above the finished floor by more than 1", or by more than ½" if any occupant is physically handicapped.

4.6.3(e8) Warpage for all doors shall not exceed ½" from end to end, to facilitate proper weatherization (Fig. 32-7).

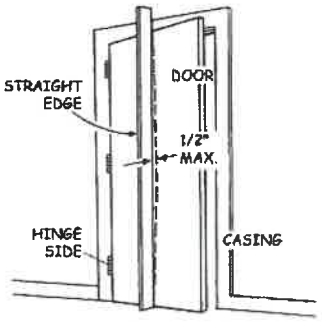

FIG. 32-7: WARPAGE LIMITS

4.6.3(f) Entrance door hinge requirements

4.6.3(f1) At least three hinges per door are required.

4.6.3(f2) Hinges must be loose-pin type unless mounted toward the exterior.

4.6.3(f3) At least one spring-loaded hinge is required when the door is between an attached garage and a living area.

4.6.3(f4) A hinge relief mortise and flush mounting are required for all hinges.

4.6.3(f5) Patch any mortise and hardware holes abandoned due to hinge relocation.

4.6.3(f6) Existing hinge screw holes may be used if standard or larger/longer screws tighten the hinge securely. If not, the holes may be filled with plugs or wooden golf tees and glued before reuse.

4.6.3(f7) Hinge screws must penetrate the trimmer stud at least ⅝".

4.6.3(g) Entrance door clearances

4.6.3(g1) Door face to doorstop: Maximum clearance of ⅛" when the entry set latch tongue and strike plate are engaged.

4.6.3(g2) Door edge to door jamb: The distance between the door edge and jamb (when the door is closed) shall be minimum ⅛" and maximum 3/16".

4.6.3(h) Entrance door locks

4.6.3(h1) Ensure the entrance lockset height is 36" from the floor when both the door and the jamb are replaced.

- The lockset may remain at its existing height when only the door blank is replaced.

4.6.3(h2) The deadbolt shall:

- Turn freely and engage when the door is closed and the entry set latch tongue is inside the strike plate
- Have a thumb turn on the interior side. (An inside key is not allowed.)

4.6.3(h3) A strike plate is required and will latch the entry set tongue when the door is closed with normal force.

- Multiple strike plates are not allowed.
- When the latch will not function properly with one strike plate:
  - Repair the jamb or
  - Install a longer, heavy-duty strike plate with new screw holes

4.6.3(i) Entrance door thresholds

4.6.3(i1) See Thresholds.

4.6.3(j) Sealing entrance doors

4.6.3(j1) Seal all bare wood (doors, jambs, and casing/trim) with exterior-grade paint, urethane, or varnish.

- Clear "water seal" products are not allowed.

4.6.3(j2) Seal wood doors on both sides and on four edges.

4.6.3(j3) Paint or prime metal doors with oil-based or epoxy paint only.

4.6.3(k) Entrance door trimming/modifications

4.6.3(k1) For veneer-type (not solid) replacement doors, a maximum of 1" may be cut from the sides and top and a maximum of 2" may be cut from the bottom unless the door has expanded rails and stiles and/or deeper cutting is approved by the door manufacturer.

4.6.3(k2) Doors labeled with a fire rating of >20 minutes shall not be modified or weatherstripped except as prescribed by the manufacturer and local code.

- Documentation of the above manufacturer specifications shall be kept in the client file.

4.6.3(k3) A 3°–5° bevel is required on the lockset edge.

4.6.3(l) Appliance enclosure doors

4.6.3(l1) Health and Safety (H&S) Support: Repair or installation of an appliance enclosure door (for an H&S appliance) that is missing, does not close properly, allows entry of combustion byproducts into the living space, or allows entry of inclement weather into the enclosure, per Section 1 General Installation Guidelines, Limited Home Repair.

4.6.3(l2) Energy Conservation Measure (ECM) Support: Repair or installation of an appliance enclosure door (for an ECM appliance) that is missing, does not close properly, allows entry of combustion byproducts into the living space, or allows entry of inclement weather into the enclosure, per Section 1 General Installation Guidelines, Limited Home Repair.

4.6.3(l3) Exterior

- Installation requirements for exterior appliance enclosure doors are the same as those for entrance doors except the door must be exterior-grade solid slab or metal-clad only.

4.6.3(l4) Interior

- Seal interior wooden doors on both sides and on four edges with interior-grade primer, paint, urethane, or varnish.
  - Clear "water seal" products are not allowed.
- Install jamb screws that penetrate the trimmer stud at least ⅝" on pre-hung units and replacement jambs.
- Install the interior door lock/latch in accordance with entrance door lock requirements in Locks and deadbolts.
- Patch any mortise holes abandoned due to hinge relocation.
- Hinge relief mortise and flush mounting is required for all hinges.
- Existing hinge screw holes may be used if standard or larger/longer screws tighten the hinge securely. If not, the holes may be filled with plugs or wooden golf tees and glued before reuse.
- Hinge screws must penetrate the trimmer stud at least ⅝".
- See Appendix A Combustion Appliance Safety Protocol for additional information about combustion ventilation air (CVA).

4.6.3(m) Thresholds

4.6.3(m1) Door bottom and threshold weatherstripping

- A gasketed metal U-shoe and metal or wooden saddle threshold combination is used whenever possible (Fig. 32-8).

- A gasketed door shoe can be installed without a new threshold if the shoe seals properly against the existing threshold.
- Use a high-profile, U-type door shoe (e.g., 3"-high U, kick plate–style) when door bottom is cut too short or is too worn/weak to accept a standard (1½"-high) U-shoe.
- An L-shoe is allowed only when a U-shoe cannot be installed, (e.g., due to non-standard door thickness).

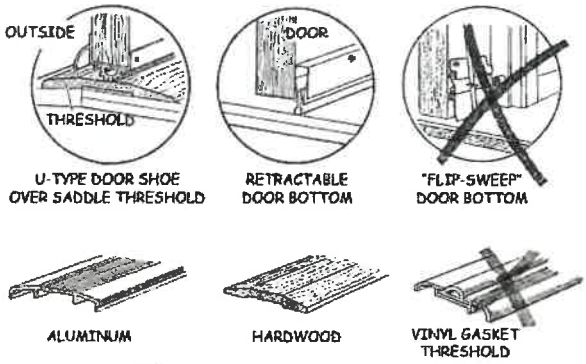

FIG. 32-8: WEATHERSTRIPPING DOOR BOTTOMS AND THRESHOLDS

- A plastic unit may be used when an aluminum carrier will not fit and the door cannot be cut.
- Install a stationary sweep only when the use of a door shoe/threshold combination is not feasible.
- Automatic door bottoms are used only when a shoe/threshold combination is not feasible or a stationary sweep is not feasible due to drag on the floor surface.
- A bumper threshold is the best option for an appliance enclosure or out-swinging garage door.
- Weatherstripping material shall not drag on the floor covering (wood, tile, carpet, etc.).

4.6.3 (m2) Threshold height

- The threshold, and riser when present, shall extend a maximum of 1" above the interior finished floor, or a maximum of ½" above the interior finished floor when any occupant uses a wheelchair or walker) (Fig. 32-9).
- A low-profile threshold (e.g., ¼" high) may be installed to minimize height.
- Threshold risers and elevators/shims (Fig. 32-10)

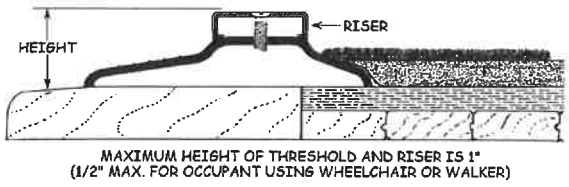

FIG. 32-9: THRESHOLD REPAIR

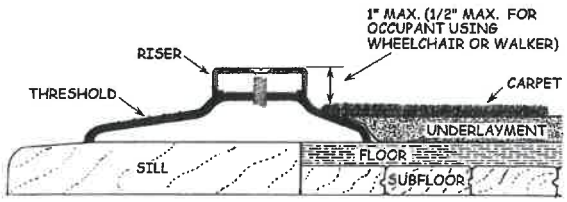

FIG. 32-10: THRESHOLD RISER

  - A threshold riser may be used to increase height.
  - When a riser is installed on top of an existing threshold:
    - It shall be installed full-length; splicing is not allowed
    - Riser material must be the same as the threshold material (aluminum or hardwood)
  - Field-fabricated risers, when allowed, shall:
    - Be made of solid stock that is 80–100% of the width of the top surface and has evenly rounded or beveled top edges
    - Be securely attached with four countersunk screws located within 3" of each end and equally spaced in the field

- Threshold elevators/shims
  - All elevators/shims shall be:
    - A solid block of decay-resistant wood (e.g., cedar, redwood, white oak)
    - Installed securely under the threshold and trimmed to conform to the footprint of the threshold

4.6.3 (m3) Saddle threshold installation (Fig. 32-11):

- A saddle threshold shall be installed where possible.
- The threshold shall be installed full-length; splicing is not allowed.
- The ends of the threshold shall be cut to match the contour of the jamb (i.e., notched to fit snugly around the jamb, stop, trim, etc.).
- The threshold perimeter shall be sealed (e.g., by caulking the ends and, when floor sealer gaskets do not completely seal, the front and back edges).
- Wooden thresholds
  - The threshold shall be sealed to the floor with glue, or elastomeric caulk, or floor-sealer gaskets.
  - The threshold shall be mechanically secured with countersunk nails or screws.
  - Nail holes shall be filled with exterior-grade filler/putty.
- Metal thresholds
  - The threshold shall have floor-sealer gaskets in place.
  - The threshold shall be permanently screwed in place.

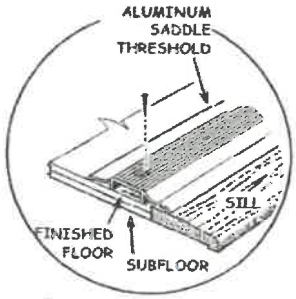

FIG. 32-11: SADDLE THRESHOLD

4.7. Shell Sealing

4.7.1 General Requirements

4.7.1 (a) Cracks and gaps in the envelope shall be sealed from the interior side whenever feasible.

4.7.1 (b) A continuous seal will be installed around seams, cracks, joints, edges, penetrations, and connections.

4.7.1 (c) Sealants shall be compatible with their intended surfaces.

4.7.1 (d) Sealants shall be continuous and meet fire barrier specifications according to the authority having jurisdiction.

4.7.1 (e) No sealant shall be allowed to be visible in the living space.

4.7.1 (f) Underwriters Laboratories (UL) 181 metallic tape shall not be used for any shell sealing purpose in any location (exposed or non-visible).

4.7.1 (g) When a supplemental barrier is created (e.g., with a collar), it shall be secured as needed with mechanical fasteners (screws, staples, or nails) to ensure a complete and permanent seal.

4.7.1 (h) When applicable, sealing material shall be evenly tooled with excess material removed to ensure a clean appearance and adequate seal.

4.7.1 (i) Cracks and gaps ≤⅝" wide shall be caulked in accordance with Caulking.

4.7.1 (j) Gaps >⅝" shall be sealed with barrier material and/or filler board and sealants as described in Patching.

4.7.2 House-Garage Separation

4.7.2 (a) All cracks in the house and garage separation wall will be sealed, including cracks between the bottom of gypsum board and the mud sill, rim joists, and subfloors.

4.7.2 (a1) When sealing from the interior side is not feasible, seal from the garage side.

4.7.3 Caulking

4.7.3(a) General requirements

4.7.3(a1) Note: Exterior caulking is not required above the first floor.

4.7.3(b) Follow the manufacturer's instructions, with careful attention to:

4.7.3(b1) Surface preparation

4.7.3(b2) Primer requirements (especially for metal and masonry surfaces)

4.7.3(b3) The use of filler material (e.g., backer rod) and/or bond breaker tape

4.7.3(b4) The width and depth of the bead

4.7.3(b5) The proper sealant application method

4.7.3(b6) Tooling recommendations

4.7.3(c) Surface preparation

4.7.3(c1) The surface will be free of:

- Loose or cracked caulking
- Dirt, debris, and oily substances
- Moisture, unless allowed by the manufacturer's specifications
- Any material that will prevent full adhesion of the sealant

4.7.3(d) Visible interior locations

4.7.3(d1) Caulk must be:

- Clear when dry, or color-coordinated with the surrounding material and existing caulk
- Paintable with the following exceptions:
  - Polyurethane (paintable) caulk is mandatory in visible locations where elastomeric sealant is required.
  - Silicone may be used with joints between dissimilar materials when that is the best option (e.g., when sealing around the perimeter of a window-mount air conditioner).

4.7.3(d2) Foam sealant may be used to seal large gaps in penetrations (e.g. plumbing and electrical) in accordance with Patching.

4.7.3(e) Non-visible interior locations

4.7.3(e1) Pipe penetrations under sinks will be sealed behind escutcheons when possible.

- In inaccessible, non-visible locations only, where installation of caulking and a metal escutcheon is impossible, sealing may be performed using butyl foil tape or adhesive floor/plumbing patches.

4.7.3(e2) Cracks and holes in appliance enclosure walls and exhaust duct penetrations will be caulked when possible or repaired/patched:

- From the living space side when feasible
- From inside the furnace and water heater enclosures where products of combustion could leak into the living space
- Around the exhaust fan duct penetration of (e.g., the range hood duct through the ceiling)

4.7.3(f) Exterior caulking

4.7.3(f1) For large gaps between the siding and the door or window casings in lap-sided homes, caulk:

- At door thresholds
- All three legs of the doorstops
- The junction of the door jamb and the casing

4.7.3(f2) For masonry, metal joints, and joints between two different materials (Fig. 32-12), use:

- Elastomeric caulk or
- Masonry caulk with a neutral cure (e.g., oxime cure) or
- Paintable silicone

FIG. 32-12: ELASTOMERIC CAULK FOR MASONRY, METAL, AND DISSIMILAR JOINTS

4.7.3(f3) In attics and crawlspaces, foam sealant will be used in accordance with manufacturer's specifications unless prohibited by local code.

4.7.3(f4) Wood joints require elastomeric or butyl caulk.

4.7.3(g) Use backing or infill as needed to meet the specific characteristics of the sealant and the gap being filled.

4.7.3(g1) The backing or infill must not bend, sag, or move once installed.

4.7.3(g2) Acceptable filler materials include:

- Closed-cell polyethylene backer rod
- Flexible fiberglass
- Rope caulk

4.7.3(g3) Acceptable bond breakers

- Polypropylene, polyethylene, polytetrafluoroethylene (PTFE), or closed-cell foam self-adhesive bond breaker tape

4.7.3(h) Cracks at least 1/16" wide and no larger than 5/8" wide require caulking.

4.7.3(h1) Gaps ≤3/8" will be caulked with any material approved for the location and the type of joint.

4.7.3(h2) Gaps 7/16"–5/8" will be caulked with silicone, polyurethane, or acrylic latex.

4.7.3(h3) Additional requirements for large gaps:

- For gaps 3/8"–5/8", insert backer material to within 1/2" of the surface before caulking.
- For gaps >5/8", see Patching.

4.7.3(i) Quality of the finished bead

4.7.3(i1) On all joints:

- The bead will be:
  - The minimum size required to achieve a permanent seal
  - Continuous and free of voids and bubbles
  - Applied/tooled with sufficient pressure to fill the joint completely
- Remove excess caulk.

4.7.3(i2) On butt joints (Fig. 32-13):

- The bead will be at least 1/8" deep, but no deeper than it is wide
- The depth will be controlled by filler material (e.g., foam backer rod)
- The bead will be tooled to:
  - Compress the sealant against the filler material and sides of the joint
  - Remove excess caulk

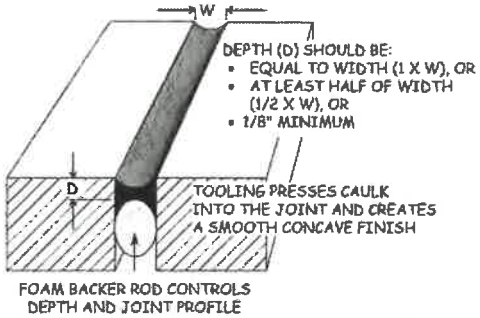

FIG. 32-13: A HIGH-QUALITY FINISHED BEAD

  - Form a concave surface (e.g., create an "hourglass" profile when backer rod is used)
- When filler material is not used and a bond breaker is recommended by sealant manufacturer, bond breaker tape will be installed to prevent sealant adhesion to the bottom of the joint.

4.7.3(j) Heat-producing devices (HPDs)

4.7.3(j1) High-temperature sealant must be used around all HPDs (Fig. 32-2).

4.7.3(j2) Recessed lights:

- Ensure the vent holes in the recessed light canister are not sealed.

4.7.3(k) Do not apply caulk to decorative trim.

4.7.4 Patching

4.7.4(a) Wall (drywall) patches

4.7.4(a1) Factory-made mesh patches

- Finish the patch to match the surrounding surface (e.g., with mesh covered by at least two coats of drywall mud sanded between each coat or with light-weight spackle).

4.7.4(a2) Field-fabricated patches for large holes (Fig. 32-14)

- Field-fabricate the patch using a piece of drywall that matches the thickness of the drywall covering the wall (or ceiling).
- Patches shall be:
  - Beveled to fit securely in the hole or
  - Supported by backer boards screwed to the wall inside the hole
- Gaps between the patch and wallboard shall be filled (e.g., with drywall mesh and mud).
- The patch shall be finished to match the surrounding surface (e.g., with drywall mesh covered by at least two coats of drywall mud sanded between coats).
- Patches in exposed locations (not inside a cabinet) shall be sealed with primer and/or paint to prevent moisture intrusion.

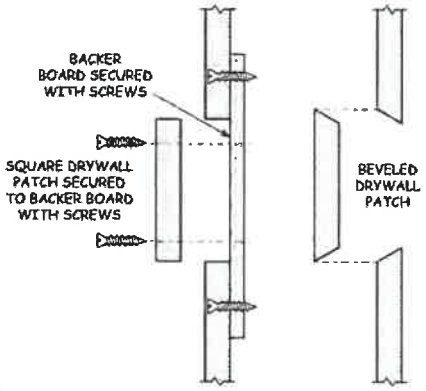

FIG. 32-14: FIELD-FABRICATED PATCHES

4.7.4(b) Foam sealants and foam board—Interior locations

4.7.4(b1) Plumbing/electrical penetrations and other bypasses

- Foam sealant may be used to seal gaps, subject to the following limitations:
  - Gap size, location, and conformance with foam manufacturer's specifications and local code.
- Finished foam sealant
  - The foam surface shall be even with the surrounding surface.
  - When an escutcheon is present, it shall be placed over the finished foam sealant.

4.7.4(b2) Foam board

- Foam insulation board shall not be installed to patch the interior of a dwelling (including attached room(s) or garage).

4.7.5 Access Hatches

4.7.5(a) The hatch material shall create a full seal with no gaps or openings to the framing.

4.7.5(a1) Finishing materials shall be installed in accordance with the manufacturer's instructions.

4.7.5(a2) Sealing materials shall be evenly tooled with excess material removed to ensure a clean appearance and adequate seal.

4.7.5(b) All hatches—Weatherstripping and insulation

4.7.5(b1) Weatherstripping and insulation are required only when the access is located between a conditioned and an unconditioned space.

4.7.5(b2) The access shall be weatherstripped as prescribed in Weatherstripping.

4.7.5(b3) Flexible or rigid insulation with an R-value equal to the attic floor shall be attached to the cover in accordance with Section 37 Attic and Ceiling Insulation.

4.7.5(c) Attic access (replacement of missing and/or broken cover)

4.7.5(c1) The cover material shall be sized to fit the rough opening, with gaps along edges not to exceed ¼" per side.

4.7.5(d) Attic access (New installation—Horizontal)

4.7.5(d1) The rough opening size and location shall be:

- At least 22" x 30"
- Where unobstructed headroom at some point above the access is at least 30" measured vertically from the bottom of ceiling joists

4.7.5(d2) Cutting the opening

- Cuts shall be located along the edges of the ceiling joists.
- Ceiling material shall be cut out neatly and set aside for use as the access cover.

4.7.5(d3) Blocking the opening

- The rough opening of the attic hatch will be surrounded with a durable, rigid, protective baffle that is higher than the level of the surrounding attic floor insulation to achieve uniform R-value on the attic floor and prevent loose attic floor insulation from entering the living area.
- Blocks shall be:
  - Cut to fully extend from joist to joist
  - Placed perpendicular to the joists at the edges of the opening

4.7.5(d4) Anchors

- Blocks shall be secured (anchored) at each end with minimum 3" nails or comparable screws driven through the joists.
- Minimum two anchors for 2" x 4" and three anchors for 2" x 6".

4.7.5(d5) Cutting a ceiling joist

- If removal of part of an obstructing joist is absolutely necessary:
  - Cut-off joist ends shall be supported with blocks (framing) installed across the ends and secured to the adjacent joists
  - Framing shall be secured with minimum 3" nails or comparable screws driven through the joists at each end of the joist, and through the block into the cut-off joist
  - Use a minimum of two anchors for 2" x 4" and three anchors for 2" x 6", or as required by local code
  - Cutting and blocking the cut joist shall not violate local code

4.7.5(d6) Securing the ceiling

- Blocks shall be installed against the ceiling.
- The ceiling material shall be secured to the blocks with anchors (e.g., drywall nails or screws) that penetrate the blocks at least ½".
- Anchors shall be located at each corner of the opening and at intervals not exceeding 6".

4.7.5(d7) Access cover

- The cover shall be sized to fit the rough opening with gaps along edges not to exceed ¼" per side.

4.7.5(d8) Installing trim:

- Trim/molding shall:
  - Be cut with mitered corners
  - Extend into the opening at least ⅝"
  - Positioned so nails will penetrate framing at least ⅝"
- Trim/molding shall be secured with finish nails.
  - Countersunk nails shall be at each corner and spaced at intervals not exceeding 6".
  - Nail holes shall be filled with spackle or wood putty (not caulk).

4.7.5(d9) Finishing:

- Bare wood shall be primed or painted.

4.7.5(d10) Secure attic door or hatch with a latch, lock or frictionally engaging components

4.7.5(e) Attic access (New installation—Vertical)

4.7.5(e1) Knee wall

- Access shall be installed between two knee wall studs.
- Minimum 22" x 30", or as wide as possible when studs are <24" on center (OC).

4.7.5(e2) Cutting the opening

- Cuts shall be located along the edges of the knee wall studs.
- Wall material shall be cut out neatly and carefully and set aside if it will be incorporated into the access cover.

4.7.5(e3) Access cover/door

- If any framing is required to complete the opening (e.g., a block between studs), it shall match the dimensions of the studs.

4.7.5(e4) Installing hinges

- Spring-loaded hinges shall be required when the access penetrates a firewall.
- Standard and spring-loaded hinges shall properly support the access door and make it self-closing in accordance with the following guidelines:
  - One spring hinge for doors weighing ≤45 lbs.
  - Two spring hinges for doors weighing ≤75 lbs.
  - Three spring hinges for doors weighing ≤90 lbs.
- The hinges shall be attached to a stud and to plywood backing (not to gypsum).
- Screws shall penetrate the wood at least ½".

4.7.5(e5) Installing trim

- Trim/molding shall be:
  - Cut with mitered corners
  - Positioned so the nails will penetrate the framing at least ⅝"
- Trim/molding shall be secured with finish nails
  - Countersunk nails shall be at each corner and spaced at intervals not exceeding 12".
  - Nail holes shall be filled with spackle or wood putty (not caulk).

4.7.5(e6) Finishing and latch

- At a minimum, bare wood shall be primed.
- A latch shall be installed that pulls the door tightly against the frame and weatherstripping.

4.7.5(f) Crawlspace access cover replacement—Horizontal

4.7.5(f1) Framed opening

- The ends of the opening shall be framed with blocks that are perpendicular to the floor joists at the edges of the opening and fully extend from joist to joist.
- The blocks shall be properly secured at each end to the floor joists (e.g., with minimum 3" nails or comparable screws, minimum two anchors for 2x4, and three anchors for 2x6).

4.7.5(f2) Access cover

- Deteriorated/defective cover(s) shall be repaired with new materials comparable to those used for the existing cover and surrounding floor.
- Installed hardwood or other finish material shall be attached with finish nails.
- Finish nails shall be countersunk, and the holes shall be filled with wood putty.
- Finish surface
  - The top of the access cover shall be:
    - Flush with the floor when the top surface is flooring, or it will be covered by carpet or other floor covering
    - Recessed appropriately, if needed, to accommodate the future installation of finishing material (e.g., hardwood)

4.7.5(g) Crawlspace access cover—Vertical

4.7.5(g1) Access location

- Due to the complexity of this work, installation shall require prior approval from CSD.
- Cuts/alterations in a foundation wall shall not violate local code.
- Best practice
  - Minimum 16" x 24" opening (per code) or as wide as feasible
  - Located where crawl clearance is ≥18"

4.7.5(g2) Access cover

- New corrosion-resistant screened metal or solid metal material shall be installed per manufacturer's instructions.
- Metal framing shall be secured to:
  - Wood with corrosion-resistant screws that penetrate at least ½"
  - Concrete with corrosion-resistant screws and compression anchors
- Wood framing (box frame)
  - Framed wood (plywood or 1-by boards) shall be:
    - 1x2 redwood or pressure-treated fir at a minimum
    - Attached to concrete with concrete nails or corrosion-resistant screws and compression anchors
    - Attached to wood with nails or screws that penetrate solid wood at least ½"
- Hinges and latches
  - Hinges and/or latches (designed for an optional lock), when applicable, shall be installed with corrosion-resistant anchors.
- Finishing
  - At minimum, bare wood shall be primed.
- Insulation
  - Not applicable (unconditioned space is on both sides of the access cover).

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4.8. Fireplaces and Chimneys

4.8.1 Masonry Chimneys

4.8.1(a) Attic penetrations by masonry chimneys

4.8.1(a1) Seal penetrations with a non-combustible barrier and high-temperature sealant.

- Galvanized sheet metal or aluminum shall be a minimum of 0.007" thick.
- Barrier shall be mechanically secured to ensure permanent installation.

4.8.2 Fireplace Chimney Dampers

4.8.2(a) Factory-built ("zero clearance") fireplaces

4.8.2(a1) Malfunctioning dampers shall be repaired or replaced with listed parts specified by the manufacturer.

4.8.2(b) Masonry fireplaces

4.8.2(b1) Malfunctioning dampers shall be repaired.

4.8.2(b2) A retrofit damper shall be installed when no damper is present or repair of a malfunctioning damper is not feasible.

4.8.2(b3) Retrofit dampers

- Only commercially available top-sealing dampers shall be used for retrofitting. (See Appendix A Combustion Appliance Safety Protocol, Table 14.4.1, Gas log.)
- The damper shall be properly sized to fit the chimney termination.

4.8.2(b4) When replacing a damper, a spark arrestor shall be present or installed. (See Section 1 Limited Home Repair (LHR) Policy and Appendix A Combustion Appliance Safety Protocol.)

4.8.2(c) Gas log

4.8.2(c1) When a gas log is present, the damper shall be blocked partially open (e.g., by means of a permanently installed damper clamp).

4.8.2(c2) When a permanent opening is not feasible, damper installation is not feasible and the house is NIM.

4.8.2(c3) California Mechanical Code (CMC) sizing and clamp policies shall apply.

- The fireplace shall have a permanent free opening based on the appliance input rating and chimney height.
- Shell sealing is not feasible if the damper does not have a permanent free opening (provided by a damper clamp or other means).

4.8.3 Fireplace Glass Doors

4.8.3(a) All fireplaces

4.8.3(a1) All pre-existing fireplace glass door units shall seal against the fireplace surround (the surface surrounding the fireplace opening).

4.8.3(b) Retrofit glass doors

4.8.3(b1) When a fireplace damper is not present or is not feasible to install, glass doors for fireplaces shall be selected and installed.

4.8.3(b2) The glass door unit shall be designed and sized to fit:

- The smallest dimensions of the firebox opening
- The surround size and surface (smooth or textured)

4.8.3(c) Attachment of the glass door unit (Fig. 32-15)

4.8.3(c1) The top of the door unit shall be mechanically secured to the lintel bar (e.g., with a lintel clamp).

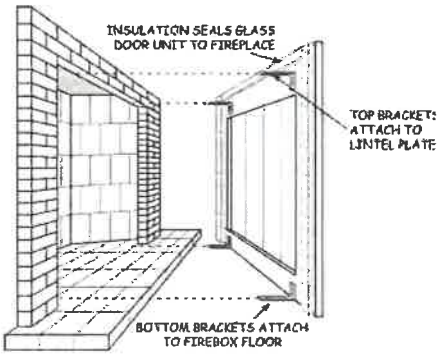

FIG. 32-15: ATTACHING GLASS DOOR UNITS

4.8.3(c2) The bottom shall be attached to the firebox floor.

4.8.3(c3) Insulation or gasketing applied to the back of the glass door unit shall create a tight seal at the surround.

4.9. Penetrations

4.9.1 All lighting fixtures, wiring, plumbing, venting, ducting, and gas piping penetrations will be sealed.

4.9.2 Patching of Penetrations

4.9.2(a) Gaps over ⅝" wide shall be covered with a sheet metal collar or mesh plumbing patch that is sealed and secured.

4.9.2(a1) A metal collar may be fabricated using one or two pieces of galvanized sheet metal or aluminum notched (cut out) to fit around the penetration or

4.9.2(a2) Commercially available plumbing patches and pipe collars shall be used

4.9.2(b) Use caulk or other sealants/patches in accordance with Shell Sealing, Caulking and Patching.

4.9.3 Installation of a Field-Fabricated Metal Collar (Fig. 32-16)

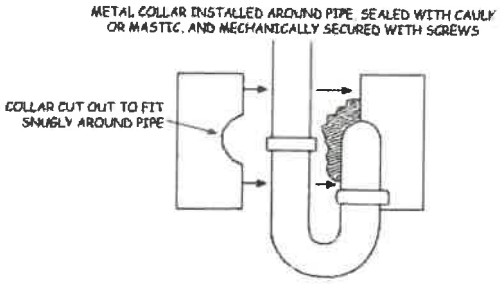

FIG. 32-16: METAL COLLAR

4.9.3(a) Required on wall or floor penetration, including on floors in exposed locations (i.e., not inside a cabinet)

4.9.3(a1) Apply sealant (e.g., elastomeric) to the back side.

4.9.3(a2) Press the patch/collar into place and secure each separate piece with at least two anchors (e.g., sheet metal screws) that penetrate solid wood where possible.

4.9.3(a3) Remaining gaps ≥1/16" shall also be caulked.

4.9.4 Installation of Mesh Plumbing Patch (Fig. 32-17)

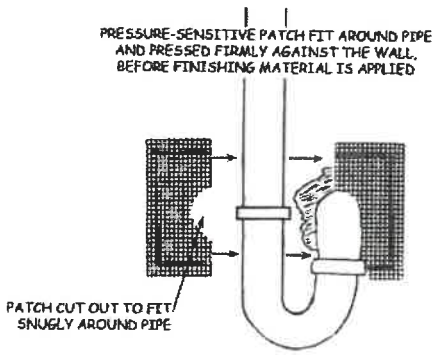

FIG. 32-17: MESH PLUMBING PATCH

4.9.4(a) Surfaces shall be free of:

4.9.4(a1) Loose or cracked caulking or patching material

4.9.4(a2) Loose drywall material, dirt, debris, and oily substances

4.9.4(a3) Moisture

4.9.4(b) Patches shall be 28–30-gauge non-corrosive metal with strong self-adhesive backing.

4.9.4(c) Backing shall be reinforced with fiberglass mesh or equivalent.

4.9.4(d) Patches shall be cut to fit snugly around pipes (e.g., pre-cut for installation around 2", 1½", ¾", and ½" pipes).

4.9.4(e) Firm pressure shall be applied to the adhesive to eliminate gaps along edges.

4.9.4(f) The patch shall be sealed to the mounting surface along the entire perimeter of the patch.

4.9.4(g) Gaps ≥1/16" between the patch and the pipe also shall be sealed with caulk.

4.9.5 Finishing Mesh Patches on Walls

4.9.5(a) Cover the plumbing patch with a light-weight spackling or drywall joint compound.

4.9.5(b) Finishing material shall completely cover the patch and overlap onto wall.

4.9.5(c) The patch shall be finished to blend with the surrounding wall surface.

4.9.6 Finishing Mesh Patches on Floors (Fig. 32-18)

4.9.6(a) Install mesh floor patches only inside a cabinet (not in exposed locations) directly onto the cabinet bottom floor/sheathing.

4.9.6(b) Install fasteners (e.g., sheet metal screws, nails, or staples) as needed to ensure permanent attachment.

4.9.6(c) Cover patches shall be covered with lightweight, non-shrinking, exterior-grade spackling compound, drywall joint compound, or equivalent.

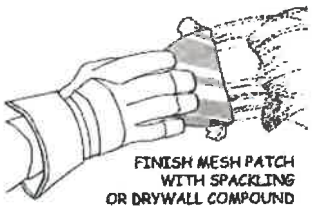

FIG. 32-18: MESH PATCHES ON FLOORS

4.9.7 Knee Walls

4.9.7(a) Seal cracks and gaps between the knee wall and the living space (at the attic floor, the walls, and the ceiling).

4.9.8 Sill Plate

4.9.8(a) Seal cracks and gaps at the bottom of each wall.

4.9.8(b) When molding is in place, caulk gaps ≥1/16".

4.9.8(c) Seal from the interior of the home and from the garage for the wall separating the garage from the living space.

4.9.8(d) Check carefully for bypasses in junctions between the main house and additions and in step-down rooms (especially a garage, converted porch, etc.).

4.9.9 Top Plate

4.9.9(a) Seal cracks and gaps at the top of each wall.

4.9.9(b) When molding is in place, caulk gaps ≥1/16".

4.9.10 Electrical Boxes

4.9.10(a) Seal visible gaps around electrical boxes and light fixtures in the ceiling, wall, or floor. (Do not remove fixtures to find gaps behind the housing.)

4.9.10(b) When installing cover plate gaskets, caulk or spackle large gaps around a box that the gasket cannot seal completely.

4.10. Wall Bypasses

4.10.1 A wall bypass is a penetration from the living space into the wall cavity that allows communication of conditioned air between the home and the building envelope.

4.10.2 Interior Wall Openings

4.10.2(a) Cavities shall be sealed with filler board and sealant.

4.10.2(a1) Foam board, duct board, radiant barrier, or other approved rigid barrier materials are acceptable to use for filler board (Fig. 32-19).

4.10.2(b) Silicone or acoustical caulk or foam sealant shall be used to seal the filler board.

4.10.2(c) The filler board shall be secured as needed with mechanical fasteners (screws, staples, or nails) to ensure a complete and permanent seal.

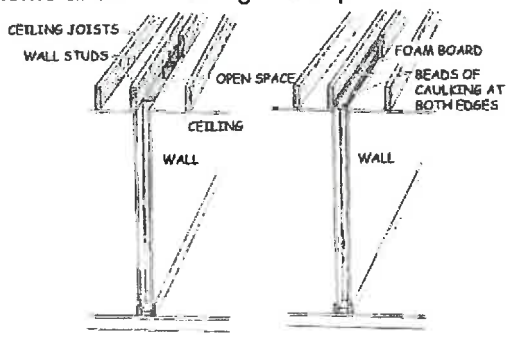

FIG. 32-19: INTERIOR WALL OPENINGS

4.10.3 Exterior Wall Openings

4.10.3(a) Cavities shall be sealed with filler board and sealant.

4.10.3(a1) Foam board, duct board, radiant barrier, or other approved barrier material may be used for filler board.

4.10.3(b) Silicone or acoustical caulk or foam sealant shall be used to seal the filler board.

4.10.3(c) The filler board shall be secured, as needed, with mechanical fasteners (screws, staples, or nails) to ensure a complete and permanent seal.

4.10.4 Cover Plate Gaskets

4.10.4(a) Location

4.10.4(a1) Gaskets shall be installed under cover plates located on the inside of walls between conditioned and unconditioned spaces limited to the following:

- Electrical switches and receptacles
- Telephone jacks and television cable lines
- Between apartments in multi-family units

4.10.4(b) Installation

4.10.4(b1) All locations

- The gasket shall match the switch/ receptacle style (Fig. 32-20).
- Standard switches and receptacles shall have factory-made gaskets.
- Rocker-style switches and rectangular receptacles (e.g., ground fault circuit interrupter) shall have gaskets intended for that application.
- The gasket shall cover the gap between the utility box and the surrounding wall material.

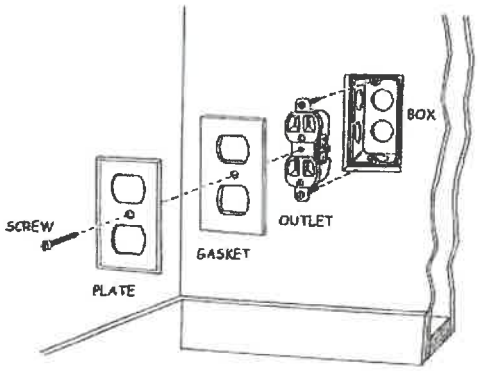

FIG. 32-20: COVER PLATE GASKET INSTALLATION ON AN OUTLET

- When the utility box is an odd size and standard gaskets will not work, the gap between the box and the wall shall be filled with caulk or spackle.
- The plate shall cover the gasket completely.

4.10.4(b2) Damaged cover plate

- Cracked or missing cover plates must be replaced to accommodate gaskets per Section 1 General Installation Guidelines, Limited Home Repair.

4.11. Weatherstripping

4.11.1 General Requirements

4.11.1(a) Weatherstripping shall:

4.11.1(a1) Effectively reduce air leakage without hampering the door, window, or access cover operation

4.11.1(a2) Be installed and adjusted to provide a continuous barrier to infiltration along its entire length

4.11.1(a3) Be installed in full-length pieces and in accordance with the manufacturer's instructions

4.11.1(b) When metal stock is cut or trimmed:

4.11.1(b1) Burs shall be removed

4.11.1(b2) Sharp edges and ends shall be rounded and smoothed

4.11.2 Exterior Doors

4.11.2(a) Standard weatherstripping consists of door jamb and door bottom weatherstripping.

4.11.2(b) Weatherstripping shall be removed before new retrofit weatherstripping is installed.

4.11.2(b1) Exception: See Doors with factory-installed weatherstripping.

4.11.2(c) Allowable weatherstripping applications are shown in Table 32-2.

TABLE 32-2: EXTERIOR DOOR WEATHERSTRIPPING APPLICATION BY LOCATION

Location	Acceptable Types	
Wooden Door Jambs	• Rigid gasket • Spring or cushion metal	• Replacement kerf-in bulb and foam
Metal Door Jambs	• Rigid gasket • Cushion synthetic	• Flanged bulb • Closed-cell foam (in compression only)
Astragals on Double Doors	• Rigid gasket • Spring or cushion metal • Cushion synthetic • Flanged bulb	• Replacement kerf-in bulb and foam • Closed-cell foam and compression bulb (in compression only)
Threshold Elevators/Shims	• Non-wood: Aluminum and vinyl/plastic • Solid wood: Redwood, cedar, pressure-treated fir, or solid hardwood (i.e., must be degradation-resistant and exterior-grade).	

4.11.2(d) Fire-rated doors and jambs

4.11.2(d1) Doors and jambs labeled to have a fire rating of >20 minutes shall not be weatherstripped, have screws installed in the door or jamb, or be modified at the door bottom unless:

- Installation is allowed by the local building department or fire marshal
- The weatherstripping and installation meet the specifications and listing requirements of the door and jamb manufacturer(s)
- Documentation of compliance is kept in the client file

4.11.2(e) Doors with factory-installed weatherstripping

4.11.2(e1) Removal of the existing weatherstripping (interlock, kerf-in bulb, and magnetic types) is not required when the existing material does not interfere with proper operation of the door and the new weatherstripping.

4.11.2(f) Door jamb weatherstripping

4.11.2(f1) See Table 32-2 for allowable types.

4.11.2(f2) Retrofit weatherstripping shall be installed on all three sides of the jamb (Fig. 32-21).

4.11.2(f3) Trim the weatherstripping corners and joints to provide a continuous barrier to infiltration without unnecessary gaps between the adjoining legs.

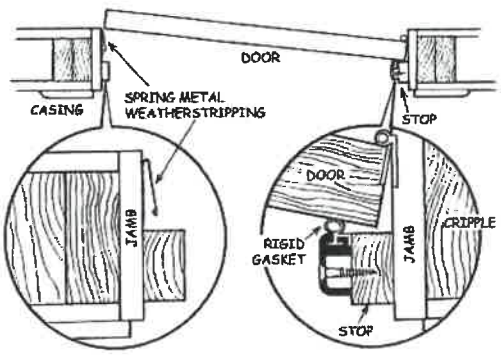

FIG. 32-21: DOOR JAMB WEATHERSTRIPPING

4.11.2(f4) Rigid gasket

- Screws shall be positioned to allow for adjustment of the carrier.
- Each leg shall be one continuous strip.

4.11.2(f5) Gasket contact

- Gasket-to-gasket contact is required at the corners (Fig. 32-22).

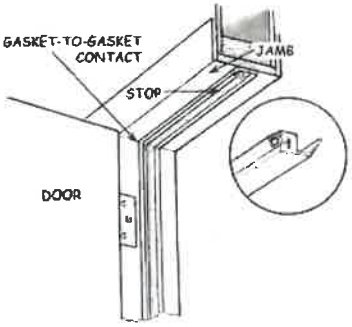

FIG. 32-22: WEATHERSTRIPPING DOOR JAMB WITH RIGID GASKET

- Gasket-to-threshold contact is required at the door bottom.
  - Contact shall not be achieved by the addition of caulk.

4.11.2(f6) Spring and cushion metal

- Sealing surfaces shall be mitered at the corners.
- Ends shall be overlapped when possible to provide a seal when compressed.
- Mechanical attachments (e.g., ¼" x ⅜" staples) shall be placed within 1" of each end and at intervals not exceeding 4".

4.11.2(f7) Cushion synthetic, flanged bulb, and foam tape

- The mounting surface shall be thoroughly cleaned.
- The existing adhesive residue shall be removed with solvent.
- Material shall be joined and mitered at jamb corners as needed to seal the joint.

4.11.2(f8) Corner pads

- Adhesive backing shall be supplemented with staples, tacks, etc. that penetrate the wood a minimum of ⅜".

4.11.3 Door Bottom and Threshold Weatherstripping

4.11.3(a) Refer to Thresholds.

4.11.3(b) See Fig. 32-8.

4.11.4 Attic and Crawlspace Access Covers Located in Conditioned Space

4.11.4(a) Access cover frames will be weatherstripped.

4.11.4(a1) Gaps between the frame and the ceiling/floor shall be caulked.

4.11.4(b) A damaged/missing cover shall be replaced as a minor envelope repair (MER) before weatherstripping is installed.

4.11.4(c) When ceiling or floor insulation will be installed, the access cover will be insulated in accordance with the insulation standard.

4.11.4(d) Allowable weatherstripping applications are shown in Table 32-3.

TABLE 32-3: ATTIC/CRAWLSPACE ACCESS COVER WEATHERSTRIPPING APPLICATIONS

Access Cover type	Acceptable types
Horizontal Access Doors/ Covers	• Open-cell foam is standard; however, in visible locations, closed-cell foam, cushion synthetic, and flanged bulbs are acceptable if the thickness is ≤3/16" after the access door/cover is closed.
Vertical Access Doors (e.g., Knee Wall Doors)	• Materials approved for entrance doors shall be used.
Pull-Down Attic Stairs	• Materials approved for attic access covers shall be used.

4.11.4(e) Install weatherstripping on attic (Fig. 32-23) and crawlspace entry doors/covers accessed from a conditioned space.

4.11.4(e1) Access cover weatherstripping shall be installed on the surface that provides the best adhesion (i.e., smooth wood trim rather than a textured drywall lid).

4.11.4(e2) The mounting surface shall be free of dust and debris.

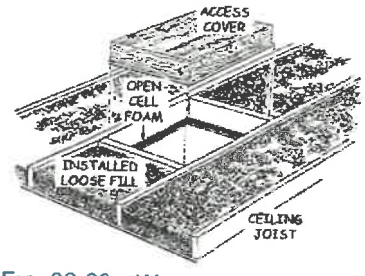

FIG. 32-23: WEATHERSTRIPPING HORIZONTAL ATTIC ACCESS COVER

4.11.4(f) Attic stairs with bottom door or stairs with top lids

4.11.4(f1) Weatherstrip the bottom door (or top lid if there is no bottom door).

4.11.4(g) Pull-down stairs

4.11.4(g1) The entire pull-down stair assembly will be covered with an airtight and removable/openable enclosure inside the attic space.

4.11.5 Appliance Enclosure Door Weatherstripping

4.11.5(a) Weatherstripping shall be installed to prevent the entry of combustion byproducts into the living space in accordance with Appendix A Combustion Appliance Safety Protocol and only when the CVA is all taken from the outdoors and is adequate.

4.11.5(b) Allowable applications are shown in Table 32-4.

4.11.5(c) Weatherstripping shall be installed in accordance with the instructions for exterior doors.

TABLE 32-4: APPLIANCE ENCLOSURE WEATHERSTRIPPING APPLICATIONS

Enclosure Component	Acceptable Types
Enclosure Door Jamb	• Rigid gasket • Spring and cushion metal • Cushion synthetic • Flanged bulb • Open- or closed-cell foam tape (open-cell foam shall not be exposed to sunlight).
Enclosure Door Bottom and Threshold	• Materials approved for exterior door bottoms and thresholds shall be used. See Door Repair.

4.11.6 Window Weatherstripping

4.11.6(a) Continuous and complete weatherstripping will be installed on the bottom of the lower sash where it makes contact with the sill and at the top off the upper sash (when applicable) where it makes contact with the upper part of the frame.

4.11.6(b) Windows that do not open (e.g., fixed type, windows that are painted or blocked shut, etc.) do not require weatherstripping.

4.11.6(b1) When the top sash of a double-hung window is held in a partially-open position by paint and if repair is feasible, it must be freed (by cutting paint), closed as tightly as possible, latched, and caulked as needed to stop air leaks.

4.11.6(c) With the installation of weatherstripping, all windows shall continue to be operable.

4.11.6(c1) The operation of egress windows shall not be impeded by weatherstripping or caulking.

4.11.6(d) Allowable applications are shown in Table 32-5.

TABLE 32-5: WINDOW WEATHERSTRIPPING MATERIAL BY WINDOW TYPE

Window Type	Acceptable Types	
Metal Casements	• Cushion synthetic • Closed-cell foam	• Rigid gasket
Wooden Casements	• Cushion synthetic • Spring or cushion metal	• Closed-cell foam • Rigid gasket
Wooden Double-Hung	• Rigid gasket • Spring or cushion metal • Flanged bulb	• Closed-cell foam • Vinyl or metal jamb liner
Metal and Plastic Vertical Sliders	• Cushion synthetic • Flanged bulb	• Closed-cell foam • Vinyl jamb liner

TABLE 32-5: WINDOW WEATHERSTRIPPING MATERIAL BY WINDOW TYPE

Window Type	Acceptable Types	
Horizontal Sliding Aluminum Windows and Glass Doors	• Replacement pile • Cushion synthetic	• Flanged bulb • Closed-cell foam
Awning and Jalousie Windows	• Commercially available specialty materials may be installed on a window with a functional operating mechanism. • Weatherstripping shall effectively reduce air leakage without hampering window operation.	

4.11.6(e) Window preparation

4.11.6(e1) Window repairs (e.g., including but not limited to replacement of missing glazing compound on the sash, installation of exterior caulking and exterior storm windows, etc.) will be conducted prior to the installation of weatherstripping.

4.11.6(e2) Repairs to reduce air infiltration (e.g., new latch for meeting rail connection, pulley seals, rope caulking for other cracks, interior storm windows, etc.) will be done prior to the installation of weatherstripping.

4.11.6(e3) Sash locks on wooden double-hung windows

- When needed to prevent catastrophic leakage, install new sash locks or adjust existing sash locks so that the meeting rails of the upper and lower sashes are flush and in full contact.
- After installation or adjustment of the sash locks, no gaps shall be visible between the two sashes.

4.11.6(e4) Install and/or adjust stops on wood windows to eliminate visible gaps between the stops and the jamb.

- Wood stops will be sealed to glass with an appropriate sealant.

4.11.6(e5) Wood windowsills

- Before installing weatherstripping, prime and water-seal the windowsill if it is bare wood. Scrape and sand the sill smooth before sealing if the paint is degraded so much that the weatherstripping will not properly seal against it.

4.11.6(f) Window weatherstripping installation

4.11.6(f1) The existing weatherstripping and sash sealant shall be removed.

4.11.6(f2) Surfaces where the sill meets the sash shall be cleaned.

4.11.6(f3) Weatherstripping shall be installed and adjusted to provide a continuous barrier to infiltration along all edges of the window opening (Fig. 32-24). Mechanically installed weatherstripping will be sealed to the surface.

4.11.6(f4) Weatherstripping will be installed on the bottom of the lower sash where it makes contact with the sill and at the top of the upper sash where it makes contact with the upper jamb.

4.11.6(f5) The seal between the fixed components of the window (e.g., jambs, sill) shall be continuous and complete while maintaining the operability of the window.

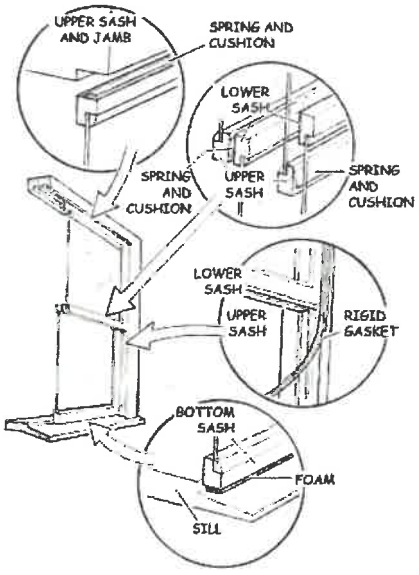

FIG. 32-24: WINDOW WEATHERSTRIPPING PLACEMENT

4.11.6(f6) Replacement pile

- Fit the pile snugly into the retaining channel (Fig. 32-25).

4.11.6(g) Weatherstripping sliding glass doors (SGDs)

4.11.6(g1) Pile

- Worn pile shall be replaced with new pile in the retaining channels when feasible (Fig. 32-26).

4.11.6(g2) Self-adhesive compression material

- The existing material shall be removed, and the surface cleaned.
- Cushion synthetic, flanged bulb, or closed-cell foam tape shall be installed in the compression location only (e.g., on the latch side of the jamb).
- Following installation, the door must close and latch properly.

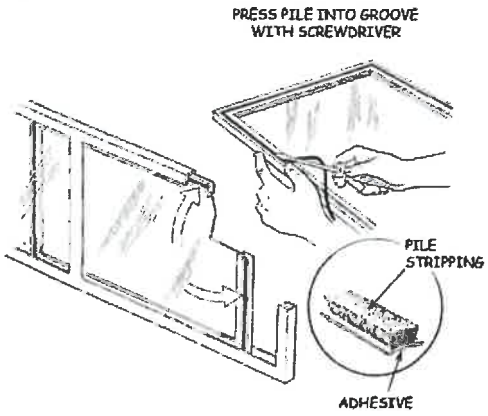

FIG. 32-25: REPLACING WINDOW PILE WEATHERSTRIPPING

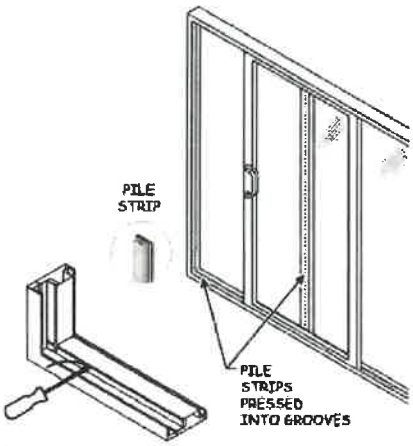

FIG. 32-26: SLIDING GLASS DOOR PILE WEATHERSTRIPPING

4.12. Window and SGD Repair

4.12.1 Window and SGD Replacement

4.12.1(a) Window and SGD replacement as an IRM must be justified by catastrophic leakage. See Section 33 Windows and Sliding Glass Doors for more information.

4.12.2 Window Repair

4.12.2(a) Window repair includes:

4.12.2(a1) Repair, sealing, or component installation to reduce infiltration (e.g., new latch for meeting rail connection, pulley seals, rope caulking for other cracks)

4.12.2(a2) Repair of the window sash or frame and installation of glazing compound, gaskets, and other items required to seal the glass and sash

4.12.3 SGD Repair

4.12.3(a) SGD repair includes replacement of:

4.12.3(a1) The interlock between the panes of a dual-pane glass door

4.12.3(a2) Malfunctioning roller assemblies

4.12.4 Glass Replacement

4.12.4(a) The following conditions apply regarding glass replacement:

4.12.4(a1) When only one pane in a dual-pane window is broken, the broken pane will be removed only if it presents a safety issue.

- If both panes in a dual-pane window are broken, the window will be assessed for catastrophic leakage and replacement.

4.12.4(a2) Cracks <6" from window edge to window edge will be ignored.

4.12.4(a3) Operable windows (movable sashes) shall not be converted to fixed panes.

4.12.4(a4) A storm windows shall not be installed as a substitute for replacing broken glass.

4.12.4(a5) When four or fewer BB holes are present, fill them with clear caulk.

4.12.4(b) Documentation of window repair condition(s) is required for each window to be repaired. To prove catastrophic leakage, measurements and calculations of the gap size must be provided on the CSD 540 Dwelling Assessment Form.

4.12.4(c) Pre-treatment of sash

4.12.4(c1) Glass channels will be clean and free of debris.

4.12.4(c2) Remove push point or stops from replacement area.

4.12.4(c3) Treat wood sashes with mineral oil before glazing compound is installed.

4.12.4(c4) Remove rust from steel sashes and apply rust-inhibiting metal primer.

4.12.4(d) Glass selection

4.12.4(d1) Replacement glass will be sized ⅛"–3⁄16" smaller than the opening to allow for movement of the frame.

4.12.4(d2) Glass will be selected with comparable tint and coating (color and look).

4.12.4(d3) Safety glass

- See Section 1 General Installation Guidelines, Safety Glass in Windows and Doors.
- Polycarbonate may be used instead of tempered glass when allowed by the client.

4.12.4(d4) Bathroom windows

- Replace obscure glass on the ground floor with obscure glass when the bottom edge of the window is <60" above the finished floor.

4.12.4(e) Glazing compound

4.12.4(e1) Glazing compound must be used only in sashes designed for its use.

4.12.4(e2) Caulk must not be used as a substitute for glazing compound.

4.12.4(f) Glazing channel

4.12.4(f1) Metal and vinyl windows:

- A watertight seal must be present around the sash.
- Secure/seal the glazing with a glazing spline, glazing channel gasket, or snap-in glazing bead.
  - The replacement gasket/spline must be properly sized.
  - The existing gasket/spline may be reused when it is in satisfactory condition to provide a complete seal.
- Clear silicone caulk or equivalent may be added to fill any gaps.
- Where a proper gasket/spline cannot be provided, stabilize the glass with clear silicone caulk or equivalent.

4.12.4(g) Wood sash

4.12.4(g1) Install push points:

- A maximum of 8" apart
- Within 4" of each corner
- On each edge to secure the glass in the frame

4.12.4(g2) Cushion and finish beads (Fig. 32-27)

- The cushion bead must be continuous and free of voids.
- The finish bead will:
  - Be free of gaps
  - Be tooled in place and uniform with existing beads
  - Not be visible from the interior side

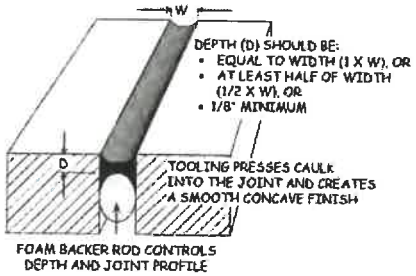

FIG. 32-27: A HIGH-QUALITY FINISHED BEAD

4.12.4(h) Metal sash

4.12.4(h1) Reinstall spring clips (Fig. 32-28):

- A maximum of 12" apart and
- Within 4" of each corner

4.12.4(h2) Reinstall continuous angles, stops, or glazing spline to keep the glass securely in place.

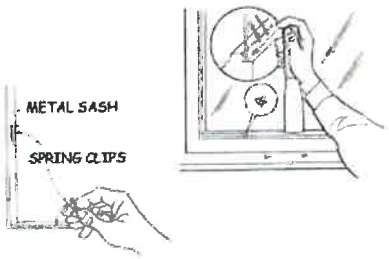

FIG. 32-28: SPRING CLIP INSTALLATION

5. MOBILE HOME–SPECIFIC

5.1 Mobile home installations are the same as those for conventional homes except as specified below.

5.2. Access Hatches

5.2.1 Access cover requirements for conventional homes do not apply to mobile homes.

5.3. Mobile Home Doors

5.3.1 All Mobile Home Doors

5.3.1(a) Ensure the opening is structurally sound, square, plumb, and level in accordance with the manufacturer's recommendations (Fig. 32-29).

5.3.1(b) When diagonal measurements of the door opening differ by more than ⅛":

5.3.1(b1) The chassis should be checked and leveled when possible or

5.3.1(b2) The rough opening must be adjusted/ shimmed to provide satisfactory mounting surfaces for the replacement frame

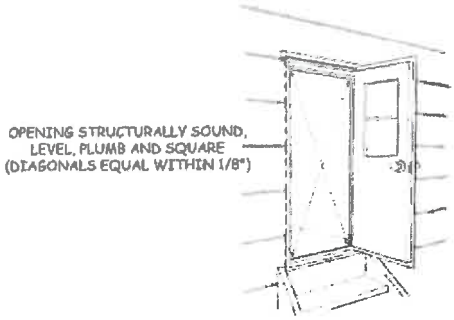

FIG. 32-29: MOBILE HOME DOOR REQUIREMENTS

5.3.1(c) Seal water penetration points.

5.3.1(d) Sound anchorage is necessary for the replacement unit.

5.3.1(e) The floor must be structurally solid to properly support the replacement sill.

5.3.1(f) Remove the existing door frame, anchors, and sealant and ensure all mounting surfaces are clean and smooth (Fig. 32-30).

5.3.1(g) Install insulation in gaps between the door frame and rough opening (e.g., mineral fiber or backer rod.

5.3.1(g1) Injected foam is not allowed.

5.3.1(h) Caulk exterior and interior gaps in accordance with Caulking.

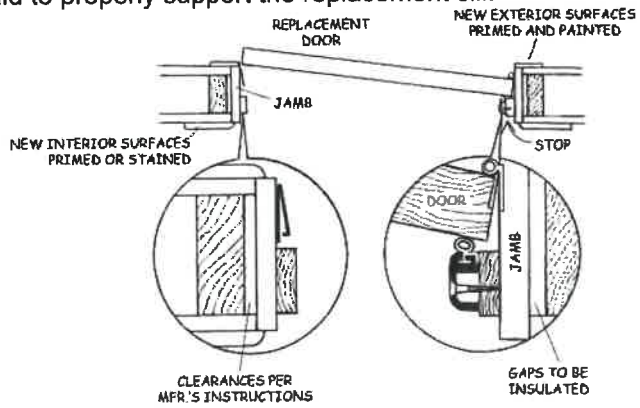

FIG. 32-30: MOUNTING SURFACES PREPARED AND GAPS CAULKED/INSULATED

5.3.2 All Swinging Doors

5.3.2(a) Install the sill and ensure it is level.

5.3.2(b) The hinge side must be securely supported and plumb.

5.3.3 In-Swinging "House-Type" Doors

5.3.3(a) Installation requirements for door blanks and pre-hung units with wooden frames are the same as for conventional home hinged doors.

5.3.3(b) For a pre-hung door with a flanged metal frame, see the applicable procedures in Flush-Mount Doors with External Flange/Fin for positioning, sealing, and attaching out-swinging flanged units (Fig. 32-31).

5.3.4 Out-Swinging Doors

5.3.4(a) Position the replacement mounting flange to cover the holes left by the removal of the pre-existing door (Fig. 32-32).

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5.3.4(b) Apply elastomeric caulk or non-hardening sealant/putty tape to the back of the mounting flange.

5.3.4(c) The sill must rest on the floor or have solid support from jamb to jamb.

5.3.4(d) Center the unit side-to-side in the opening with the sides plumb and the frame square.

5.3.4(e) Anchor the flange securely with screws spaced in accordance with the manufacturer's instructions.

5.3.4(f) Install hardware per the manufacturer's instructions (e.g., lockset, door chain, pneumatic closer, etc.).

5.3.5 Flush-Mount Doors with External Flange/Fin

5.3.5(a) Door bottom

5.3.5(a1) A door shoe or shoe-and-threshold combination shall be utilized.

5.3.5(a2) If not feasible, a bumper threshold is allowed.

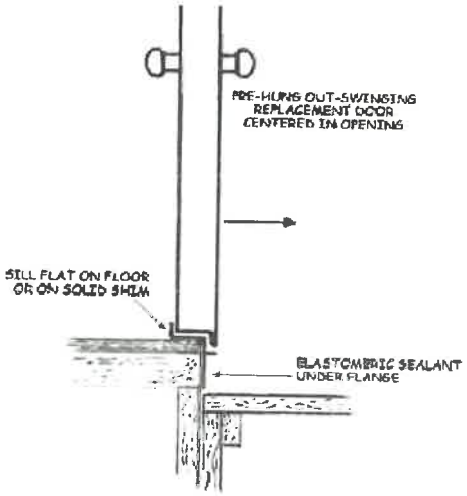

FIG. 32-31: PRE-HUNG OUTSWINGING MOBILE HOME DOOR

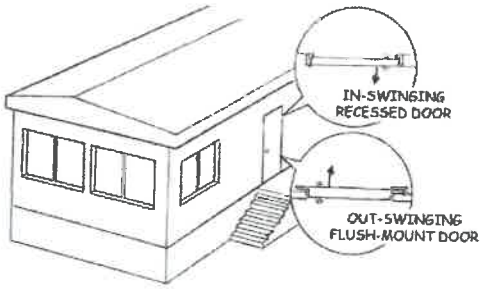

FIG. 32-32: IN-SWINGING AND OUT-SWINGING DOORS FOR MOBILE HOMES

5.4. Mobile Home Glass Replacement

5.4.1 General Requirements

5.4.1(a) Select glass with comparable tint and coating (standard color and look).

5.4.1(b) Seal the glass in accordance with the original installation design.

5.4.1(c) Replace or install stops as needed to prevent catastrophic leakage.

5.4.2 Glass Replacement in Awning Windows

5.4.2(a) Replace broken glass and repair or replace damaged gaskets.

5.4.2(b) Glass thickness must allow for proper installation into the channel with the gasket installed.

5.4.2(c) Adjust the reassembled sash as needed to operate smoothly and close properly.

5.4.2(d) The applicable procedures for awning windows will be used for glass replacement in sliding windows.

5.4.3 Flanged Window Frame Removal

5.4.3(a) When a flanged window frame is removed to facilitate glass replacement:

5.4.3(a1) Maintain the integrity of the sealant on the back side of the flange

5.4.3(a2) Use elastomeric caulk or non-hardening sealant/putty tape as needed for a complete seal

5.4.3(a3) Ensure the sealant application surface is clean

5.4.3(a4) Replace stripped or damaged screws

5.5. Mobile Home Window Repair

5.5.1 Items that reduce infiltration may be repaired, replaced, sealed, or installed to prevent catastrophic leakage.

5.5.2 Items that reduce water infiltration (e.g., replacement glazing on sash, exterior caulking, exterior storm windows, storm doors, drip cap, J-channel, flashing) will be repaired, replaced, or installed.

5.6. Mobile Home Weatherstripping

5.6.1 Installation must conform with the manufacturer's instructions, Department of Housing and Community Development (HCD) requirements, and installation guidelines for conventional homes.

5.6.2 Installation requirements for mobile homes are the same as those for conventional homes except as specified below and identified in Table 32-1.

5.6.3 Flush-Mount Doors with Exterior Flange

5.6.3(a) When mechanically attached materials are not feasible, the most effective and durable of the following alternatives will be used:

5.6.3(a1) Cushion synthetic

5.6.3(a2) Flanged bulb

5.6.3(a3) Closed-cell foam tape

5.6.3(a4) Round tube

5.6.3(a5) Vinyl V-strip

5.6.3(b) A bumper threshold may be used to seal the door bottom when that is the best option.

5.7. Mobile Home Sealing Activities

5.7.1 The assessment of the unit will determine the structural integrity, size of wall studs, insect infestations, accessibility, and the number, type, size, and location of penetrations.

5.7.2 See "Prescriptive Shell Sealing Priority List" on the CSD 704 Shell Leakage Data Sheet for mobile home caulking priority.

5.7.3 Top/bottom bypasses on ventilated metal exterior walls will not be sealed.

5.7.4 Work will not be attempted on any mobile home roof that is substandard or unsafe.

5.7.5 Caulking Locations in Mobile Homes

5.7.5(a) Interior envelope leaks ≥1⁄16" wide:

5.7.5(a1) Gaps <3⁄8" will be caulked without filler material.

5.7.5(a2) Gaps 3⁄8"–5⁄8" will be caulked only if filler material (e.g., foam backer rod) can be properly installed/secured and covered with at least a 1⁄8"-deep bead of caulk.

5.7.5(b) Interior seams and joints

5.7.5(b1) Gaps 1⁄16"–5⁄8" will be caulked, including:

- Trim around windows and doors, in room corners, and along ceiling perimeters
- Accessible baseboards (i.e., not covered with carpeting or obstructed by heavy furniture)

5.7.5(b2) Trim down the center (marriage line) of a double-wide unit on both edges whenever possible.

5.7.5(c) Appliance enclosure walls and exhaust duct penetrations will be repaired/patched or sealed per Non-visible interior locations.

5.7.5(d) Exterior envelope holes and penetrations

5.7.5(d1) All exterior leaks and penetrations will be sealed to the extent possible.

5.7.5(d2) Exterior wall air sealing:

- Intentionally ventilated walls will not be sealed at vent locations (e.g., weep holes).
- Backing or infill will be provided as needed to meet the specific characteristics of the selected sealant and the characteristics of the penetration.

5.7.6 Marriage Line

5.7.6(a) All accessible holes and penetrations at marriage lines will be sealed continuously at end walls, floors, and ceiling.

5.7.6(b) Backing or infill will be provided at the marriage line as needed.

5.7.6(c) All remaining gaps will be sealed with an approved material.

5.7.6(d) External caulking at marriage lines will be elastomeric caulk or minimally expanding foam.

5.7.6(d1) It is acceptable to leave foam exposed in the undercarriage area.

5.7.7 Ceilings

5.7.7(a) Ceiling repair material must meet or exceed the strength of the existing ceiling material.

5.7.7(b) The ceiling repair must span from truss to truss, or blocking must be added as needed for support.

5.7.7(c) All accessible damaged penetrations through the ceiling air barrier must be repaired.

5.7.7(d) All accessible damaged vapor barriers will be repaired.

5.7.8 Floors

5.7.8(a) Floor repair material will meet or exceed the strength of the existing floor material.

5.7.8(b) The repair will span from joist to joist with blocking added as needed to support the floor.

5.7.8(c) Patches <1 sq. ft. do not require repairs from joist to joist.

5.7.8(d) Floor repair material will be glued, fastened, and air sealed.

5.7.9 Bellyboard/Bottomboard

5.7.9(a) Patching material must meet the specific characteristics of the bottom board material and the characteristics (hole size and type) of the penetrations (e.g., electrical, polyvinyl chloride, gas line, dryer vent).

5.7.9(b) The patch will not bend, sag, or move once installed.

5.7.9(c) The patch will be permanent and have a minimum service life of 20 years.

5.7.9(d) Combustion air supplies will be labeled for identification and will not be blocked or sealed.

5.7.9(e) DOE: when installation of a ducted central return is not possible per Section 8 Ducting Repair, Sealing, and Insulation, sealing of a mobile home belly return shall comply with the specifications in Table 32-6.

5.7.10 HPDs in Mobile Homes

5.7.10(a) High-temperature sealant will be used.

5.7.10(b) Flue pipe ceiling penetrations (Table 32-2)

5.7.10(b1) Gaps ≤¼" wide will be sealed with high-temperature caulk or repaired/patched.

5.7.10(b2) Gaps >¼" will be repaired/patched as prescribed in Shell Sealing.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 Fire-rated doors and jambs

6.1.2(a) Check the labeling on the dwelling unit door to the hallway/common area to confirm the fire rating.

6.1.2(a1) Doors and jambs labeled to have a fire rating of >20 minutes shall not be weatherstripped, have screws installed in the door or jamb, or be modified at the door bottom unless:

- Installation is allowed by the local building department or fire marshal
- The weatherstripping and installation meet the specifications and listing requirements of the door and jamb manufacturer(s)
- Documentation of compliance is kept in the client file

6.1.3 Common area installation is allowed when justified by an energy audit for a whole-building project (e.g., in a lobby, utility room, laundry room, etc. within the same thermal boundary as dwelling units). See Appendix D Energy Audit/Priority List Protocol.

6.1.3(a) Common area installation is not allowed when only an individual unit will be served.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 Shell leakage testing, infiltration reduction (shell sealing), and inspector retesting, are required on 100% of units for which DOE funds are used.

7.1.1(a) Exception: Shell leakage testing is not required for multi-family dwellings of four stories or more.

7.1.2 Shell testing and shell sealing shall be blower door–driven and conducted in accordance with Appendix C Shell Leakage Testing Protocol.

7.1.3 This measure may be a DOE Audit path, audit driven measure, or Priority List path, Mandatory measure.

7.1.4 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.5 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.5(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.6 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.7 To assess for the Infiltration Reduction measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.7(a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.7(b) When assessing for this measure for the Audit path, feasibility will be decided by the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.7(b1) When the measure is feasible based on the audit, and the measure is categorized as a "Major" measure (i.e., Infiltration Reduction, Duct Sealing, Ceiling Insulation, Floor Insulation, and Wall Insulation), it shall be installed or the dwelling must be deferred.

7.1.7(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.7(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.7(c2) If an energy conservation measure is not on the PL for a specific building type, a site-specific energy audit with all feasible measures shall be conducted.

7.1.7(d) Exceptions:

7.1.7(d1) Door repair or replacement for catastrophic leakage is not allowed with DOE WAP funds, either as an individual measure or collectively within the Infiltration Reduction measure.

7.1.7(d2) Door replacement as an energy efficiency upgrade is not permitted with DOE WAP funds.

7.1.7(d3) Door repair or replacement shall be allowed only as an incidental repair when necessary to protect or preserve an ECM being installed as a Limited Home Repair (LHR). The LHR must be justified by a site-specific energy audit according to the procedures described in the Appendix D Energy Audit/Priority List Protocol.

7.1.8 If a client refuses a feasible Major Audit path measure, Mandatory Priority List path measure, or Health & Safety measure, the entire dwelling shall be deferred.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP except as specified below

TABLE 32-6: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
AIR SEALING, GENERAL					
3.0101.1c, 3.0102.9c, 3.0102.10c, 3.0102.11d	Air Sealing - General	For small holes (less than 1/4"): If using backing or infill material (not required), install it at least 1/8" below the surface where sealant is applied. For medium holes (1/4" to 3"): Install backing or infill in or over all holes to be sealed. For large holes (greater than 3"): Install rigid backing or infill in or over all holes to be sealed. Install support materials for spans wider than 24", except when the air barrier material is rated to span greater distance under load (e.g., wind, insulation). Support materials installed for any walking/working surface (attics or floors) must support the weight of a worker and any insulation applied in the area.	X	X	X
3.0102.2d, 3.0102.4c	Air Sealing High-Temperature Devices and Firewalls	Install non-combustible backing or infill in any gap or crack greater than 1/4". Install rigid non-combustible backing or infill for gaps or cracks greater than 1" using mechanical fasteners.	X	X	X
3.0102.9e, 3.0102.11e	Air Sealing Dropped Soffit/ Bulkhead and Roof/Wall Connection	Install rigid air barrier material over the entire soffit opening in alignment with the attic's pressure boundary.	X	X	X
3.0102.9f, 3.0102.11f	Air Sealing Dropped Soffit/ Bulkhead and Roof/Wall Connection	Mechanically fasten air barrier material to prevent movement.	X	X	X
ATTIC/CEILING AIR SEALING					
3.0102.10e	Dropped Ceiling Air Sealing	Install a permanent air barrier either above or below the existing ceiling material that will structurally support the final insulation level.	X	X	X
3.0103.2c	Exterior Roof Access Panel and Hatch Air Sealing	Repair or adjust the roof access to properly fit the curb/jamb and allow for ease of operation (e.g., hardware adjustment and/or replacement).			X

TABLE 32-6: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
3.0103.2e	Exterior Roof Access Panel and Hatch Air Sealing	Seal access frame/curb to both the exterior and interior side of the roof/wall. Seal the roof access stop to the frame/curb. Seal abandoned penetrations in the existing frame/curb.			X
3.0103.2f	Exterior Roof Access Panel and Hatch Air Sealing	Insulate the access with a non-compressible insulation to an R-value sufficient to prevent condensation on either the conditioned or unconditioned side, based on local climate conditions. The hatch curb must be durably insulated where feasible.			X
3.0103.2g	Exterior Roof Access Panel and Hatch Air Sealing	When access hatches are part of a fire-resistance-rated assembly, or are used for smoke or heat removal, added insulating materials are not allowed.			X
3.0102.4e	Firewall Air Sealing	If a firewall assembly is not monolithic (e.g., constructed with balloon framing, CMU, open chase, attic bypass, or with a similar penetration through the attic floor plane), penetrations within the firewall assembly will be accessed through the firewall, fully sealed, and the firewall surface must be restored. Sealing will prevent current or future breaches of the firewall below the attic floor plane from establishing an airflow path to the attic space.	X	X	X
3.0103.4c	Tenting of Wet Sprinkler Systems	Install a rigid enclosure around the entire sprinkler system exposed within the attic. Maintain a minimum 3" clearance from all system components.	X		X
3.0103.4d	Tenting of Wet Sprinkler Systems	Insulate the sprinkler system enclosure to an equivalent R-value as the rest of the attic.	X		X
3.0103.4f, 3.0104.1j	Tenting of Wet Sprinkler Systems, Closed Crawlspaces	Foam plastics, where permissible, will be provided with ignition and thermal barriers as required.	X		X
FOUNDATION/CRAWLSPACE AIR SEALING					
3.0104.1d, 3.0104.2c, 3.0104.3c, 3.0105.1d`	Foundation Space Air Sealing	Install steel wool or other pest-proof material as infill in gaps greater than 1/4" before sealing.	X		X
GARAGE AIR SEALING					
3.0105.1f	Isolating Garage From Living Space	When ducts are located in the garage, seal all accessible ductwork joints and connections. Where the same duct system serves any other living space, all supply and return openings in the garage (including intentional openings designed to heat or cool the garage space) must be disconnected, capped with sheet metal using mechanical fasteners, and completely sealed.	X		X
3.0105.1h	Isolating Garage From Living Space	Replace, point, and glaze broken glass panes in doors or windows where needed. Where glazing is permitted by code, verify that replacement glass meets the intended fire resistance of the assembly penetrated and is safety glazing. Glazing located in walls connecting garages to conditioned spaces with fire-resistance ratings may be prohibited. Confirm that existing glazing application is consistent with all applicable building codes.	X		X

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Ensure the CSD 704 Shell Leakage Data Sheet is properly filled out and IRM sealing measures were properly performed.

8.1.2 Perform CAS testing in accordance with Appendix A Combustion Appliance Safety Protocol to ensure that no open combustion appliances located in the living space are creating a hazardous atmosphere as a result of the IRM activities.

8.1.3 Retesting for shell leakage is required on a minimum of 20% of inspected units as part of the quality assurance post-inspection for LIHEAP units per Appendix C Shell Leakage Testing Protocol.

8.1.4 Verify safe operation of doors, windows, and all components.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure-specific verbal and written instructions include:

8.2.2(a) Changes or repairs made to doors and/or windows

8.2.2(b) The need to keep the door from the garage to the house closed

8.2.2(c) To not warm up vehicles or use any gas engine appliances or grills in the garage, even if the main door is left open.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 Access Covers

9.1.1(a) LIHEAP: 4 years

9.1.1(b) DOE: 20 years

9.1.2 Caulking

9.1.2(a) LIHEAP: 4 years

9.1.2(b) DOE: 10 years

9.1.3 Cover Plate Gaskets

9.1.3(a) LIHEAP: 20 years

9.1.3(b) DOE: 10 years

9.1.4 Door Replacement

9.1.4(a) LIHEAP: 15 years

9.1.4(b) DOE: 20 years

9.1.5 Door Repair (Including SGDs)

9.1.5(a) LIHEAP: 15 years

9.1.5(b) DOE: 10 years

9.1.6 Glass Replacement

9.1.6(a) LIHEAP: 10 years

9.1.6(b) DOE: 10 years

9.1.7 MER

9.1.7(a) LIHEAP: 4 years

9.1.7(b) DOE: 10 years

9.1.8 SGD Replacement

9.1.8(a) LIHEAP: 15 years

9.1.8(b) DOE: 10 years

9.1.9 Storm Windows

9.1.9(a) LIHEAP: 10 years

9.1.9(b) DOE: 15 years

9.1.10 Vent Covers

9.1.10(a) LIHEAP: 4 years

9.1.10(b) DOE: Not applicable to this measure.

9.1.11 Weatherstripping

9.1.11(a) LIHEAP: 4 years

9.1.11(b) DOE: 10 years

9.1.12 Window Repair

9.1.12(a) LIHEAP: 20 years

9.1.12(b) DOE: 10 years

9.1.13 Window Replacement

9.1.13(a) LIHEAP: 20 years

9.1.13(b) DOE: 20 years

9.1.14 Whole House Air Sealing

9.1.14(a) LIHEAP: Not applicable to this measure.

9.1.14(b) DOE: 10 years

9.2 Restricted Materials

9.2.1 All MER sealing materials shall be used in accordance with safety data sheet instructions, material specifications, and manufacturers' instructions. The following special restrictions also apply:

9.2.2 UL 181 metallic tape shall not be used for any shell sealing purpose in any location (exposed or non-visible).

9.2.3 Foam board may be left exposed only in the attic and crawlspace.

9.2.3(a) Foam board installed in other locations shall be covered in accordance with local codes.

9.2.4 Foam sealant may be used to seal gaps in penetrations (e.g., plumbing and electrical), subject to the following limitations:

9.2.4(a) Gap size and use shall conform with the manufacturer's specifications and local code.

9.2.4(b) Fire-resistant foam (e.g., orange or red) shall be used to seal penetrations in common walls/floors/ceilings between adjacent residences (e.g., multi-unit dwellings).

9.3 General Sealants/Caulking

9.3.1 Select sealants that:

9.3.1(a) Create an adequate air barrier with a weather-appropriate seal.

9.3.1(b) Are durable and pest resistant.

9.3.1(c) Are compatible with the surfaces being sealed and allow for expansion and contraction differentials between dissimilar materials.

9.3.1(d) Will fill to the size of the gap (using backing or in-fill as needed).

9.3.1(e) Comply with temperature limits (thermal and ignition barriers).

9.3.1(e1) Be rated for the operating temperature of the heat-producing devices (HPDs) they touch.

9.3.1(e2) Only fire-resistant materials with an ASTM E136 listing will be used between attached dwelling units, and in contact with HPDs (e.g. chimneys, combustion appliance vents, and non-insulation contact (IC)–rated recessed lights).

9.3.1(e3) High-temperature caulk must be rated for constant service up to at least 450°F (e.g., room-temperature vulcanizing [RTV] red silicone available for service up to 600°F, such as automotive RTV gasket sealant).

9.3.1(f) Meet or exceed expected wind and mechanical pressure loads.

9.3.1(g) For use inside the pressure boundary:

9.3.1(g1) Meet Proposition 65 requirements.

9.3.1(g2) Are low volatile organice compound (VOC) sealants that meet independent testing and verification.

9.3.2 Bond Breaker Tapes

9.3.2(a) Shall be polyethylene, polypropyiene, PTFE, or closed-cell foam, and have self-adhesive backing.

9.3.3 Elastomeric Joint Sealants (e.g., polysulfide, polyurethane, and silicone)

9.3.3(a) Must be compliant with American Society of Testing and Materials (ASTM) C920.

9.3.3(b) Neutral cure (oxime or alkoxy) sealants must be used for masonry applications.

9.3.4 Foam Sealants

9.3.4(a) Must be:

9.3.4(a1) UL-classified and Class A/Class 1 per ASTM E84

9.3.4(a2) Minimally expanding

9.3.4(b) Fire-Resistant Foams

9.3.4(b1) Must be compliant with ASTM E814, UL 1479, or ASTM E84 Class 1.

9.3.4(b2) Firestop or fireblock foam

9.3.4(b3) Usually red or orange in color

9.3.5 Latex Sealant (e.g., latex, acrylic latex, and siliconized acrylic)

9.3.5(a) Must be compliant with ASTM C 834

9.3.6 Solvent-Release Sealant (e.g., acrylic, butyl rubber, and chlorosulfonated polyethylene)

9.3.6(a) Must be compliant with ASTM C 1311

9.4. Specific Applications

9.4.1 Attic Access Cover—Horizontal

9.4.1(a) Cover Material

9.4.1(a1) Field-fabricated access door: Gypsum (drywall), minimum ⅝" thick

9.4.1(a2) Prefabricated access door assembly: Commercially available

9.4.1(b) Framing Material (Joist Blocking)

9.4.1(b1) Same dimension as joist (e.g., 2" x 4" or 2" x 6")

9.4.1(b2) No. 2 hem-fir or better

9.4.1(c) Trim Material

9.4.1(c1) Window/door trim/molding (interior- or exterior-grade)

9.4.1(c2) Adequate thickness and width to attach to ceiling joists and extend into the opening far enough to support the cover (e.g., ⅝" x 3½")

9.4.1(c3) Spackle or wood putty (to cover recessed nails)

9.4.1(d) Attachments

9.4.1(d1) Minimum 3" nails for blocking

9.4.1(d2) Finish nails for attaching trim (long enough to penetrate joist at least ½", e.g., 1⅝" long)

9.4.1(e) Weatherstripping

9.4.1(e1) Open or closed cell foam tape, in accordance with the material specification for weatherstripping

9.4.1(f) Insulation

9.4.1(f1) Flexible or rigid insulation, with an R-value equal to the R-value of insulation on the attic floor

9.4.2 Attic Access Cover—Vertical

9.4.2(a) Cover Material

9.4.2(a1) Gypsum (drywall), minimum ½" thick with plywood backing

9.4.2(a2) Minimum ⅝" plywood (interior- or exterior-grade, CCX or better), for wood-only cover/door

9.4.2(a3) Minimum ½" plywood (interior- or exterior-grade, CDX or better) to serve as backing for gypsum-clad cover/door

9.4.2(b) Framing Material

9.4.2(b1) Same dimension as studs (e.g., 2" x 4")

9.4.2(b2) No. 2 hem-fir or better

9.4.2(c) Trim Material

9.4.2(c1) Window/door trim/molding (interior- or exterior-grade), minimum 2" wide

9.4.2(c2) Spackle or wood putty (to cover recessed nails)

9.4.2(d) Hinges in Firewall Applications

9.4.2(d1) Minimum 3½" x 3½" spring-loaded with adjustable tension

9.4.2(d2) Adequate spring tension to make access cover self-closing

9.4.2(e) Attachments

9.4.2(e1) Minimum 3" nails for blocking

9.4.2(e2) Finish nails for attaching trim (long enough to penetrate the joist at least ½", e.g., 1⅝" long)

9.4.2(e3) Corrosion-resistant screws for hinges

- Sized per hinge manufacturers specifications and
- Long enough to penetrate framing at least ½"

9.4.2(e4) Heavy-duty construction adhesive (to glue plywood to gypsum)

9.4.2(f) Weatherstripping

9.4.2(f1) Open or closed cell foam tape, in accordance with the material specification for weatherstripping or

9.4.2(g) Insulation

9.4.2(g1) Flexible or rigid insulation with an R-value equal to knee walls

9.4.3 Cover Plate Gaskets

9.4.3(a) All gaskets shall be:

9.4.3(a1) Fire-resistant

9.4.3(a2) Pre-cut to fit when the correct size is available

- Rocker-type switches and rectangular receptacles:
  - Gaskets shall have rectangular perforations shaped for those applications (rather than using standard receptacle gaskets with rounded perforations).
    - Closed-cell foam
    - Minimum ⅛" thick

9.4.4 Crawlspace Access Cover—Horizontal (Indoors)

9.4.4(a) Cover Material

9.4.4(a1) Prefabricated access door assembly (commercially available) or

9.4.4(a2) Field-fabricated access door

9.4.4(a3) Substrate of ¾" plywood, CCX or better

9.4.4(a4) Finish lumber: No. 2 or better

9.4.4(b) Framing Material (Joist Blocking)

9.4.4(b1) Same dimension as joist (e.g., 2" x 4" or 2" x 6")

9.4.4(b2) No. 2 hem-fir or better

9.4.4(c) Attachments

9.4.4(c1) Minimum 3" nails for blocking

9.4.4(c2) Corrosion-resistant screws for hinges

9.4.4(c3) Sized in accordance with hinge manufacturer's specifications and

9.4.4(c4) Long enough to penetrate framing at least ⅝"

9.4.4(d) Weatherstripping

9.4.4(d1) Open- or closed-cell foam tape, in accordance with material specification for weatherstripping

9.4.4(e) Insulation

9.4.4(e1) Flexible or rigid insulation with R-value equal to the R-value of the floor insulation

9.4.5 Crawlspace Access Cover—Vertical (Outdoors)

9.4.5(a) Cover Material

9.4.5(a1) Metal

- Screened metal vent (commercially available or shop-fabricated) or
- Solid metal access cover (commercially available or shop-fabricated)
- Metal: Minimum 20-gauge
- Screen: ¼" metal mesh or expanded metal or equivalent

9.4.5(a2) Wood

- Minimum ½" exterior-grade plywood, CCX or better

9.4.5(b) Framing Material (box frame)

9.4.5(b1) Minimum 1" x 2" redwood or pressure-treated fir, no. 2 or better

9.4.5(c) Hinges

9.4.5(c1) Cabinet hinges or better

9.4.5(c2) Corrosion-resistant

9.4.5(d) Latches

9.4.5(d1) Cabinet latches or better

9.4.5(d2) Corrosion-resistant

9.4.5(e) Attachments

9.4.5(e1) Box frame and metal frame

- Concrete nails or corrosion-resistant screws and anchors
- Sized for ½" penetration into concrete

9.4.5(e2) Corrosion-resistant screws for hinges

- Sized in accordance with hinge manufacturer's specifications and
- Long enough to penetrate framing at least ⅝"

9.4.6 Glazing in Doors

9.4.6(a) Safety glass is required except in jalousie windows and windows with panes >3" in width and height.

9.4.6(a1) Polycarbonate may be used in lieu of glass if allowed by local code.

9.4.6(a2) U-factor and solar heat gain coefficient (SHGC) shall comply with Table 32-7.

9.4.6(a3) Safety glazing shall be permanently labeled and installed per the 2013 CRC, §R308.4.

TABLE 32-7: GLAZED DOOR PERFORMANCE REQUIREMENTS

Efficiency Factor	Climate Zone	Maximum Value
U-Factor	All	0.32
SHGC	1, 3, and 5	No requirement
	2 and 6–16	0.25

9.4.7 Door Repair/Replacement Materials

9.4.7(a) Doors—Fire-Resistance

9.4.7(a1) Garage door to living space shall be:

- A 20-minute fire-rated door tested per National Fire Protection Association (NFPA) 252
- Equipped with a self-closing and self-latching device

9.4.7(a2) Entrance doors in multi-family units shall have the fire rating specified by the local jurisdiction.

9.4.7(b) The jamb shall be:

9.4.7(b1) Exterior-grade only

9.4.7(b2) ⅝"-thick stock standard; ¾" minimum

9.4.7(c) Hardware

9.4.7(c1) All door closure system components shall be base models. Ornate or complex lockset materials are not allowed.

9.4.7(c2) A deadbolt is required to have a thumb turn on the interior side. (An interior key deadbolt is not allowed.)

9.4.7(d) Door Jamb Sealant

9.4.7(d1) Injected foam is allowed only if appropriate for the intended use and installed strictly in accordance with the manufacturer's instructions.

9.4.7(e) Nails

9.4.7(e1) Use finishing or casing nails for interior applications.

9.4.7(e2) Use galvanized nails for exterior applications.

9.4.7(f) Shoes, Door Bottoms, and Sweeps

9.4.7(f1) Solid aluminum extrusions

9.4.7(f2) Pliable gasket of vinyl, thermoplastic elastomer (TPE), silicone, or equivalent

9.4.7(f3) Solid aluminum carrier, 0.05" minimum nominal thickness, with elongated mounting holes 9" OC maximum

- Exception: For shoes, a plastic carrier is allowed when standard aluminum will not fit.

9.4.7(f4) Shoes

- A U-shoe is standard; an L-shoe is allowed when a U-shoe will not fit.
- Shall have rain drip in exposed outdoor locations

9.4.7(f5) A tall (e.g., 3"-high) U-shoe may be used when the door bottom is cut too short or is too worn/weak to accept a standard (1½"-high) U-shoe.

9.4.7(f6) Stationary sweeps shall have a pliable gasket of vinyl or silicone.

9.4.7(f7) Automatic door bottom

- Retractable type only; a flip sweep is not allowed

9.4.7(f8) Metal saddle threshold

- Solid aluminum only; a "gasket saddle" with a vinyl top gasket is not allowed
- Shall have a floor-sealer gasket of vinyl, TPE, silicone, or equivalent

9.4.7(f9) Wooden saddle threshold

- Hardwood only; a "gasket saddle" with a vinyl top gasket is not allowed

9.4.7(f10) Bumper threshold

- Solid aluminum with bumper gasket of vinyl, TPE, silicone, or equivalent

9.4.7(g) Threshold Risers

9.4.7(g1) Risers shall be made of material that matches the threshold (aluminum or hardwood).

9.4.7(g2) Screws (minimum three per riser) must be compatible with threshold materials.

9.4.7(h) Threshold Shim/Elevator Materials

9.4.7(h1) Non-wood: Aluminum and plastic (e.g., vinyl)

9.4.7(h2) Solid wood: Redwood, cedar, pressure-treated fir, or solid hardwood (degradation-resistant and exterior-grade)

9.4.8 Exterior Doors

9.4.8(a) Doors shall comply with the fire-resistance requirements of local code (e.g., 2016 CRC Section R337.8).

9.4.8(b) When equipped with glass, the door shall be equipped with safety glass unless the pane is <3" in height or width

9.4.8(c) Replacement doors shall be limited to standard solid core slab or panel doors. (No ornate design, stained glass, decorative windows, etc., is allowed unless required by the State Historical Preservation Office and approved by weatherization waiver.)

9.4.8(d) Dimensions

9.4.8(d1) A 1¾" door is required when jambs are replaced.

9.4.8(d2) A 1⅜" door is allowed when jabs are not replaced and a 1¾" door will not fit.

9.4.8(e) Composition

9.4.8(e1) Non-metallic veneer: Minimum ⅛" thick with exterior-grade glue

9.4.8(e2) Core:

- Wood doors must be solid core.
- Metal doors must have a minimum R-6 insulated core.

9.4.8(f) Finish/Sealer

9.4.8(f1) All doors, including those that are cut to fit on-site, will be sealed (painted or primed) to prevent moisture intrusion.

9.4.8(f2) Pre-hung doors will be factory-sealed (primed or painted).

9.4.8(f3) Wood Doors

- Acceptable sealers are paint, urethane, and varnish.
  - Clear "water seal" products are not allowed.

9.4.8(f4) Metal doors

- Acceptable sealers are oil-based or epoxy paint only.

9.4.8(f5) Jamb and casing/trim

- Acceptable sealers are paint, urethane, and varnish.
  - Clear "water seal" products not allowed.
  - Exterior-grade material must be used in exterior locations.

9.4.8(g) Hinges

9.4.8(g1) Hinges shall:

- Conform to American National Standards Institute (ANSI)/Builders Hardware Manufacturers Association (BHMA) A156.1
- Be constructed of brass or stainless steel, minimum 0.120" thick
- Be loose-pin type unless mounted toward the exterior
- Be fixed-pin type when mounted toward the exterior
  - A fixed pin is not required on the middle hinge.

9.4.8(g2) 1⅜" doors require a minimum hinge size of 3½" x 3½".

9.4.8(g3) 1¾" doors require a minimum hinge size of 4" x 4".

9.4.8(g4) Hinges in firewall applications

- Minimum 3½" x 3½" spring-loaded with adjustable tension
- Adequate spring tension to make access cover self-closing

9.4.8(h) Screws to Attach Hinges

9.4.8(h1) Wood and metal jambs: Brass or stainless steel flathead screws or as specified/ supplied by manufacturer

9.4.8(h2) Pre-hung units and replacement jambs: Screws shall penetrate the trimmer stud at least ⅝".

9.4.9 Interior/Appliance Enclosure Doors and Hardware

9.4.9(a) Interior-grade, hinged, hollow-core, and louvered doors are allowed (e.g., for appliance enclosures and communication between rooms for combustion ventilation air).

9.4.9(b) Thickness: 1⅜" or 1¾"

9.4.9(c) Veneer: Minimum ⅛" thick

9.4.9(d) Hinges

9.4.9(d1) Two or three hinges (three hinges for solid wood or solid core)

9.4.9(d2) Constructed of brass or stainless steel

9.4.9(d3) Conforming with ANSI/BHMA A156.1

9.4.9(d4) Minimum hinge size: 3½" x 3½" and 0.120" thick.

9.4.9(e) Screws for hinges: Brass or stainless steel flathead screws

9.4.10 Mobile Home Swinging Exterior Replacement Doors

9.4.10(a) Doors must have:

9.4.10(a1) Rigid stiles and rails (e.g., channel steel and/or wood)

9.4.10(a2) Permanently finished skin (e.g., fiberglass or vinyl-clad metal)

9.4.10(b) Out-Swinging Doors

9.4.10(b1) Must be pre-hung entrance doors manufactured for mobile homes

9.4.10(b2) Must have a flanged metal frame (jambs, header, and sill) with integral weather seals (e.g., extruded flap vinyl, bulb seal, etc.)

9.4.10(c) In-Swinging "House-Type" Doors

9.4.10(c1) Material and installation criteria for house-type doors installed in mobile homes are the same as those for conventional entrance doors.

9.4.10(c2) The door blank may be installed independently if feasible.

9.4.10(c3) A pre-hung unit may be installed when it is the best option.

9.4.11 Fireplace Chimney Damper

9.4.11(a) Factory-Built (Zero Clearance) Fireplaces

9.4.11(a1) Repair or replacement parts shall be specified by the fireplace manufacturer.

9.4.11(b) Masonry Fireplaces

9.4.11(b1) Commercially available top-sealing (chimney top) dampers

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9.4.11(b2) Sized to fit the chimney termination

9.4.11(b3) Controllable from indoors (e.g., with a control cable inside the fireplace)

9.4.12 Fireplace Glass Doors

9.4.12(a) All glass doors shall:

9.4.12(a1) Fit the smallest dimensions of the fireplace opening

9.4.12(a2) Seal against the fireplace surface (e.g., with gasket or strips of fiberglass insulation)

9.4.12(a3) Meet the requirements listed below based on fireplace type

9.4.12(b) Factory-Built (Zero Clearance) Fireplaces

9.4.12(b1) Commercially available glass doors

9.4.12(b2) Designed for use with zero clearance fireplaces

9.4.12(b3) Sized and shaped to fit against and seal off the fireplace opening

9.4.12(c) Masonry Fireplaces

9.4.12(c1) Commercially available glass doors

9.4.12(c2) Designed for use with masonry fireplaces

9.4.12(c3) Sized and shaped to fit against and seal off the fireplace opening

9.4.13 Wall or Shell Patching

9.4.13(a) Mesh Plumbing Patches

9.4.13(a1) 28–30-gauge non-corrosive metal with self-adhesive backing

9.4.13(a2) Backing shall be a strong pressure-sensitive adhesive film

9.4.13(a3) Backing shall be reinforced with fiberglass mesh or equivalent

9.4.13(a4) Patches shall be cut to fit snugly around pipes (e.g., pre-cut for installation around 2", 1½", ¾", and ½" pipes)

9.4.13(b) Finishing Compound

9.4.13(b1) Lightweight, non-shrinking spackling compound or

9.4.13(b2) Drywall joint compound or equivalent

9.4.13(c) Sheet Metal

9.4.13(c1) Aluminum or galvanized sheet metal; minimum thickness 0.007"

9.4.13(d) Radiant Barrier Material

9.4.13(d1) Commercially available foil/bubble/foil

9.4.13(d2) Class A/Class 1, minimum thickness 5⁄16"

9.4.13(e) Foam Board

9.4.13(e1) Polyisocyanurate foil–clad on both sides, ASTM C 1289 or Federal Standard (FS) HH-I-1972

9.4.14 Weatherstripping

9.4.14(a) Rigid gasket jamb materials (aluminum carrier)

9.4.14(a1) Solid extruded aluminum carrier, 0.05" minimum nominal thickness

9.4.14(a2) Pliable gasket of vinyl, TPE, silicone, or equivalent

9.4.14(a3) The carrier shall have elongated mounting holes, 9" OC maximum

9.4.14(a4) The secondary seal between the carrier and the mounting surface shall be a minimum of ⅛" wide and extend the full length of the carrier

9.4.14(b) Spring and Cushion Metal

9.4.14(b1) Brass, bronze, or stainless steel only; aluminum is not allowed

9.4.14(c) Cushion Synthetic Pressure-Sensitive Door Gaskets

9.4.14(c1) Polypropylene, TPE, silicone, or equivalent

9.4.14(c2) L-shaped stabilizer with self-adhesive backing

9.4.14(d) Flanged bulb (Compression Bulb)

9.4.14(d1) Pliable gasket of TPE or silicone (e.g., teardrop-shaped seal)

9.4.14(d2) Minimum ⅜" wide with self-adhesive stabilizer flange

9.4.14(e) Round Tube

9.4.14(e1) Pliable gasket of TPE, silicone, or equivalent

9.4.14(f) Foam Tape

9.4.14(f1) The color shall be compatible with the surrounding materials (e.g., light-color foam for light-color surfaces).

9.4.14(f2) Closed-cell foam tape shall be UV-resistant with self-adhesive backing.

9.4.14(f3) Open-cell foam tape shall have self-adhesive backing.

9.4.14(g) V-Shape Fin Seal

9.4.14(g1) Durable V-seal of silicone or equivalent material, with stabilizer flange and adhesive backing. (This is different from a vinyl V-strip.)

9.4.14(h) Replacement Kerf-In Bulb and Foam

9.4.14(h1) Properly sized for the retaining channel

9.4.14(i) Replacement Pile

9.4.14(i1) Fin seal type whenever feasible

9.4.14(i2) Properly sized for the retaining channel

9.4.14(j) Corner Pads

9.4.14(j1) Pile pad shall have self-adhesive backing

9.4.14(k) Mechanical Attachments

9.4.14(k1) All screws, nails, staples, and other fasteners shall be:

- Non-corrosive metal
- Properly sized for each application

9.4.14(l) Pressure-Sensitive Adhesive

9.4.14(l1) Minimum adhesion strength of 65 ounces per inch on all self-adhesive products

9.4.14(l2) Required on all self-adhesive products

9.4.15 Window Repair

9.4.15(a) Replacement glass will be sized to the original width, height, and depth and comply with Table 32-8.

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TABLE 32-8: MATERIALS REQUIREMENTS BY GLASS TYPE AND HOME TYPE

Glass Type	Maximum Pane Size	
	Conventional Home*	Mobile Home
Single-strength (SS): Allowed when double-strength glass is too thick for the frame	16 sq. ft.	11 sq. ft.
Double-strength (DS): Recommended to replace single-strength glass when the frame thickness is adequate	24 sq. ft.	15 sq. ft.
3/16" Plate Glass	45 sq. ft.	30 sq. ft.
1/4" Plate Glass	65 sq. ft.	43 sq. ft.
Heat-Strengthened Glass	SS: 32 sq. ft. DS: 48 sq. ft. 3/16" plate: 90 sq. ft. 1/4" plate: 130 sq. ft.	SS: 22 sq. ft. DS: 30 sq. ft. 3/16" plate: 60 sq. ft. 1/4" plate: 86 sq. ft.
Fully Tempered Glass	SS: 64 sq. ft. DS: 96 sq. ft. 3/16" plate: 180 sq. ft. 1/4" plate: 260 sq. ft.	SS: 44 sq. ft. DS: 60 sq. ft. 3/16" plate: 120 sq. ft. 1/4" plate: 172 sq. ft.
*The listed glass sizing criteria are for installation in conventional home locations with low design pressure. For code requirements applicable to other locations, see chapter 24 of the current California Building Code or consult the local building department.		

9.4.15(b) Plastic Window Materials

9.4.15(b1) All panes must be ultraviolet-treated polycarbonate, minimum 1/8" thick.

9.4.15(b2) All sheeting must have sufficient rigidity to prevent bowing after installation.

9.4.15(b3) Acrylic sheets and plastic film are not allowed.

9.4.15(c) Jalousie Windows

9.4.15(c1) Minimum 3/16" glass will be installed.

9.4.15(c2) Maximum pane length will be 48".

9.4.15(c3) All attachment clips must be present.

9.4.15(c4) Regular, patterned, frosted, tempered, and heat-strengthened glass is allowed.

9.4.15(c5) Wired, laminated, and sandblasted glass is not allowed.

9.4.15(d) Safety glass must be:

9.4.15(d1) Compliant with ANSI Z97.1

9.4.15(d2) Permanently labeled per the current CRC

9.4.15(e) Glass Quality

9.4.15(e1) The quality of the replacement glass will equal or exceed that of the existing glass.

9.4.15(f) Wood Casing/Trim

9.4.15(f1) Use exterior-grade casing/trim in exterior locations.

9.4.15(f2) Paint-grade casing/trim is acceptable unless the existing jamb has a natural finish.

10. WARRANTY

10.1 Manufacturer—One year on all products except as specified by the manufacturer or unless otherwise specified below

10.1.1 Caulk—10 years

10.1.2 Weatherstripping—3 years

10.2 Contractor—1 year

33. Windows & Sliding Glass Doors

Table of Contents

1. **MEASURE OBJECTIVES** **33-1**

2. **INSTALL THIS MEASURE WHEN:** **33-1**
   - 2.1. Repair 33-1
   - 2.2. Install 33-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **33-1**

4. **INSTALLATION GUIDELINES** **33-1**
   - 4.1. General Requirements 33-1
     - *4.1.3 Safety Glass* *33-1*
     - *4.1.4 Egress Requirement* *33-2*
   - 4.2. Installation Procedure 33-2
     - *4.2.9 Retrofit Replacement Window into an Existing Frame* *33-2*
       - 4.2.9(c) Preparation of the opening 33-2
       - 4.2.9(d) Window installation 33-3
     - *4.2.10 Full-Frame Replacement Windows (Existing Frame Removed)* *33-4*
       - 4.2.10(b) Preparation of the opening 33-4
       - 4.2.10(c) Additional preparation of the opening for an SGD 33-4
       - 4.2.10(d) Full-frame replacement window and SGD installation 33-4
     - *4.2.11 Window Sealing* *33-6*
       - 4.2.11(a) Exterior sealing 33-6
       - 4.2.11(b) Wood frame sealing materials 33-7
       - 4.2.11(c) Interior sealing 33-7
     - *4.2.12 Casing/Trim* *33-7*
       - 4.2.12(b) Wood casing/trim 33-7

5. **MOBILE HOME–SPECIFIC** **33-7**
   - 5.1. Installation Requirements 33-7

6. **MULTI-FAMILY–SPECIFIC** **33-8**
   - 6.1. Installation Requirements 33-8

7. **DOE-SPECIFIC** **33-9**
   - 7.1. Assessment Requirements 33-9
   - 7.2. Installation Requirements 33-9

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8. POST-INSTALLATION GUIDELINES 33-9

8.1. Quality Check 33-9

8.2. Client Education 33-10

8.3. Clean-Up and Disposal Requirements 33-10

9. MATERIAL SPECIFICATIONS 33-10

10. WARRANTY 33-11

Windows & Sliding Glass Doors

1. MEASURE OBJECTIVES

1.1 New windows reduce solar heat gain, thermal transmission, and air infiltration.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable for this measure. See Section 32 Infiltration Reduction.

2.2. Install

2.2.1 The window or sliding glass door (SGD) separates a conditioned space from an unconditioned space and

2.2.2 Energy Efficiency Upgrade for the window or SGD has a savings-to-investment ratio (SIR) ≥1.0 as proven by an energy audit or

2.2.3 An individual window or SGD is documented to meet the CSD definition for catastrophic leakage per Appendix C Shell Leakage Test Protocol

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The window frame or glass can be repaired rather than replaced under Section 32 Infiltration Reduction

3.2 One or more of the following conditions exist and cannot be corrected within the program scope, which limits the home to non-infiltration measures only (the home is NIM):

3.2.1 A non-correctable environmental or combustion appliance safety (CAS) hazard or CAS fail exists under Appendix E Health and Safety Requirements, Environmental Hazards, or Appendix A Combustion Appliance Safety Protocol

3.2.2 Mechanical ventilation assessment/installation is required by contract but cannot be installed

3.2.3 The dwelling envelope is damaged or deteriorated, or the home is being remodeled, and the thermal boundary is incomplete beyond small infiltration gaps and cracks

3.3 Catastrophic leakage cannot be proven and documented, per Appendix C Shell Leakage Testing Protocol

3.4 Installation would violate the Appendix E Health and Safety Requirements

3.5 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 To prove catastrophic leakage, measurements and calculations of gap size for an individual window or SGD must be provided on the CSD 540 Dwelling Assessment Form.

4.1.2 Audited Measures

4.1.2(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded, it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.2(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.3 Safety Glass

4.1.3(a) See Section 1 General Installation Guidelines, Safety Glass in Windows and Doors.

4.1.4 Egress Requirement

4.1.4(a) See Section 1 General Installation Guidelines, Window Egress (Conventional Homes).

4.2. Installation Procedure

4.2.1 The type of window replacement depends on the existing materials and an evaluation of the condition of the existing window (sash, jamb, sill, framing, etc.).

4.2.2 Installation procedures vary depending on the window replacement type.

4.2.3 When appropriate, masking tape or register film will be applied to existing broken panes to stabilize broken pieces and prevent them from falling out of the sash/frame during removal.

4.2.4 All mounting surfaces and contact areas must be smooth, clean, and free of protrusions.

4.2.5 The seal between the fixed components of the window (e.g., jambs, sill, exterior stops) will be continuous and complete while maintaining the operability of the window.

4.2.6 Windows shall be installed:

4.2.6(a) Plumb, level, and square with the sash edge parallel to the frame edge

4.2.6(b) With interior and exterior trim that provides a barrier to water and air infiltration and a finished appearance

4.2.7 Windows and doors will be adjusted to properly fit the jamb and allow for ease of operation and security.

4.2.8 Sash replacement (one or multiple window sashes replaced in an existing window frame)

4.2.8(a) Replace decayed or deteriorated sashes if a complete replacement window is not installed.

4.2.8(b) Existing weatherstripping and sash sealant will be removed.

4.2.8(c) Springs and sash weight systems must operate properly after sash replacement.

4.2.8(d) The lower sash must have the same bevel on the bottom rail as the sill.

4.2.8(e) The sash must be water-sealed and primed to prevent moisture intrusion.

4.2.8(f) The surface where the sill meets the sash will be cleaned.

4.2.8(g) Continuous and complete weatherstripping will be installed on the bottom of the lower sash where it makes contact with the sill and at the top of the upper sash where it makes contact with the upper part of the window frame.

4.2.8(h) Stops will be installed to keep the window securely in place and adjusted to eliminate visible gaps between the stops and the jamb while maintaining operability of the window.

4.2.8(i) Sash locks shall be installed and adjusted so that the rails of the upper and lower sashes are flush and in full contact with no visible gaps.

4.2.9 Retrofit Replacement Window into an Existing Frame

4.2.9(a) "Box frame" windows (also known as "insert" or "pocket replacement" windows) can be installed into an existing window frame when the frame and sill are structurally sound and no moisture damage or rot is evident.

4.2.9(a1) Interior and exterior trim/casing usually will not be disturbed.

4.2.9(b) "Flush fin" windows are similar to box frame windows except they have an exterior flange that conceals the perimeter of the existing window opening and trim. This type of window is typically used when replacing metal frame windows. New interior trim/ casing is usually required.

4.2.9(c) Preparation of the opening

4.2.9(c1) All frames

- All existing components associated with the installation must be structurally sound.
- Water penetration points must be sealed.

- All necessary repairs shall be made to facilitate the installation of the replacement unit.

4.2.9(c2) Wood frames

- Remove and repair any decayed material and clean the opening before the new window is installed.
- The existing frame must be securely attached in the rough opening.

4.2.9(c3) Metal frames

- Remove sashes, screens, and hardware from the frame (Fig. 33-1).
- The maximum rough opening should be maintained by cutting away the metal frame as needed. See Section 1 General Installation Guidelines, Window Egress (Conventional Homes).
- Remove or correct any burrs, sharp corners and edges, and other such hazards.

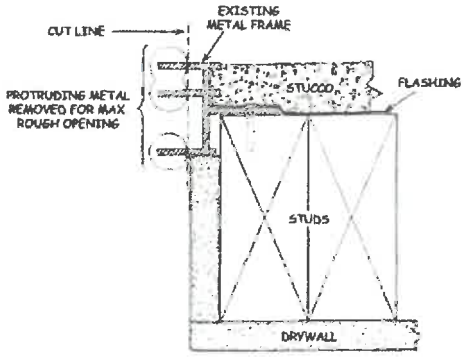

FIG. 33-1: METAL WINDOW FRAME INSTALLATION

4.2.9(d) Window installation

4.2.9(d1) Bottom support

- The sill jamb of the replacement window must not rest directly on anything that would cause damage (e.g., the sharp edge of the original aluminum frame).

4.2.9(d2) Clearances

- Between the window and the rough opening, ensure side and top clearances conform to the manufacturer's specifications.
- Between the exterior of the window and the siding, provide clearances as specified by the manufacturer and fill spaces with caulk.

4.2.9(d3) Attachment

- Do not anchor the top to the header unless prescribed by the manufacturer.
- When large windows must be secured at the top, allowance must be made for flexing and sagging of the header.
- Anchors must be corrosion-resistant and compatible with the materials they contact/penetrate.
- Screws must penetrate solid wood at least ⅝".
- Anchors for vinyl windows must be placed at least 10" from corners or per manufacturer instructions.
- Installing flush fin retrofit windows (Fig. 33-2)
  - Install the fin over the exterior surface (e.g. stucco, siding).
  - Anchor the frame to the structural framing with non-corrosive #8 or larger screws.
  - Do not:
    - Place screws in the fin
    - Attach the retrofit frame to the old window frame

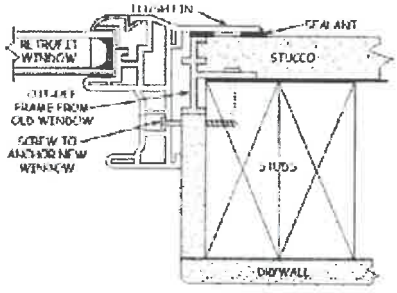

FIG. 33-2: FLUSH FIN WINDOW INSTALLATION

4.2.9(d4) Closure at the bottom (Fig. 33-3)

- The beveled sill will be flush with the interior wall and sloped to the exterior.
- Install a step sill, step extender, or equivalent when the gap between the existing sill and the new sill jamb exceeds ¼".

- Seal the bottom of the unit except for small gap(s) near the center (for drainage).

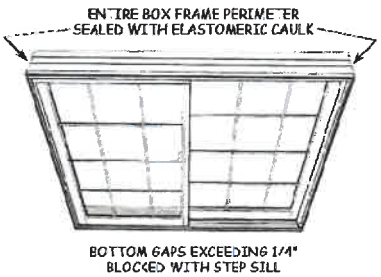

FIG. 33-3: BOX FRAME WINDOW BOTTOM CLOSURE

4.2.9(d5) Buildout (jamb extension)

- Extend (build out) the window frame when it is narrower than the wall thickness.
- Buildout material must be compatible with the frame material and be finished to match the frame.

4.2.10 Full-Frame Replacement Windows (Existing Frame Removed)

4.2.10(a) When the existing window frame, jamb, sill, and/or rough framing show signs of water leaks, rot, or other damage, the entire window unit must be removed down to the rough opening. A complete window assembly is installed, including new window frame, sill, and nailing fin for attachment of the window unit to the framing. New interior and exterior trim/casing is required.

4.2.10(b) Preparation of the opening

4.2.10(b1) Remove the old window frame and all obstructions, such as nailing fins, nails, stops, pulleys, and hardware, from the rough opening, that will prevent proper installation.

4.2.10(b2) Remove the exterior trim or cut back the exterior siding to fit the new window frame and trim. Replace all decayed material to ensure the framing is structurally sound.

4.2.10(c) Additional preparation of the opening for an SGD

4.2.10(c1) Remove the existing door frame, anchors, and sealant.

4.2.10(c2) The opening must be structurally sound, square, plumb, and level.

- Seal water penetration points.
- Provide sound anchorage for the replacement unit.
- Ensure the floor is structurally adequate to properly support the replacement sill in a level condition.

4.2.10(c3) The tread under the door or landing surface must be no less than 9" in depth (Fig. 33-4).

4.2.10(c4) Insulate gaps between the door frame and the rough opening with mineral fiber or backer rod.

- If minimally expanding foam is used, it must be installed properly to avoid warping the frame.

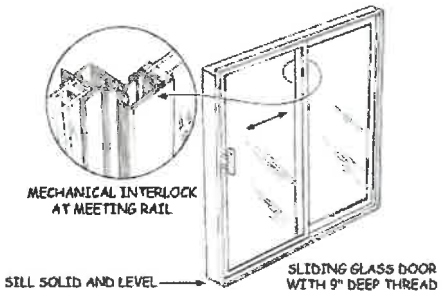

FIG. 33-4: SGD ATTRIBUTES

4.2.10(c5) The threshold will be installed a maximum height of 1" above the interior floor surface.

- When the occupant is physically handicapped, extend the threshold above the interior finished floor surface a maximum of ½".

4.2.10(d) Full-frame replacement window and SGD installation

4.2.10(d1) The mounting detail will be determined based on the depth of the window and the location of the window liner.

4.2.10(d2) Shims

- Install shims as required to:
  - Ensure square installation and proper operation of sashes
  - Minimize distortion or rotation of the frame or sill
- The sill jamb must be uniformly supported with doubled shims (Fig. 33-5).
  - Double-up tapered shims (one on top of the other, facing in opposite directions).

- Shims used to establish spacing at anchor points must be:
  - Penetrated by the anchor
  - Trimmed as needed but not removed
- Temporary shims in other locations can be removed after the window is securely anchored (Fig. 33-6).

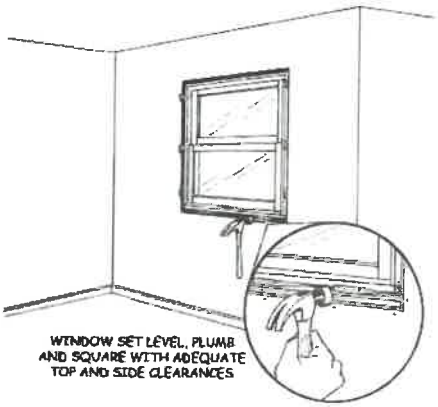

FIG. 33-5: INSTALLING SHIMS TO MAINTAIN REQUIRED CLEARANCE

4.2.10(d3) Clearances

- Between the window and the rough opening, ensure side and top clearances conform to the manufacturer's specifications.
- Between the exterior of the window and the siding, provide clearances as specified by the manufacturer and fill spaces with caulk.

4.2.10(d4) Attachment

- Do not anchor the top to the header unless prescribed by the manufacturer.
- When large windows must be secured at the top, allowance must be made for flexing and sagging of the header.
- Anchors
  - Anchors must be corrosion-resistant and compatible with the materials they contact/penetrate.
  - Nails must penetrate solid wood at least ¾".
  - Screws must penetrate solid wood at least ⅝".
  - Anchors for vinyl windows must be placed at least 10" from corners or per the manufacturer.

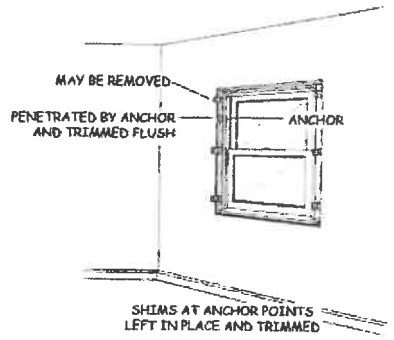

FIG. 33-6: SHIM INSTALLATION AT ANCHOR POINTS

4.2.10(d5) Flashing and drip cap

- Install flashing per the window manufacturer's instructions (Fig. 33-7):
  - When the fins are attached directly to the sheathing or framing
  - When the windows are not secured by fins, but the existing flashing is damaged
- Install a drip cap when recommended by the window manufacturer to direct rain water away from the top of the window.

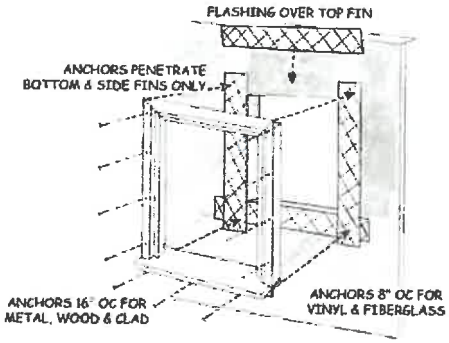

FIG. 33-7: ATTACHMENT AND FLASHING REQUIREMENTS FOR FULL-FRAME REPLACEMENT WINDOWS

4.2.10(d6) Cavity insulation

- Insulate open cavities between the rough framing and the window jamb (Fig. 33-8).
  - Exception: Do not insulate cavities where window weights are being utilized.

4.2.10(d7) Additional procedures—SGDs

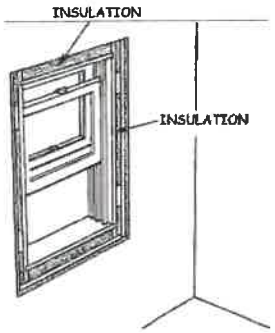

FIG. 33-8: CAVITY INSULATION

- Header, jambs, and sill
  - The jambs and header must be flashed and sealed as prescribed for the SGD replacement type.
  - Protect aluminum sills from contact with corrosives such as concrete, stucco, and steel (e.g., with sill pan or wood).
  - Support the sill (e.g., with shims or solid wood) to prevent sagging or twisting during door operation.
  - Apply two continuous, parallel, ⅜" nominal beads of elastomeric sealant to the entire length of the rough sill and 6" up each jamb into which the door sill or the sill pan is set.
  - When the door is set into a sill pan, apply a continuous sealant bead along the upturned leg of the sill pan. Also apply a bead of sealant near the front of the pan where the door sill makes contact, leaving gaps in the bead for water to escape.
- Install the door square, level, and plumb and secure it through pre-drilled holes placed 3"–10" from each corner and 16" on center (OC) or as prescribed by the manufacturer.
- Flanged SGDs
  - Position the replacement mounting flange to cover holes created by the pre-existing door.
  - Apply elastomeric caulk or non-hardening sealant/putty tape to the back of the mounting flange.
  - The sill must rest on the floor or have solid support from jamb to jamb.
  - Center the unit side-to-side in the opening, with the sides plumb and the frame square.
  - Securely anchor the flange with screws spaced in accordance with the manufacturer's instructions.

4.2.11 Window Sealing

4.2.11(a) Exterior sealing

4.2.11(a1) Seal windows and SGDs with elastomeric caulk.

4.2.11(a2) Seal any holes in frame left by abandoned hardware.

4.2.11(a3) Cracks wider than ⅝" must be repaired, not caulked.

4.2.11(a4) Before caulking, fill cracks ¼"–⅝" wide to within ½" of the surface with closed cell polyethylene rod or mineral fiber insulation.

4.2.11(a5) Dissimilar metals must be separated from each other with a non-conductive tape, coating, or sealant material.

4.2.11(a6) Flanged windows

- Caulk the window flange or frame perimeter to ensure a watertight seal.

4.2.11(a7) Block frame windows

- Caulk the entire exterior perimeter to ensure a watertight seal.

4.2.11(a8) Under fins

- Place a generous bead of caulk between the fins and the mounting surface.
- Ensure the sealant bead is continuous except for small gap(s) near the center of the bottom fin (for drainage).

4.2.11(a9) Around the casing perimeter

- Caulk the joint (gap) where the casing and siding meet except for small gap(s) near the center of the bottom trim (for drainage).

4.2.11 (a10) Between the window frame and the siding (no casing)

- Caulk the seam (gap) between the frame and the siding.

4.2.11 (b) Wood frame sealing materials

4.2.11 (b1) Prime all bare wood on the exterior per manufacturer's instructions and industry standards to prevent moisture damage (Fig. 33-9).

4.2.11 (b2) Lap the finish coat 1/16" onto the glass for a proper moisture seal.

4.2.11 (b3) Do not apply paint to weatherstripping, vinyl, plastic, and other non-wood parts unless specifically allowed by the manufacturer.

4.2.11 (b4) Acceptable sealers are paint, urethane, and varnish.

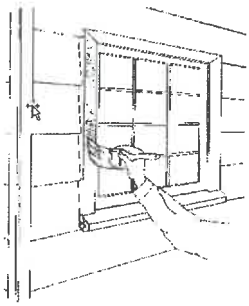

FIG. 33-9: PAINT OR PRIME ALL BARE WOOD ON EXTERIOR FRAME

4.2.11 (b5) Exterior-grade material (e.g., high-quality oil-based or latex paint) is required in exterior locations.

4.2.11 (c) Interior sealing

4.2.11 (c1) Seal the gap between the window frame and the rough opening with elastomeric caulk.

4.2.11 (c2) Sealant must be applied before the casing/trim is installed and may also be applied around the outside of the casing/trim.

4.2.11 (c3) Wood frame sealing materials

- Prime or stain interior surfaces in accordance with manufacturer instructions.

4.2.12 Casing/Trim

4.2.12 (a) Install sealant on the interior and exterior of all units (except on flush fin retrofit windows) (Fig. 33-10).

4.2.12 (b) Wood casing/trim

4.2.12 (b1) Paint-grade sealant is acceptable unless the existing jamb has a natural finish.

4.2.12 (b2) Exterior-grade sealant is required in all exterior locations.

4.2.12 (b3) The existing casing and miters must be matched.

4.2.12 (b4) Nails

- Finishing or casing nails are required for interior applications.
- Galvanized casing nails are required for exterior applications.

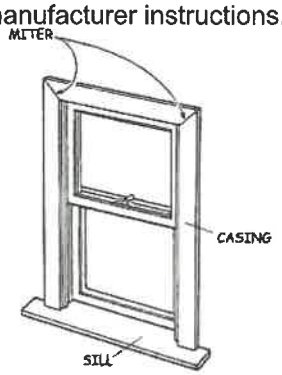

FIG. 33-10: CASING/TRIM

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation of windows and SGDs in mobile homes is the same as conventional homes except as specified below.

5.1.1 (a) Windows shall not be installed in mobile homes when:

5.1.1 (a1) Window or SGD replacement requires removal of siding

5.1.1 (a2) An open combustion gas-burning space heater or water heater that draws combustion air from the living space is present

5.1.1 (a3) An open combustion solid-fuel burning space heater (i.e., fireplace, insert, wood stove) that draws combustion air from the living space is present

- Exception: Pressure diagnostics and infiltration-reduction measures will be allowed when:
  - Pressure measurement shows the combustion appliance zone (CAZ) of each appliance is less negative than the house depressurization limit (HDL) and
  - Installed measures do not depressurize the CAZ beyond the HDL.
    - See procedures described in Appendix A Combustion Appliance Safety Protocol.

5.1.1 (b) Mobile Home Egress Windows

5.1.1 (b1) See Section 1 General Installation Guidelines, Window Egress (Mobile Homes).

5.1.1 (b2) Screws anchoring into the framing structure of the mobile home must penetrate wood at least ¾".

5.1.1 (b3) Attachment of flanged windows (Fig. 33-11)

- Place screws within 4" of each corner.
- For metal frames:
  - Place additional screws a maximum of 12" apart.
  - Use a minimum of three screws on each side exceeding 18" in length.
- For vinyl frames:
  - Place additional screws a maximum of 8" apart.
  - Use a minimum of three screws on each side exceeding 14" in length.

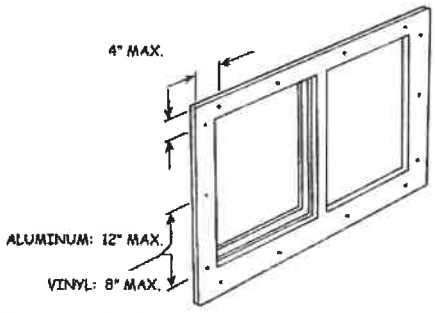

FIG. 33-11: ATTACHMENT OF FLANGED WINDOWS

5.1.1 (b4) Attachment of box frame windows (no flange)

- Secure the window in place with screws and/or stops fastened to the rough opening.
- Install screws perpendicular to the window frame.
  - Do not angle screws to pull the window into the rough opening.
- Install flashing at the top of the window.
- Install drip cap in all locations not protected by an awning or porch.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family buildings are the same as those for conventional homes except as specified below.

6.1.1 (a) Window or SGD Energy Efficiency Upgrades are not allowed for individual units in a multi-family building.

6.1.1 (b) Replacement of an individual window or SGD for catastrophic leakage in an individual unit in a multi-family building will only be allowed under LIHEAP.

6.1.2 Whole-building window or SGD Energy Efficiency Upgrades must be justified in an energy audit with an SIR ≥1.0 per Appendix D Energy Audit/Priority List Protocol.

6.1.3 Common area installations (e.g., in a lobby, waiting area, entertainment room, etc. within the same thermal boundary as dwelling units) are allowed when justified by energy audit for a whole-building project per Appendix D Energy Audit/Priority List Protocol.

6.1.3 (a) Common area installation is not allowed when only an individual unit in a multi-family building will be served.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 Window/SGD repair is only allowed when justified as an incidental repair.

7.1.2 Window/SGD replacement shall not be performed as an infiltration reduction measure.

7.1.3 To install this measure with DOE funding as an energy efficiency upgrade, use of the Priority List (PL) or a site-specific energy audit is required, or it may be justified as an incidental repair.

7.1.3(a) Window repair/replacement to correct catastrophic leakage is not allowed.

7.1.4 This measure may be a DOE Audit path, audit driven measure, or Priority List path, Optional measure.

7.1.5 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.6 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.6(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.7 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.8 To assess for this measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.8(a) The form will determine if the measure will be installed in the Audit path or the PL path.

7.1.8(b) When assessing for this measure for the Audit path, measure feasibility will be decided by the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.8(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.8(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.8(c2) This measure shall be applied to the PL only in mobile homes with propane or oil-fired primary heat. It shall not apply for other building types.

7.1.8(c3) If an energy conservation measure is not present on the PL for a specific building type, a site-specific energy audit with all feasible measures shall be conducted.

7.1.9 If a client refuses a feasible Major Audit path measure, Mandatory Priority List path measure, or Health & Safety measure, the entire dwelling shall be deferred.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Perform post-installation CAS testing of open-combustion appliances that draw combustion air from the living space. See Appendix A Combustion Appliance Safety Protocol.

8.1.2 Window and SGD units shall operate smoothly.

8.1.3 The frame shall be square so sashes/panels close properly at all corners and edges (Fig. 33-12).

8.1.4 Interlocks and latches must function properly.

8.1.5 Clean all replacement window and SGD glass inside and out.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Remove all replaced windows, SGDs, broken glass, debris, and miscellaneous parts from the property.

8.3.1(a) Wrap old sash and any removed materials in plastic and dispose of them off-site in a manner that is compliant with local, state, and federal regulation.

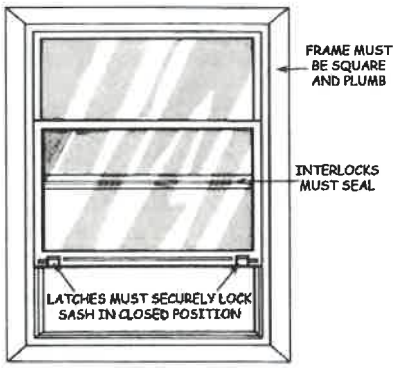

FIG. 33-12: POST-INSTALLATION QUALITY CHECK

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 20 years

9.1.2 DOE: 20 years

9.2 All replacement window and SGD materials shall be:

9.2.1 ENERGY STAR®–certified

9.2.2 Compliant with local code and bear an National Fenestration Rating Council (NFRC) temporary label

9.2.3 Compliant with the warranty requirements below

9.2.4 Compliant with the following Title 24 energy efficiency standards:

9.2.4(a) U-Factor in all California Energy Commission (CEC) climate zones: Maximum 0.30

9.2.4(b) Solar heat gain coefficient:

9.2.4(b1) CEC climate zones 1, 3, 5, 16: No requirement

9.2.4(b2) CEC climate zones 2, 4, 6–15: Maximum 0.23

9.2.5 Selected by type in accordance with Table 33-1:

TABLE 33-1: REPLACEMENT WINDOWS BY TYPE

Existing Window Type	Replacement Window Type
Horizontal slider	Horizontal slider
Vertical slider	Vertical or horizontal slider
Picture window	Picture or sliding window
Jalousie window	Vertical or horizontal slider

9.3 Mobile home windows and SGDs shall be designed for manufactured home use.

9.3.1 Egress windows must be labeled to show they comply with the Code of Federal Regulations (CFR) Title 24 3280.404 and American Architectural Manufacturers Association (AAMA) 1704.

9.4 An SGD must have an interlock at the meeting rail.

9.5 Openable windows must have insect screens.

9.6 Exterior wooden stop and casing materials must be exterior-grade.

9.7 Sealing materials must comply with the material specifications in Section 32 Infiltration Reduction.

9.8 Attachment materials:

9.8.1 Screws must be non-corrosive #8 or larger.

10. WARRANTY

10.1 Manufacturer—10 years (insulated glass unit [IGU])/3 years (other)

10.2 Contractor—1 year

34. Storm Windows

Table of Contents

1. **MEASURE OBJECTIVES** **34-1**

2. **INSTALL THIS MEASURE WHEN:** **34-1**
   - 2.1. Repair 34-1
   - 2.2. Install 34-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **34-1**

4. **INSTALLATION GUIDELINES** **34-1**
   - 4.1. General Requirements 34-1
     - *4.1.5 Safety Glass* *34-2*
     - *4.1.6 Egress Requirement* *34-2*
   - 4.2. Installation Procedures 34-2
     - *4.2.1 Storm Window Type, Size, and Shape* *34-2*
     - *4.2.2 Sash Requirements* *34-2*
     - *4.2.3 Weepage System* *34-2*
     - *4.2.4 Thermal Barrier* *34-2*
     - *4.2.5 Air Sealing* *34-3*
     - *4.2.6 Air Space* *34-3*
     - *4.2.7 Primary Window Operation* *34-3*
     - *4.2.8 Preparation of Opening* *34-3*
     - *4.2.9 Exterior Storm Window Attachment* *34-3*
     - *4.2.10 Interior Storm Window Attachment* *34-4*

5. **MOBILE HOME–SPECIFIC** **34-5**
   - 5.1. Installation Requirements 34-5
     - *5.1.4 Mobile Home Storm Window Egress Requirements* *34-5*
     - *5.1.5 Operable Interior and Exterior Storm Windows* *34-5*
     - *5.1.6 Fixed Storm Windows* *34-5*

6. **MULTI-FAMILY–SPECIFIC** **34-5**
   - 6.1. Installation Requirements 34-5

7. **DOE-SPECIFIC** **34-6**
   - 7.1. Assessment Requirements 34-6

8. **POST-INSTALLATION GUIDELINES** **34-6**
   - 8.1. Quality Check 34-6

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8.2. Client Education 34-6
8.3. Clean-Up and Disposal Requirements 34-6

9. MATERIAL SPECIFICATIONS 34-6

10. WARRANTY 34-8

Storm Windows

1. MEASURE OBJECTIVES

1.1 Storm windows improve the thermal insulation of existing windows.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure

2.2. Install

2.2.1 The window or sliding glass door separates a conditioned space from an unconditioned space

2.2.2 The primary window is a single-paned type and is intact

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The existing storm window functions properly

3.2 The existing primary window is a dual-pane type or the window unit will be replaced with a dual-pane window under Section 33 Windows and Sliding Glass Doors

3.3 The primary window is in a sleeping room and would not meet egress requirements with a storm window installed. (See Section 1 General Installation Guidelines, Window Egress (Conventional Homes).

3.4 The primary window is damaged and cannot be repaired. Refer to Section 32 Infiltration Reduction.

3.5 The window has tinted glass or window film

3.6 One or more of the following conditions exist and cannot be corrected within the program scope, which limits the home to non-infiltration measures only (the home is NIM):

3.6.1 A non-correctable environmental or combustion appliance safety (CAS) hazard or CAS fail exists under Appendix E Health and Safety Requirements, Environmental Hazards, or Appendix A Combustion Appliance Safety Protocol

3.6.2 Mechanical ventilation assessment/installation is required by contract but cannot be installed

3.6.3 The dwelling envelope is damaged or deteriorated, or the home is being remodeled, and the thermal boundary is incomplete beyond small infiltration gaps and cracks

3.7 Installation would violate the Appendix E Health and Safety Requirements

3.8 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 All existing components associated with the primary window must be structurally sound.

4.1.2 All mounting surface contact areas must be smooth, clean, and free of protrusions.

4.1.3 Sealant is required on all bare wood, except redwood, before installation of the storm unit.

4.1.4 Attachment of the storm window shall in no way impede the proper operation of the primary window.

4.1.5 Safety Glass

4.1.5(a) See Section 1 General Installation Guidelines, Safety Glass in Windows and Doors.

4.1.6 Egress Requirement

4.1.6(a) See Section 1 General Installation Guidelines, Window Egress (Conventional Homes).

4.2. Installation Procedures

4.2.1 Storm Window Type, Size, and Shape

4.2.1(a) The type, size, and shape of the storm window shall match the primary window (Fig. 34-1).

4.2.1(b) Storm window frames, grids, and meeting rails shall align with those of the primary window.

4.2.1(c) Storm windows built for interior use must be installed only on the interior.

4.2.1(d) Storm windows built for exterior use must be installed only on the exterior.

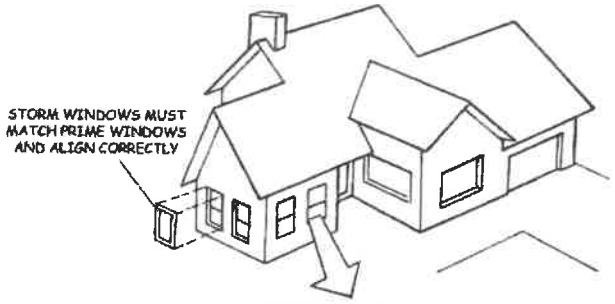

FIG. 34-1: STORM WINDOW WILL MATCH PRIMARY WINDOW

4.2.2 Sash Requirements

4.2.2(a) Windows must be constructed to allow easy and accessible removal of movable lites and fixed sash panels for cleaning, "set-aside" storage, and egress.

4.2.2(a1) Removal must not require special tools.

4.2.2(b) All operable windows must be operable from inside the home.

4.2.2(c) All removable lites and sash panels must be free of sharp edges or other conditions that could cause injury during normal use.

4.2.2(d) Sash travel must be controlled to prevent free fall.

4.2.2(e) All vertical sliders shall be equipped with one of the following:

4.2.2(e1) An automatic "sash lock" mechanism that stops at the next lower latch position when the sash is allowed to drop (Fig. 34-2)

4.2.2(e2) A pressure/friction system that will effectively prevent free fall

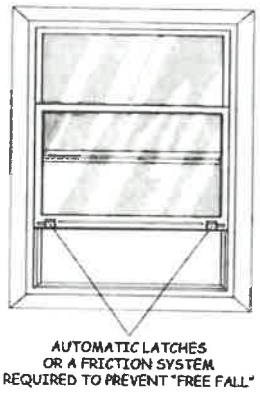

FIG. 34-2: SASH REQUIREMENTS

4.2.3 Weepage System

4.2.3(a) A weepage system shall be provided on exterior storm windows (Fig. 34-3).

4.2.3(a1) There will be a minimum of two weep holes per track.

4.2.3(a2) The holes will be a minimum of ⅛" diameter or equivalent.

4.2.4 Thermal Barrier

4.2.4(a) A non-corrosive thermal barrier must be installed to prevent metal-to-metal contact between primary windows and storm units.

4.2.4(a1) The barrier must be minimum ⅛" thick glazing tape, gasket, or elastomeric material.

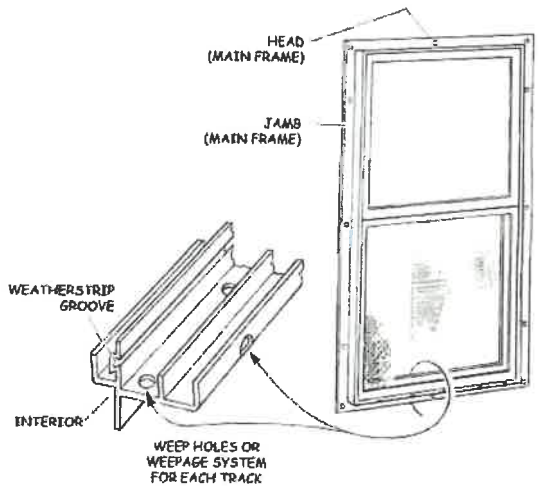

FIG. 34-3: WEEPAGE SYSTEM

4.2.5 Air Sealing

4.2.5(a) All storm windows

4.2.5(a1) All framed storm units must be installed with a permanent, airtight seal between the storm frame and the mounting surface (Fig. 34-4).

4.2.5(a2) Sealants must be resilient, non-hardening, long-life materials.

4.2.5(a3) All joints and gaps over 1/32" must be sealed.

4.2.5(a4) All exterior attachment penetrations must be watertight.

4.2.5(a5) Weep holes must not be sealed.

4.2.5(b) Framed interior storm windows

4.2.5(b1) Install the frame using glazing tape, caulking, or other effective sealant between the storm frame and the mounting surface so that a complete and permanent seal is provided around the entire perimeter of the storm window.

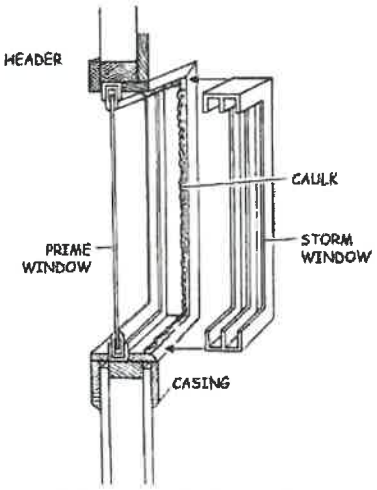

FIG. 34-4: CAULKING USED FOR AIR SEALING

4.2.5(c) Unframed interior storm windows

4.2.5(c1) Seal the mounting surface with minimum 1/8"-thick, closed cell foam tape or equivalent.

4.2.5(c2) Panels attached with continuous magnetic strips require no additional gaskets if the attachment system provides an airtight seal.

4.2.6 Air Space

4.2.6(a) The space between the storm windows and primary windows must be between 1/2"–4" (Fig. 34-5).

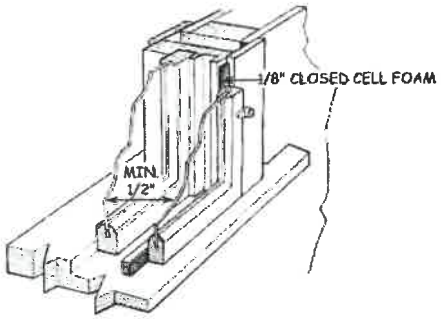

FIG. 34-5: AIR SPACE REQUIREMENTS

4.2.7 Primary Window Operation

4.2.7(a) Permanently mounted "self-storing" operable storm windows

4.2.7(a1) Opening primary windows must remain operable without removal of the storm window sash or frame.

4.2.7(a2) Interior access to primary window latches must not be impaired.

4.2.8 Preparation of Opening

4.2.8(a) All existing components associated with the installation shall be structurally sound.

4.2.8(b) All necessary repairs shall be made to facilitate installation of the storm window.

4.2.8(c) Water penetration points must be sealed.

4.2.8(d) All mounting surfaces must be smooth and clean.

4.2.9 Exterior Storm Window Attachment

4.2.9(a) Permanently anchor exterior frames with corrosion-resistant screws per the manufacturer's instructions or the following guidelines, whichever is more stringent (Fig. 34-6).

4.2.9(b) All frames shall have screws placed within 4" of each corner.

4.2.9(b1) For wood frames, screws anchoring into solid wood must penetrate the wood at least 3/4".

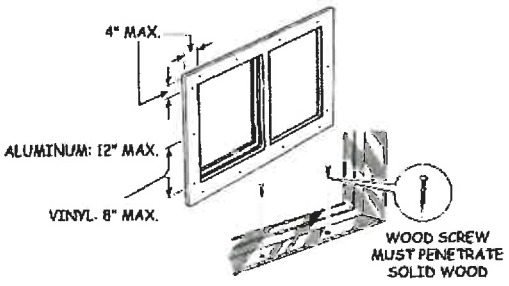

FIG. 34-6: EXTERIOR STORM WINDOW ATTACHMENT

4.2.9(b2) For metal frames:

- Place additional screws a maximum of 12" apart
- Use a minimum of three screws on each side that exceeds 18" in length

4.2.9(b3) For vinyl frames:

- Place additional screws a maximum of 8" apart
- Use a minimum of three screws on each side that exceeds 14" in length

4.2.10 Interior Storm Window Attachment

4.2.10(a) Framed interior storm windows

4.2.10(a1) Install framed interior storm windows with mounting fins as prescribed above for exterior storm windows.

4.2.10(a2) Securely attach block frame windows (without fins) within the primary window opening with screws.

- Use a minimum of two screws per jamb for pre-assembled frames.
- Use a minimum of two screws per piece when the jambs, header, and sill are independent.

4.2.10(a3) Install shims as needed to prevent torquing or warping the frame.

4.2.10(b) Unframed fixed interior storm windows (applies to windows not in egress locations)

4.2.10(b1) When secured with rotating clips, locate clips within 4" of each corner and elsewhere, as needed, to provide a tight seal around the entire sash perimeter (Fig. 34-7).

4.2.10(b2) When secured with magnetic strips, attachments must be permanently bonded to the sash and mounting surface and have sufficient holding strength to retain the panel securely and maintain an airtight seal (Fig. 34-8).

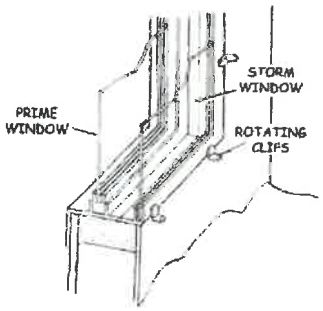

FIG. 34-7: INTERIOR STORM WINDOW SECURED WITH ROTATING CLIPS

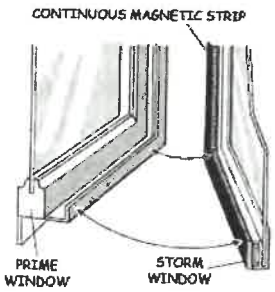

FIG. 34-8: INTERIOR STORM WINDOW SECURED WITH MAGNETIC STRIP

4.2.10(c) Sash-mount storm windows (Fig. 34-9)

4.2.10(c1) The storm sash must be securely attached to the primary sash with screws within 4" of each corner and elsewhere as required to create a complete seal.

4.2.10(c2) The perimeter of the storm sash must be made airtight with sealant or weatherstripping.

4.2.10(c3) There must be a minimum ½" air space between storm windows and primary windows.

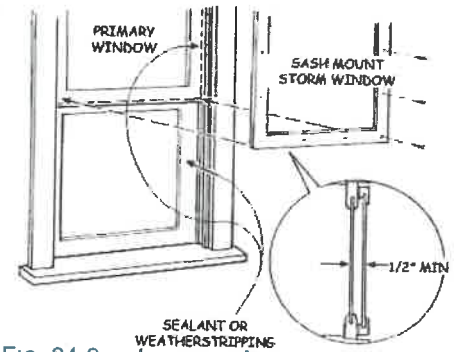

FIG. 34-9: INTERIOR ATTACHMENT FOR SASH-MOUNT STORM WINDOWS

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.2 Storm windows shall not be installed in mobile homes when:

5.1.2(a) An open combustion solid-fuel burning space heater (i.e., fireplace, insert, wood stove) that draws combustion air from the living space is present

5.1.2(a1) Exception: Pressure diagnostics and infiltration-reduction measures will be allowed when:

- Pressure measurement shows the combustion appliance zone (CAZ) of each appliance is less negative than the house depressurization limit (HDL) and
- Installed measures do not depressurize the CAZ beyond the HDL
  - See procedures described in Appendix A Combustion Appliance Safety Protocol.

5.1.3 Installations shall conform with Housing and Urban Development (HUD) Manufactured Home Construction and Safety Standards (MHCSS), the California Code of Regulations for Mobile Homes, and Housing and Community Development (HCD) code.

5.1.4 Mobile Home Storm Window Egress Requirements

5.1.4(a) See Section 1 General Installation Guidelines, Window Egress (Mobile Homes).

5.1.5 Operable Interior and Exterior Storm Windows

5.1.5(a) The horizontal or vertical force required to open the window for egress must not exceed 20 lbs.

5.1.5(b) Windows must have no more than two locks or latches that require operation to achieve egress.

5.1.6 Fixed Storm Windows

5.1.6(a) Windows must be installed only on the interior.

5.1.6(b) Removable lites and panels (with or without sash) that require set-aside for egress must:

5.1.6(b1) Have a maximum weight of 20 lbs.

5.1.6(b2) Be removable by application of force not to exceed 20 lbs.

5.1.6(c) Storm windows that are held in place with pivot or swivel devices (rotating clips) must have no more than four such devices requiring operation for egress (Fig. 34-10).

5.1.6(c1) Rotating clips must be placed a maximum of 54" above the floor.

5.1.6(c2) Rotating clips must turn to open by application of force not exceeding 5 lbs.

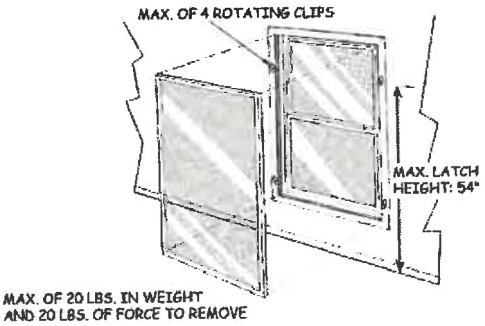

FIG. 34-10: MOBILE HOME FIXED STORM WINDOWS

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a lobby, entertainment room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Perform post-installation CAS testing of open-combustion appliances that draw combustion air from the living space. See Appendix A Combustion Appliance Safety Protocol.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 10 years

9.1.2 DOE: Not applicable to this measure

9.2 Storm Window Frame

9.2.1 Aluminum frame windows must conform to American National Standards Institute (ANSI)/ American Architectural Manufacturers Association (AAMA) 1002.10.

9.2.2 Wood frame windows must conform to Section 3 of ANSI/National Wood Window and Door Association (NWWDA) I.S.2.

9.2.3 Rigid vinyl frame windows must be ultraviolet (UV)-resistant and conform to American Society of Testing and Materials (ASTM) standards.

9.3 Storm Window Glazing

9.3.1 Glass must conform to ASTM C1036 Standard Specification for Flat Glass for conventional homes and AAMA 1701.2 for mobile homes.

9.3.2 Polished wire glass must conform to ANSI Z97.1.

9.3.3 Safety glass must conform to ANSI Z97.1 and be permanently labeled.

9.3.4 Plastic glazing must:

9.3.4(a) Be UV- and scratch-resistant polycarbonate

9.3.4(b) Be a minimum of ⅛" thick

9.3.4(c) Conform to ANSI Z97.1

9.3.5 Glass Selection

9.3.5(a) Conventional home

9.3.5(a1) Glass shall be selected in accordance with the currently adopted California Residential Code (CRC).

9.3.5(a2) The maximum pane size for each frame type and thickness of glass must be as specified in Table 34-1 unless location-specific requirements of the CRC are more restrictive.

TABLE 34-1: GLASS THICKNESS

Glass Thickness	Maximum Glass Size	
	Aluminum or Wood Frame	Rigid Vinyl Frame
Single strength	16 sq. ft.	Not allowed
Double strength	24 sq. ft.	17 sq. ft.*
3/16" plate	45 sq. ft.	25 sq. ft.
1/4" plate	65 sq. ft.	Not allowed
*Vertical measurement shall not exceed 4'.		

9.3.5(b) Mobile home

9.3.5(b1) The maximum pane size for each frame type and thickness of glass will be as specified in Table 34-2.

TABLE 34-2: GLASS THICKNESS—MOBILE HOMES

Glass Thickness	Maximum Glass Size	
	Aluminum or Wood Frame	Rigid Vinyl Frame
Single strength	11 sq. ft.	Not allowed
Double strength	15 sq. ft.	15 sq. ft.**
3/16" plate	30 sq. ft.	25 sq. ft.
1/4" plate	43 sq. ft.	Not allowed
**Vertical measurement shall not exceed 4'.		

9.4 Hardware and fasteners must be aluminum, stainless steel, or other non-corrosive material compatible with the frame.

9.5 Angled Corners (Rake Windows)

9.5.1 Frame corners shall be metal.

9.5.2 Adjustable internal frame corners are allowed.

9.5.2(a) Durable, solid plastic (two legs riveted in the center) is acceptable when adjustable metal frame corners are not available.

9.6 Sealants

9.6.1 Glazing tape must:

9.6.1(a) Be closed cell foam

9.6.1(b) Be a minimum of 1/8" thick

9.6.1(c) Conform to ASTM C509

9.6.2 Pre-formed gaskets must conform to ASTM C509.

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9.6.3 Caulk

9.6.3(a) The contractor must comply with Proposition 65 requirements.

9.6.3(b) Sealants applied indoors must be non-toxic.

9.6.4 Solvent release sealants include acrylic, butyl rubber, and chlorosulfonated polyethylene and must conform to ASTM C1311.

9.6.5 Latex sealants include latex, acrylic latex, and siliconized acrylic and must conform to ASTM C834.

9.6.6 Elastomeric joint sealants include polysulfide, polyurethane, and silicone and must conform to ASTM C920 or other ASTM standards for elastomeric sealants (e.g., C603, C734, C1250, and D2202).

9.6.7 Foam sealants must be:

9.6.7(a) Minimally expanding

9.6.7(b) Class A or Class 1 per ASTM E84

9.6.7(c) Fire-resistant foam compliant with ASTM E814 or Underwriters Laboratories (UL) 1479

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

35. Shade Screens

Table of Contents

1. **MEASURE OBJECTIVES** **35-1**

2. **INSTALL THIS MEASURE WHEN:** **35-1**
   - 2.1. Repair 35-1
   - 2.2. Install 35-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **35-1**

4. **INSTALLATION GUIDELINES** **35-1**
   - 4.1. General Requirements 35-1
   - 4.2. Installation Procedure 35-2
     - *4.2.2 Window Frame Preparation* *35-2*
     - *4.2.3 Screen Frame Corners* *35-2*
     - *4.2.4 Bracing* *35-2*
     - *4.2.5 Screen Fabric Attachment* *35-2*
     - *4.2.6 Frame Attachment* *35-2*

5. **MOBILE HOME–SPECIFIC** **35-3**
   - 5.1. Installation Requirements 35-3

6. **MULTI-FAMILY–SPECIFIC** **35-3**
   - 6.1. Installation Requirements 35-3

7. **DOE-SPECIFIC** **35-3**
   - 7.1. Assessment Requirements 35-3

8. **POST-INSTALLATION GUIDELINES** **35-3**
   - 8.1. Quality Check 35-3
   - 8.2. Client Education 35-3
   - 8.3. Clean-Up and Disposal Requirements 35-4

9. **MATERIAL SPECIFICATIONS** **35-4**

10. **WARRANTY** **35-4**

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Shade Screens

1. MEASURE OBJECTIVES

1.1 Shade screens minimize solar heat gain from windows exposed to the sun.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 The window meets orientation requirements

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The window opens outward

3.2 Existing shade screens are installed and operable

3.3 The window orientation is between 315° (-45°) and 45° of true north (Fig. 35-1)

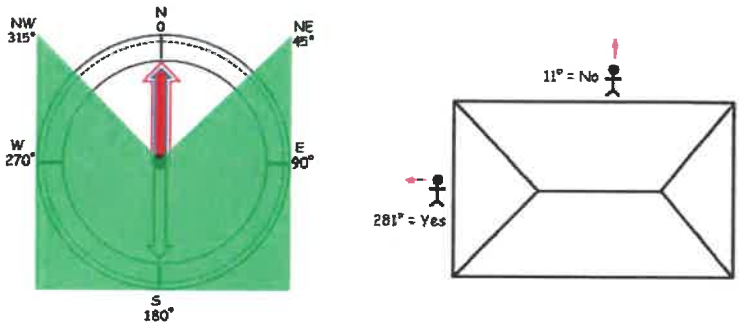

FIG. 35-1: SHADE SCREENS ARE ALLOWED ONLY ON WINDOWS FACING COMPASS READINGS WITHIN THE DARKENED AREA

3.4 The window is in a sleeping room and egress requirements cannot be met

3.5 The window is in shade (e.g., from tree shade, an overhang, or side fins) more than 50% of the time in summer

3.6 Installation would violate the Appendix E Health and Safety Requirements

3.7 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Egress requirements must be retained for sleeping room windows in accordance with Section 1 General Installation Guidelines, Window Egress (Conventional Homes).

4.1.2 The entire window frame must be covered by the shade screen, not just the operable window area.

4.1.3 Replacement of exterior screen material in existing frames with shade screen fabric is acceptable when:

4.1.3(a) The existing screen serves the entire window and

4.1.3(b) The existing frame meets Material Specifications and is not bent or damaged

4.1.4 Patching of an existing screen will not be allowed.

4.1.5 The existing interior insect screen frame shall not be used as a shade screen (Fig. 35-2).

4.1.6 The existing window frame, sashes, and panes must be structurally sound.

4.1.7 Shade screens will be mounted on the exterior only.

4.1.8 Bowing and warping of the screen frame are not allowed.

4.1.9 Windows over 7' wide will be covered with screening constructed of two or more panels.

4.1.10 Tension-mounted shade screens are not allowed.

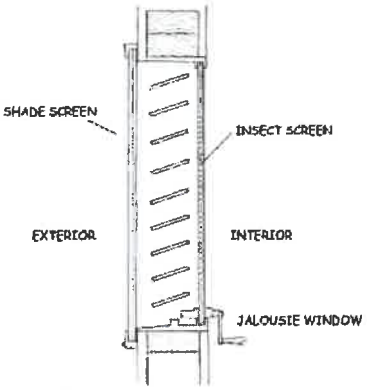

FIG. 35-2: AN EXISTING INSECT SCREEN MAY NOT BE USED AS A SHADE SCREEN

4.2. Installation Procedure

4.2.1 Determine the window orientation per Section 1 General Installation Guidelines, Window Orientation.

4.2.2 Window Frame Preparation

4.2.2(a) Water penetration points will be sealed.

4.2.2(b) Limited dry rot damage to the window frame must be repaired before the shade screen installation in accordance with Section 1 General Installation Guidelines, Limited Home Repair.

4.2.3 Screen Frame Corners

4.2.3(a) Securely join frame corners.

4.2.3(b) Corners on rectangular frames will be square. (Fig. 35-3)

4.2.3(c) Angled corners (rake windows)

4.2.3(c1) Adjust angled corners to match the window frame before the screen fabric is installed and the unit is secured to the window.

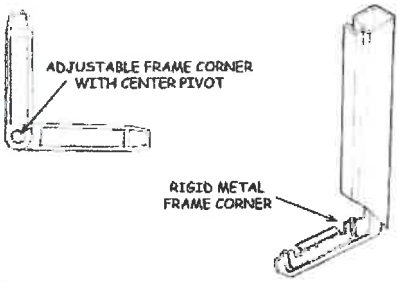

FIG. 35-3: ADJUSTABLE OR RIGID ANGLED CORNERS

4.2.4 Bracing

4.2.4(a) Bracing is required in windows larger than 25 sq. ft.

4.2.4(b) Align the bracing with the meeting rails and grids, when present. (Fig. 35-4)

4.2.5 Screen Fabric Attachment

4.2.5(a) Fasten the screen fabric to the frame in a manner that permits replacement of the screen and the spline.

4.2.5(b) If heavier lines are present in the fabric, they will be positioned vertically.

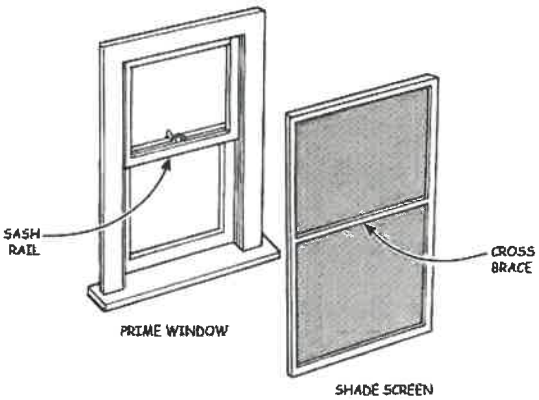

FIG. 35-4: BRACING

4.2.6 Frame Attachment

4.2.6(a) Provide a minimum of ½" of space between the shade screen and the glass.

4.2.6(b) Use a minimum of four fasteners per screen (Fig. 35-5):

4.2.6(b1) Within 4" of each corner on each vertical side

4.2.6(b2) Spaced at intervals of no more than 2'

4.2.6(c) Fasteners will be compatible with the screen frame and the existing window hardware.

4.2.6(d) Use corrosion-resistant metal rotating clips and screws.

4.2.6(d1) Install the rotating clip so that the barrel of the clip rests on the mounting surface.

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4.2.6(d2) Use screws for installations on surfaces into which screws can be installed (e.g., wood trim and traditional thick cement stucco).

4.2.6(d3) Do not install screws in:

- Vinyl window frames
- Exterior insulation and finish systems (EIFS) (thin synthetic stucco over foam board)

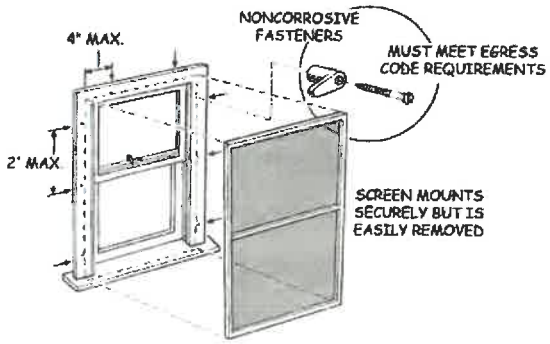

FIG. 35-5: FRAME ATTACHMENT

4.2.6(e) Vinyl windows

4.2.6(e1) Anchors are attached to the window surround (casing or wall), not to the vinyl frame.

4.2.6(e2) U-channel brackets and hook-and-loop (e.g., Velcro®) attached to the window frame are not allowed.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a lobby, entertainment room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Screens will be:

8.1.1(a) Square, plumb, and in alignment with the existing windows

8.1.1(b) Securely mounted but easily removable

8.1.2 Screen fabric will be straight and tight within the frame.

8.1.3 Horizontal bracing will align with meeting rails and grids.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 4 years

9.1.2 DOE: Not applicable to this measure

9.2 Square Corners

9.2.1 Rigid metal internal frame corners will be used.

9.2.2 Adjustable and plastic corners are not allowed.

9.3 Angled Corners (Rake Windows)

9.3.1 Frame corners shall be metal.

9.3.1(a) Adjustable internal frame corners are allowed.

9.3.1(b) Durable, solid plastic (two legs riveted in the center) are acceptable when adjustable metal frame corners are not available.

9.4 Window Screen Frame Materials

9.4.1 Wood is not allowed.

9.4.2 Rigid vinyl is not allowed.

9.4.3 Steel shall be zinc- or cadmium-plated.

9.4.4 Aluminum

9.4.4(a) A minimum of .025" thickness, 7/16" x 1" dimension for windows up to 25 sq. ft.

9.4.4(b) A minimum of .032" thickness, 7/16" x 1" dimension for windows larger than 25 sq. ft.

9.4.5 Vinyl or fiberglass shall be lead-free and flame-resistant (e.g., National Fire Protection Association [NFPA] 101 Class B CS-191 53, Code of Federal Regulations [CFR] Part 1610.61, International Building Code [IBC] 903.1 Class A).

9.4.6 Metal louvers are not allowed.

9.5 Shading Coefficient

9.5.1 Shade screens must have a shading coefficient of 0.36 or less at a 75° profile angle on clear single-pane glass or be rated to block/absorb/dissipate at least 70% of the sun's heat and glare.

9.6 Clips

9.6.1 Clips must be:

9.6.1(a) Corrosion-resistant metal (not plastic)

9.6.1(b) Compatible with the screen frame

9.6.1(c) Sized so the barrel rests on the mounting surface

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

36. Window Film

Table of Contents

1. **MEASURE OBJECTIVES** **36-1**

2. **INSTALL THIS MEASURE WHEN:** **36-1**
   - 2.1. Repair 36-1
   - 2.2. Install 36-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **36-1**

4. **INSTALLATION GUIDELINES** **36-1**
   - 4.1. General Requirements 36-1
   - 4.2. Installation Procedure 36-2
     - *4.2.2 Window Film Application* *36-2*

5. **MOBILE HOME–SPECIFIC** **36-2**
   - 5.1. Installation Requirements 36-2

6. **MULTI-FAMILY–SPECIFIC** **36-2**
   - 6.1. Installation Requirements 36-2

7. **DOE-SPECIFIC** **36-2**
   - 7.1. Assessment Requirements 36-2

8. **POST-INSTALLATION GUIDELINES** **36-2**
   - 8.1. Quality Check 36-2
   - 8.2. Client Education 36-2
   - 8.3. Clean-Up and Disposal Requirements 36-3

9. **MATERIAL SPECIFICATIONS** **36-3**

10. **WARRANTY** **36-3**

Window Film

1. MEASURE OBJECTIVES

1.1 Window film blocks ultraviolet (UV) rays to help reduce cooling costs in the summer. In winter, window film helps retain heat to reduce heating costs.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 The window orientation is between 45° and 315°

2.2.2 The window is single-paned

2.2.3 It is feasible to install film on the interior surface of the window

2.2.4 Shade screen installation is not feasible or practical

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The existing tinted window film is installed and functional

3.2 The existing window is dual-pane or jalousie

3.3 The window orientation is between 315° (-45°) and 45° of true north (Fig. 36-1).

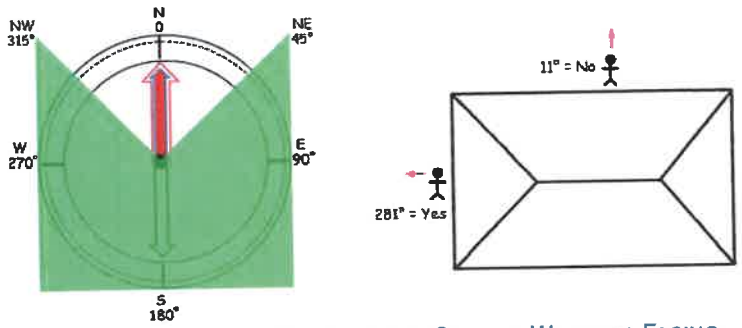

FIG. 36-1: SHADE SCREENS ARE ALLOWED ONLY ON WINDOWS FACING COMPASS READINGS WITHIN THE DARKENED AREA

3.4 The window is in shade more than 50% of the time in summer (e.g., from tree shade, an overhang, or side fins).

3.5 The window or glass is damaged and cannot be repaired. Refer to Section 32 Infiltration Reduction

3.6 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 The existing panes, sashes, and frame shall be structurally sound.

4.1.2 The glass surface shall be free of cracks, holes, and blemishes.

4.2. Installation Procedure

4.2.1 Determine the window orientation per Section 1 General Installation Guidelines, Window Orientation.

4.2.2 Window Film Application

4.2.2(a) Remove all paint spots, adhesive residue, etc. from the window

4.2.2(b) Thoroughly clean the glass to remove all grease and dirt using a manufacturer-approved cleaner.

4.2.2(c) Install the film only on the interior surface of single-pane windows.

4.2.2(c1) The distance between the window frame and the film shall be ≤⅛".

4.2.2(c2) The film must not touch the window frame or sash material (e.g., wood, metal, plastic mullions).

4.2.2(d) Apply a single sheet of film to all windows ≤60" in width or height.

4.2.2(e) In windows >60" in width or height, install splices in accordance with the manufacturer's specifications.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a lobby, entertainment room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 The installed film shall have a uniform appearance, without streaks, wrinkles, pinholes, spots, or discoloration.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure specific verbal and written instructions include:

8.2.2(a) A hazy or foggy look to the window immediately following installation of the film is normal and should disappear within a few days

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 4 years

9.1.2 DOE: Not applicable to this measure

9.2 All Types

9.2.1 Film shall:

9.2.1 (a) Be selected to reduce heat and light energy transmission through windows

9.2.1 (b) Have a solar heat gain coefficient of 0.35

9.2.1 (c) Have a U-factor of 0.40

9.2.1 (d) Be UV-treated

9.2.1 (e) Be self-adhesive

9.2.1 (e1) Non-adhesive film is not allowed.

9.3 Polyester

9.3.1 Minimum thickness: 0.0010" (1 mil)

10. WARRANTY

10.1 Manufacturer—10 years

10.2 Contractor—1 year

37. Attic and Ceiling Insulation

Table of Contents

1. **MEASURE OBJECTIVES** **37-1**

2. **INSTALL THIS MEASURE WHEN:** **37-1**
   - 2.1. Repair 37-1
   - 2.2. Install 37-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **37-1**

4. **INSTALLATION GUIDELINES** **37-2**
   - 4.1. General Requirements 37-2
     - *4.1.9 K&T Wiring* *37-2*
     - *4.1.10 Knee Wall Insulation* *37-2*
     - *4.1.11 Adding New Insulation* *37-2*
     - *4.1.12 R-Value Defaults for Existing Insulation* *37-4*
     - *4.1.13 R-Value of Existing Flexible Insulation (Batts)* *37-5*
     - *4.1.14 Attic Ventilation Verification Requirements* *37-5*
     - *4.1.15 Recessed ("Can") Lighting Requirements* *37-5*
     - *4.1.16 Sealing of the Attic Floor Requirements* *37-5*
       - 4.1.17 (k) Attic open to uninsulated soffits 37-7
   - 4.2. Installation Procedure 37-10
     - *4.2.1 Protection of Dwelling and Contents* *37-10*
     - *4.2.2 Equipment Preparation* *37-10*
     - *4.2.3 Attic Preparation* *37-10*
     - *4.2.4 Installation of Insulation* *37-11*
     - *4.2.5 Insulation Certificate* *37-12*

5. **MOBILE HOME–SPECIFIC** **37-12**
   - 5.1. Installation Requirements 37-12
     - *5.1.3 Structural Requirements* *37-13*
     - *5.1.4 Ceiling Soundness* *37-13*
     - *5.1.5 HPD Blocking* *37-13*
     - *5.1.6 Roof Repair* *37-13*
     - *5.1.7 Insulation Methods* *37-14*
   - 5.2. Installation Procedure 37-14
     - *5.2.1 Preparation of the Home* *37-14*
     - *5.2.2 Ceiling Preparation* *37-15*
     - *5.2.3 Cavity-Fill Insulation Methods* *37-15*

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5.2.4 Roof Cap Method 37-15
5.2.5 Gable End Method 37-17
5.2.6 Exterior Roof Edge Cavity Fill Method 37-18
5.2.7 Interior Ceiling Bore Cavity Fill Method 37-18
5.2.8 Installation Integrity 37-19

6. MULTI-FAMILY–SPECIFIC 37-19
6.1. Installation Requirements 37-19

7. DOE-SPECIFIC 37-19
7.1. Assessment Requirements 37-19
7.2. Installation Requirements 37-20

8. POST-INSTALLATION GUIDELINES 37-22
8.1. Quality Check 37-22
8.2. Client Education 37-22
8.3. Clean-Up and Disposal Requirements 37-22

9. MATERIAL SPECIFICATIONS 37-23

10. WARRANTY 37-25

Attic and Ceiling Insulation

1. MEASURE OBJECTIVES

1.1 Attic/ceiling and knee wall insulation slows the transfer of heat through the thermal boundary, reducing the amount of heat entering the home on a warm day and the amount of heat loss on a cold day.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 The attic/ceiling or knee wall separates conditioned and unconditioned space and

2.2.2 At least 100 sq. ft. of attic or knee wall is feasible to insulate per Table 37-1 or

2.2.2(a) If the attic access is uninsulated but the remaining attic/ceiling has adequate insulation, the cover shall be insulated as a Limited Home Repair - ECM Support item. See Section 1 General Installation Guidelines, Limited Home Repair Policy.

2.2.2(a1) Exception: When insulation is unfeasible due to a safety condition in the attic (e.g., presumed asbestos, knob-and-tube wiring, etc.), insulation shall not be added to the access cover.

2.2.3 Insulation has a savings-to-investment ratio (SIR) ≥1.0 as proven by an energy audit

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The existing insulation R-value is measured to be adequate

3.2 One or more of the following conditions are present and have not been (or cannot be) corrected:

3.2.1 Structural defects exist, such as:

3.2.1(a) 2" x 4" joists measure >24" on center (OC)

3.2.1(b) Bowed and sagging joists are present

3.2.1(c) Fiberboard or ¼" gypsum ceiling material is present

3.2.1(d) Roof leaks that cannot be repaired per Section 1 General Installation Guidelines, Limited Home Repair Policy

3.2.2 An exhaust system terminates in the attic and cannot be vented to the outdoors

3.2.2(a) For bathroom and laundry venting (including a gas or electric clothes dryer), see Section 1 General Installation Guidelines, Limited Home Repair Policy.

3.2.2(b) For kitchen exhaust, see Section 11 Kitchen Exhaust.

3.2.3 Existing insulation has been damaged by moisture and is not dry, and the source of the moisture has not been corrected

3.2.4 A combustion appliance safety (CAS) hazard or CAS fail exists, per Appendix A Combustion Appliance Safety Protocol

3.2.5 Electrical hazards exist that cannot be corrected

3.2.6 Hazardous materials are present

3.2.7 There is inadequate attic venting and it cannot be corrected per Section 40 Attic Ventilation

3.2.8 Knob-and-tube (K&T) wiring is present and has not been certified safe for encapsulation or permanently disconnected by a licensed C-10 electrical contractor, per the Section 1 General Installation Guidelines, Knob-and-Tube (K&T) Wiring Guidelines.

3.3 Installation would violate the Appendix E Health and Safety Requirements

3.4 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Attic ventilation may be installed in conjunction with attic/ceiling insulation, or as a stand-alone measure per Section 40 Attic Ventilation.

4.1.2 This measure is a whole-building measure. In single-family dwellings (1-4 units) and multi-family buildings (with 5+ units), the whole building must be is served for attic and ceiling insulation to be installed. See Appendix D Energy Audit/Priority List Protocol.

4.1.2(a) Under the Low Income Home Energy Assistance Program (LIHEAP), when an energy audit will not be conducted, attic/ceiling insulation may be installed for an individual unit in a duplex, tri-plex, or four-plex only when there are no shared attic spaces between dwelling units (i.e. the attic spaces are separated by a complete and continuous pressure boundary or firewall, and the units have separate heating and/or cooling units).

4.1.3 Title 24 and Permit Requirements

4.1.3(a) When required by the local jurisdiction, a permit is required when ceiling insulation is installed because the ceiling is considered "altered" (2022 Title 24).

4.1.4 Audited Measures

4.1.4(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded, it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.4(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.5 If existing insulation is a potential fire hazard due to insulation covering heat-producing devices (HPDs) or combustion ventilation air (CVA) vents, these fire hazards shall be corrected by field personnel. See Section 1 General Installation Guidelines, Fire hazards and venting obstructions.

4.1.6 All air leakage locations (including duct and shell leaks, and thermal bypasses in the ceiling) shall be sealed prior to installation of insulation per Section 32 Infiltration Reduction and Section 8 Ducting Repair, Sealing and Insulation.

4.1.7 All repairs or installations requiring attic access shall be completed before insulation is installed.

4.1.8 Attic must be accessible in accordance with the clearance requirements for attics identified in Section 1 General Installation Guidelines, Attic and Crawlspace Accessibility.

4.1.9 K&T Wiring

4.1.9(a) If a C-10 electrician certifies the K&T wiring is safe for encapsulation, insulation may be installed per Section 1 General Installation Guidelines, Knob-and-Tube (K&T) Wiring Guidelines.

4.1.10 Knee Wall Insulation

4.1.10(a) Uninsulated knee walls may be insulated even when ceiling insulation is not installed.

4.1.11 Adding New Insulation

4.1.11(a) Existing insulation shall be in contact with the air barrier prior to the installation of additional insulation.

4.1.11(b) New insulation installed over existing insulation (new + existing) shall bring the level up to the final R-value shown in Table 37-1.

4.1.11 (c) Ceiling insulation must be installed on the attic floor to a level of R-49, except when:

4.1.11 (c1) New insulation would disturb ACM or PACM located in the ceiling, attic, or ductwork

4.1.11 (c2) Knob-and-tube wiring is in the attic

4.1.11 (c3) The installation of insulation would be in a shared attic (multi-unit) where other dwelling units (attic spaces) do not receive insulation.

4.1.11 (d) A minimum of 1" air gap must be kept between the insulation and roof deck, as well as at all vent locations.

4.1.11 (d1) The use of blocking and installation of insulation must not block the free flow of air.

4.1.11 (d2) If the attic height prevents installing to the required insulation level (per Table 37-1), as much insulation as possible must be added while still maintaining roof clearance and attic ventilation requirements.

4.1.11 (e) When insulating to R-49, permanent blocking materials/dams shall be mechanically attached to prevent overblow of insulation where clearances must be maintained.

4.1.11 (f) If using loose fill insulation, baffles shall be installed at eaves or soffit vents to prevent insulation from blocking ventilation and to prevent air movement under the insulation.

TABLE 37-1: INSULATION INSTALLATION CRITERIA

Existing Insulation R-Value	CEC Climate Zone[1]	Required Action
Ceiling and Horizontal Access Cover Insulation		
Less than R-19	1, 3	Verify/install attic ventilation. Confirm IC fixtures or cover non-IC fixtures. Increase insulation to R-49. Not required: Sealing of the attic floor
	2, 4, 8 – 16	Verify/install attic ventilation. Seal the attic floor. Confirm IC fixtures or cover non-IC fixtures. Increase insulation to R-49.
	5, 7	Verify/install attic ventilation. Increase insulation to R-49[2]. If required by local jurisdiction: • Sealing of the attic floor • IC fixture replacements/non-IC cover retrofits
	6	Verify/install attic ventilation. Increase insulation to R-49. Not required: • Sealing of the attic floor • IC fixture replacements/non-IC cover retrofits

TABLE 37-1: INSULATION INSTALLATION CRITERIA

Existing Insulation R-Value	CEC Climate Zone[1]	Required Action
Between R-19 and R-38	1, 3, 5 – 7	Verify/install attic ventilation. Increase insulation to R-49[2]. If required by local jurisdiction: • Sealing of the attic floor • IC fixture replacements/non-IC cover retrofits
	2, 4, 8 – 10	Verify/install attic ventilation. Increase insulation to R-49.
	11 – 16	Verify/install attic ventilation. Confirm IC fixtures or cover non-IC fixtures. Increase insulation to R-49.
Knee Wall, Skylight Well, and Vertical Access Cover Insulation		
None existing	2x4" framing	Increase to R-13
None existing	2x6" framing	Increase to R-19
[1]As defined by the California Energy Commission [2]Not required by Title 24, but required by Program		

4.1.12 R-Value Defaults for Existing Insulation

4.1.12(a) When there are multiple layers of different insulation types, the R-value of each layer is evaluated separately (Table 37-2).

4.1.12(b) The sum of the R-values equals the overall existing R-value for the attic.

4.1.12(c) Compression by the weight of added new insulation shall be factored in when estimating the effective R-value of existing insulation.

4.1.12(d) When the existing insulation level in an attic is uneven (more than one level is present), an "average existing R-value" shall be determined and documented.

4.1.12(d1) The "average existing R-value" is defined as the lowest R-value presently installed in more than 50% of the attic.

TABLE 37-2: INSULATION R-VALUE DEFAULTS

Insulation Type and Material	Insulation R-Value per Inch
Loose Fill	
Cellulose	3.7
Fiberglass—Virgin (White)	2.8
Fiberglass—Pink & Yellow	2.8
Rock Wool	3.0
Perlite	2.7
Redwood Bark	1.0
Unidentifiable Material	1.0
Batts and Blankets	
Fiberglass	3.0
Rock Wool	3.0

4.1.13 R-Value of Existing Flexible Insulation (Batts)

4.1.13(a) Properly installed batts in excellent condition are assumed to have the R-value marked on the facing. If the insulation is not compressed but there are no markings on the facing, use the following defaults:

4.1.13(a1) 3½" = R-11

4.1.13(a2) 6" = R-19

4.1.13(a3) 10" = R-30

4.1.13(b) If batts are compressed or damaged:

4.1.13(b1) Measure the average thickness and

4.1.13(b2) Use the R-value per inch in Table 37-2

4.1.14 Attic Ventilation Verification Requirements

4.1.14(a) When any work occurs in an existing attic, minimum ventilation must be met, with no exception. Refer to Section 40 Attic Ventilation.

4.1.14(b) The net free venting area (NFVA) must be a minimum 1/150 of the attic space area.

4.1.14(c) Vent mesh shall be no smaller than 1/16"and no greater than ¼".

4.1.15 Recessed ("Can") Lighting Requirements

4.1.15(a) When required by Table 37-1, recessed/can lighting fixtures in the ceiling must be covered with insulation to the same depth as the attic floor.

4.1.15(a1) Any standard recessed lighting fixtures must be:

- Replaced with an air-tight IC-rated fixture (IC = Insulation Contact), or
- The existing fixture must be made safe for, and retrofitted with, a listed fireproof cover or box.

4.1.15(b) For a cover to be installed on a non-IC rated fixture, the fixture must have a "thermal switch" to disconnect the electricity to the light if the temperature exceeds safe levels. If the thermal switch is not present, the non-IC-rated fixture shall be replaced.

4.1.15(c) If it cannot be determined whether a fixture is IC-rated or not, it should be assumed that it is not.

4.1.15(d) Existing IC-rated fixtures do not need to be airtight. Installed IC-rated fixtures must be sealed with a gasket or caulking between the light fixture housing and the ceiling.

4.1.15(e) Visibly flag enclosure above the final insulation level.

4.1.15(f) When this work is required as a condition of permit for ceiling insulation, the materials and labor shall be attributed to the Limited Home Repair-H&S Support measure.

4.1.16 Sealing of the Attic Floor Requirements

4.1.16(a) Prior to the installation of ceiling insulation, all accessible areas of the attic floor between the attic and the conditioned space must be air sealed, except when:

4.1.16(a1) Table 37-1 indicates that it is not required.

4.1.16(a2) The dwelling has open combustion space heating or water heating appliances located inside the building pressure boundary. This exception does not apply when the open combustion appliance is in a vented attic, garage, or crawlspace.

4.1.16(a3) The existing insulation is vermiculite (unless the existing insulation does not contain asbestos as tested by a certified laboratory).

4.1.17 Blocking Requirements

4.1.17(a) Blocking shall be used to:

4.1.17(a1) Prevent new and existing loose-fill insulation from contacting HPDs, appliances, etc. (Fig. 37-1)

4.1.17(a2) Prevent insulation from obstructing vents required for combustion ventilation air and attic ventilation.

4.1.17(a3) Keep loose-fill insulation surrounding the attic access in place.

4.1.17(b) Blocking is not required when loose fill is not present.

4.1.17(c) Permanent blocking shall extend from the attic floor and exceed the height of the loose fill by 4" or to the prescribed height using structural wood or a combination of structural wood and other approved material.

4.1.17(d) When batt insulation is installed over loose fill, the blocking/barrier shall prevent the existing loose fill from entering the clearance zone (Fig. 37-1).

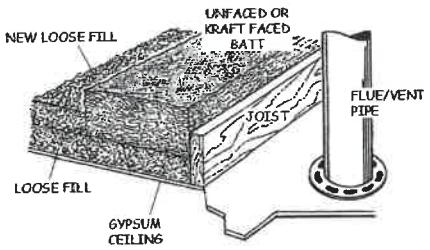

FIG. 37-1: AN EXAMPLE OF BLOCKING

4.1.17(e) Batt blocking using unfaced and faced batts:

4.1.17(e1) Shall extend from the clearance zone at least an additional 14½" in all directions

4.1.17(e2) Temporary blocking may be used to shield an HPD clearance zone or vent for accidental "overblow" of loose fill but must be removed following insulation installation.

4.1.17(f) After loose-fill insulation has been installed, the clearance zone shall be free of overblown insulation and other material.

4.1.17(g) HPD blocking

4.1.17(g1) Permanent blocking materials are as noted in the section for each HPD:

- Faced or unfaced batts when allowed
- Corrosion-resistant metal attached to structural framing members when allowed
- Plastic chutes, cardboard baffles, or metal for eave vent chutes and baffle shall not be used to block HPDs.

4.1.17(g2) HPD clearance zones shall be a minimum of 3" or as specified for the item in the following sections, but no greater than necessary to provide proper blocking.

4.1.17(g3) Blocking is not required if an HPD is mounted above the top of the insulation.

4.1.17(g4) When an HPD is covered by a fire-rated, airtight enclosure, insulation must not cover the top of the enclosure.

- The enclosure material shall:
  - The entire closure will maintain a 3" clearance between the closure and the fixture including wiring, box, and ballast
  - Have a 24" minimum clearance above the HPD
  - Be fire-rated with an R-value of 0.50 or less when airtight
  - Caulk, mastic, or foam will be used on all edges, gaps, cracks, holes, and penetrations of the closure material.
  - Note: Gypsum enclosures that house fluorescent or light-emitting diode (LED) light fixtures do not require protection from loose-fill insulation.

4.1.17(h) Restricted access to eave/soffit vent with HPD present

4.1.17(h1) When the HPD is ≤18" from an eave/soffit vent and the clearance between the ceiling joists and rafters is ≤14" at the edge of the clearance zone (Fig. 37-2):

- The clearance zone shall be free of loose fill
- A minimum 3" clearance is required between the HPD and the blocking material

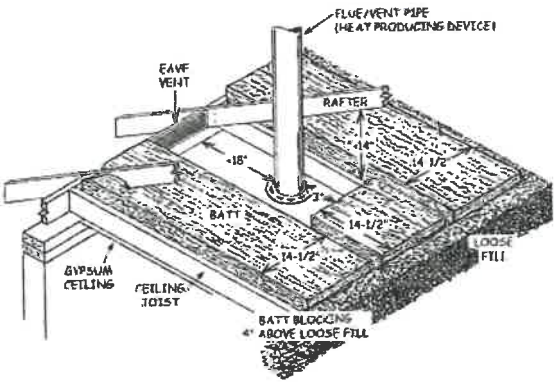

FIG. 37-2: RESTRICTED ACCESS TO EAVE/SOFFIT VENT WITH HPD PRESENT

- Between joists adjacent to the HPD, batt blocking shall be installed that rests on the attic floor, extends inward at least 14½", and/or exceeds the height of the installed loose fill by 4"
- Along the outside of each joist adjacent to the HPD, batt blocking shall be installed (may rest on existing loose fill) that extends away from the clearance zone at least 14½" and/or exceeds the height of the installed loose fill by 4".

4.1.17(i) Gas and solid fuel vent pipes and masonry chimneys

4.1.17(i1) Gas and solid fuel vent pipes and masonry chimneys shall be blocked.

4.1.17(i2) Unused (e.g., abandoned) vent pipes shall be blocked.

4.1.17(j) Kitchen and bath exhaust vents

4.1.17(j1) If an exhaust fan is an HPD, it shall be blocked.

4.1.17(j2) A vent duct may be covered by loose-fill insulation when the fan is below the ceiling.

4.1.17(k) Attic open to uninsulated soffits

4.1.17(k1) Attic open to uninsulated soffits containing recessed light fixtures may be insulated if loose fill is kept away from the HPDs and off the soffit by one of the following methods:

- Top-fill method (Fig. 37-3)—Cavities are:
  - Filled from the top with loose-fill up to the soffit and
  - Insulated the remaining distance to the top plate with flexible or rigid material
- Top-seal method—Cavities are:
  - Securely sealed at the soffit/ceiling level and
  - Pressure-filled from below and
  - Insulated the remaining distance to the top plate with flexible or rigid material

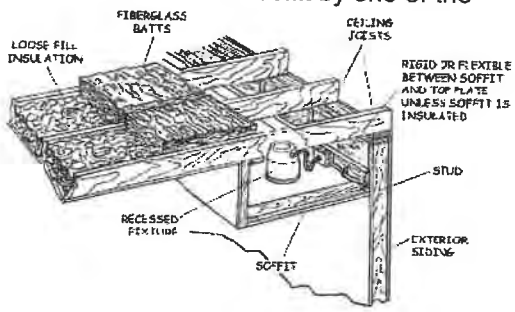

FIG. 37-3: TOP-FILL INSULATION METHOD

4.1.17(l) Appliances located in attics

4.1.17(l1) Insulation overblow shall be cleared from the unit, clearance zone, and platform.

4.1.17(l2) Platforms and catwalks

- Insulation shall be installed underneath both.
- Insulation shall not be installed on top of platforms.

4.1.17(l3) Whole house fans

- Blocking is required even when a shroud is present on the fan. (Fig. 37-4)
- A 3" clearance zone is required for the fan motor.
- The sides of the fan insulation box (shroud) assembly will be insulated to the same R-value as the adjoining insulated assembly.
- The fan insulation box frame shall be continuously weatherstripped to ensure a tight fit.
- The fan insulation box will be constructed at a depth to protect the fan housing and motor from insulation.

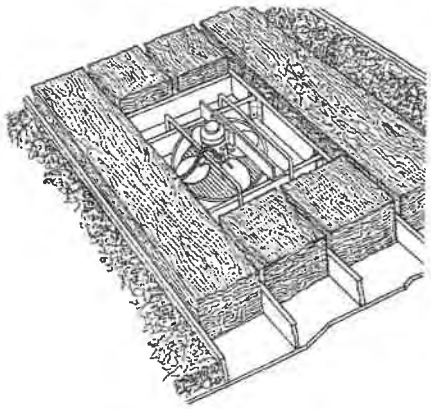

FIG. 37-4: WHOLE HOUSE FAN INSULATION BOX (SHROUD)

4.1.17(l4) Furnaces and heat pumps

- Loose fill:
  - 12" clearance around the back, sides, and top
  - 24" of clearance in front
  - 3" clearance for vent pipes
  - Blocking of the platform is required unless the bottom of the unit is more than 4" above the loose fill.
  - If a heating, ventilation, and air conditioning (HVAC) unit is suspended or draws combustion air from the bottom:
    - A 12" clearance shall be provided below the unit or
    - Batts shall be installed minimum 6" below that extend 12" beyond the unit on all sides (no exposed loose fill beneath the unit)
- Batt insulation:
  - 12" clearance required on all sides
  - 3" clearance for vent pipes
  - 6" clearance below units drawing combustion air from bottom

4.1.17(l5) Electric water heater

- A 3" clearance from the unit is required on all sides.
- Blocking is required if the bottom of the unit touches the installed loose fill.

4.1.17(l6) Gas water heater

- 6" clearance around sides and back
- 12" clearance in front
- 3" clearance for vent pipes

4.1.17(l7) Blocking is required if the bottom of the unit is ≤4" above the installed loose fill.

4.1.17(m) Electrical wiring hazards:

4.1.17(m1) Visible open junction boxes:

- Install a standard cover plate or a minimum 14½" piece of unfaced batt that covers the box and equals or exceeds the height of installed loose fill.
- When a cover plate has been installed, it is acceptable to blow loose-fill insulation over a covered junction box.

4.1.17(m2) Visible wire connections without a junction box require a junction box and cover to be installed.

4.1.17(n) Combustion air vent blocking

4.1.17(n1) Closet openings/ceiling vents to the attic which are not used for CVA are catastrophic leaks and shall be sealed.

4.1.17(o) Attic access blocking

4.1.17(o1) Each functional/usable access and disappearing stairs assembly shall be permanently blocked with a durable, rigid, protective baffle that is higher than the level of the surrounding attic floor insulation to achieve uniform R-value on the attic floor, prevent loose attic floor insulation from entering the living area, and does not interfere with the operation of the access.

4.1.17(o2) Metal blocking material shall not be installed.

4.1.17(o3) Where wood extends from the attic floor to the top of the installed loose fill, additional blocking is not required.

4.1.17(o4) Where wood extends from the attic floor but does not equal the height of the installed loose fill, blocking shall be added.

4.1.17(o5) Batts are acceptable to use in combination with wood members to achieve the required height.

- Where wood is not present, batt blocking shall rest on the attic floor and extend to the top of the loose fill.

- Batts shall extend at least 14½" away from the access opening in all directions.

4.1.17(p) Eave and soffit vent blocking

4.1.17(p1) Applies to individual and continuous vents.

4.1.17(p2) Blocking (batt, chute, baffle, etc.) shall be installed and extend to the top plate.

- Installation will allow for the highest possible R-value above the top plate of the exterior wall.
- Minimum 2½" clearance is required between the roof sheathing and the blocking.
- Vent screens shall be free of loose fill.

4.1.17(p3) Horizontal batt blocking shall rest on existing loose fill, provided no loose fill is exposed at the top plate.

- Blocking that extends inward 14½" shall exceed the height of the loose fill by 4".
- Blocking that extends inward 24" shall equal or exceed the height of the loose fill.

4.1.17(p4) Restricted access to eave or soffit vent

- Batt blocking shall be installed with a minimum 2½" air path/clearance between:
  - The vent and the blocking
  - The blocking and the roof sheathing
  - The insulation and the roof sheathing
- Blocking shall exceed the height of the loose fill or extend inward at least 24".
- Blocking shall be placed over existing loose fill if an unfaced batt is used and loose fill is not blocking the vent.

4.1.17(p5) Baffles and chutes attached to rafters:

- Shall rest on (begin at) the top plate and extend above the loose fill a minimum of 4" and a maximum of 12"
- Shall be permanently attached with a minimum of two mechanical fasteners per rafter
- Shall be kept 3" away from HPDs
- May be composed of pre-formed plastic, pre-cut cardboard, metal, plywood, or gypsum in accordance with the material specifications
- Shall prevent loose fill from entering at the bottom and edges

4.1.17(p6) Pre-formed ventilation chutes

- Molded plastic shall provide a minimum air path of:
  - 2" x 12" for rafters 16" OC
  - 2" x 18" for rafters 24" OC
- Restricted access to ventilation chute
  - Batt blocking shall be installed with minimum 2½" clearance/air path between:
    - The blocking and the roof sheathing and
    - The vent and the blocking

4.1.17(q) Balloon framing blocking

4.1.17(q1) Blocking shall prevent loose fill from falling down into open wall cavities and into the crawlspace or basement

4.2. Installation Procedure

4.2.1 Protection of Dwelling and Contents

4.2.1(a) When attic access is indoors, protect the pathway from the entrance door to the attic access with runners.

4.2.1(b) Before entry is made into the attic from the living space, place a drop cloth under the attic access.

4.2.1(c) When entry is through an access inside a closet, remove or cover the clothing and other personal property in the closet.

4.2.1(d) Prevent damage to the home and furnishings from the insulation hose, ladders, etc.

4.2.1(e) Cut batts outside the living space or inside the attic.

4.2.1(f) When carrying batts, enclose batts in plastic or other method to prevent releasing fibers in the living area.

4.2.1(g) When accessing a flat-roofed attic from the interior, mask the interior for dust control during drilling.

4.2.2 Equipment Preparation

4.2.2(a) When using the client's electricity, confirm the electrical supply will support the blowing machine power demand.

4.2.2(b) Perform the blowing machine pressure test with air on full, feed off, agitator running, and gate closed.

4.2.2(c) Hose outlet pressure will be at least 80 inches of water column (IWC) or 2.9 lbs. per sq. in. (psi) for cellulose insulation; for other types of insulation, check manufacturer specifications for blowing machine set-up.

4.2.3 Attic Preparation

4.2.3(a) Seal all feasible leakage locations (including duct and shell leaks and thermal bypasses in the ceiling) before insulation is installed, per Section 32 Infiltration Reduction and Section 8 Ducting Repair, Sealing and Insulation.

4.2.3(b) Install loose-fill insulation blocking for HPD and vent clearance zones and ceiling access following the requirements in Blocking Requirements.

4.2.3(c) Verify that blocking, hazard mitigation, ventilation, sealing of air leakage/thermal bypasses, exhaust vent termination, ceiling access, and all other measure requirements have been met before installing insulation.

4.2.3(d) Probe each cavity, locating all attic floor joists and blockers.

4.2.3(e) Install one insulation depth marker for every 300 sq. ft. of attic area, with the bottom of the marker at the air barrier to determine where additional insulation is needed.

4.2.3(e1) Leave the markers in place after insulation is installed for verification by the inspector.

4.2.3(f) When existing batts are incorrectly installed with vapor barrier on top (facing upward):

4.2.3(f1) Remove the vapor barrier from the attic or

4.2.3(f2) Turn the batts over to place the facing against the attic floor or

4.2.3(f3) Slash the vapor barrier the entire length of the batt or across the width of the batt at 12" intervals (Fig. 37-5).

4.2.3(f4) Adjust the existing batt insulation to be in full contact with the attic floor and the rafters with no voids.

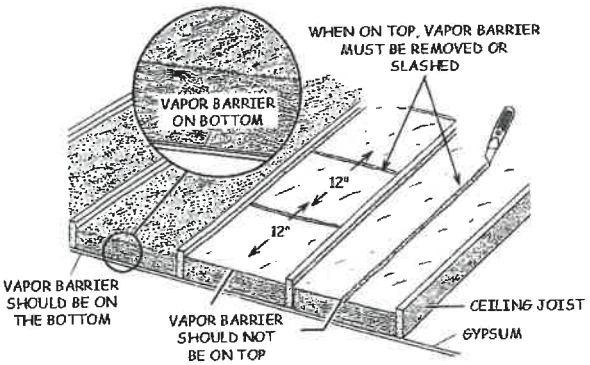

FIG. 37-5: INSTALL VAPOR BARRIER TOWARD WINTER WARM SIDE AND CORRECT IMPROPER INSTALLATION

4.2.4 Installation of Insulation

4.2.4(a) All insulation shall be installed in accordance with the manufacturer's specifications and local code without gaps, voids, compressions, or misalignments.

4.2.4(b) Batt insulation

4.2.4(b1) New unfaced batts shall be placed over existing loose fill or batts to achieve the desired R-value.

- If the top of the existing insulation is below the top of the framing, install new batts parallel with the framing members.
- If the top of the existing insulation is above the top of the framing, install new batts perpendicular to the framing members.

4.2.4(b2) Vapor barrier

- When required by the local jurisdiction, vapor barrier criteria apply to batts installed directly onto the attic floor, knee wall, or skylight well.
- Vapor barrier shall not be installed over existing insulation. When insulation is installed, vapor barrier shall be placed toward the winter warm side (e.g., directly on the attic floor) (Fig. 37-5).

4.2.4(c) Loose-fill insulation

4.2.4(c1) New loose-fill insulation shall be installed over existing loose fill or batts to achieve the desired R-value.

4.2.4(c2) Avoid blowing insulation into clearance zones for HPDs, K&T wiring, vents, etc.

4.2.4(c3) Blown insulation shall be level and even, with no drifts or voids.

4.2.4(c4) After insulation has been installed, clear overblown insulation from vents and clearance zones around HPDs and appliances.

4.2.4(c5) Install a closure system over any access hole created that is airtight, durable, and shows good workmanship.

4.2.4(d) Dense pack insulation

4.2.4(d1) Follow the manufacturer's requirements for the dense pack application filling 100% of each cavity to the correct density.

4.2.4(d2) Cavities shall be free of hazards, intact, and able to support dense pack pressures.

4.2.4(d3) Ensure all existing batts are in full contact with interior cladding and top and bottom plates.

4.2.4(d4) Air barrier material shall not bend, sag, or move once dense packed.

4.2.4(d5) Install a closure system over any dense pack access hole that is airtight, permanent, and shows good workmanship.

4.2.4(d6) Knee wall, partial sloped ceilings, and enclosed cavities

- The existence of air barrier material in line with knee walls shall be verified or installed when dense packing.
- Backing support
  - Verify all knee walls have a top and bottom plate or blockers installed with rigid material.
  - Seal all gaps, holes, and leaks at the floor joist running under the knee wall.
  - When fabric is used, secure the fabric with 1" crown staples every 2" or with furring strips on every wall stud.
  - When rigid material is used, install material to cover the entire accessible surface.
  - When foam sheathing is used, it shall be listed for uncovered use in an attic or covered use with a fire barrier.
- Unvented flat roofs
  - When accessing the cavity from the interior, locate drilling hazards (e.g., wiring, venting, fuel piping) prior to drilling.

4.2.4(e) Attic access insulation

4.2.4(e1) All ceiling entry doors/covers accessed from conditioned space, even if not functional/usable, shall be insulated in accordance with Table 37-1.

4.2.4(e2) Flexible or rigid insulation, with an R-value equal to attic floor, shall be permanently attached to the cover.

4.2.4(e3) Disappearing stairs

- When accessed from conditioned space:
  - A hinged lid shall be installed if not already present
  - Non-compressible insulation with R-value equivalent to the attic floor insulation shall be permanently attached to the lid and include a protective barrier or baffle
- Stairs with a bottom door (or lid if there is no bottom door) or stairs with a top lid:
  - The entire pull-down stair assembly will be covered with an airtight and removable/openable enclosure inside the attic space.

4.2.4(f) Knee walls and skylights

4.2.4(f1) Existing batts shall be in full contact with interior cladding and top and bottom plates.

4.2.4(f2) Uninsulated knee wall areas over 12" in height (after attic floor insulation is installed) and uninsulated skylight wells shall be insulated to the R-value in Table 37-1.

4.2.4(f3) Installed insulation shall be in full contact with all sides of the knee wall cavity.

- All knee walls will have a top and bottom plate or blockers installed using a rigid material.
- All joints, cracks, and penetrations will be sealed in finished material, including interior surface-to-framing connections.

4.2.4(f4) Knee walls without framing

- A rigid insulated sheathing of the required R-value shall be mechanically fastened.

4.2.4(g) Partial sloped ceiling and knee wall combinations

4.2.4(g1) Batts may be installed in partial sloped ceiling cavities.

- Loose fill is not allowed.

4.2.4(g2) A minimum of 1" of air space is required between the batts and the roof sheathing.

4.2.4(h) Unvented flat roofs

4.2.4(h1) Code-compliant ventilation shall be installed before insulation is installed.

4.2.5 Insulation Certificate

4.2.5(a) An insulation certificate (CSD 610 form) shall be completed and signed by the contractor responsible for installing the insulation.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.2 Before installing this measure, prior approval must be granted from the California Department of Housing and Community Development (HCD), or another authority having jurisdiction.

5.1.3 Structural Requirements

5.1.3(a) All methods

5.1.3(a1) Trusses shall be capable of withstanding:

- The added weight of the insulation system
- The increased snow load resulting from reduced heat loss through the roof

5.1.3(a2) The ceiling condition shall be such that all holes, cracks, and other bypasses into the roof cavity can be effectively repaired and sealed to minimize permeation of household moisture into the roof cavity.

5.1.3(a3) See (Fig. 37-6)

5.1.3(b) Cavity fill method–specific

5.1.3(b1) The ceiling shall be structurally adequate to support the weight of the added insulation plus the blowing machine pressure without bulging or sagging.

5.1.3(b2) Maximum ceiling panel deflection after cavity fill shall be ¼" in 4' of lateral run.

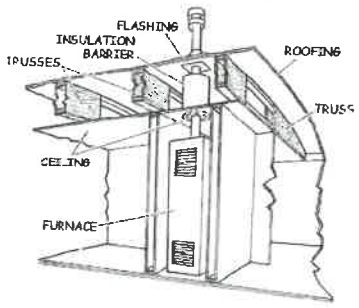

FIG. 37-6: MOBILE HOME ROOF STRUCTURE

5.1.4 Ceiling Soundness

5.1.4(a) Ceiling panel attachments

5.1.4(a1) Additional attachments shall be installed as needed for support and to prevent excessive ceiling sag.

5.1.4(a2) Loose ceiling panels will be secured.

5.1.4(b) Ceiling panel repair

5.1.4(b1) Weak, deteriorated, or broken ceiling panels anywhere in the area to be insulated shall be repaired/replaced as needed to prevent ceiling panel collapse or excessive sag.

5.1.4(b2) Repairs in open, visible areas shall match the existing finish or material as closely as possible.

5.1.5 HPD Blocking

5.1.5(a) Barrier installation access

5.1.5(a1) Access for installation may include the temporary removal of:

- The HPD
- The ceiling trim or trim collar
- A small amount of ceiling material immediately surrounding the HPD
- The roof flashing

5.1.5(b) Post-blocking requirements

5.1.5(b1) HPDs that were removed to facilitate roof cavity insulation installation shall be properly reinstalled.

5.1.5(b2) Gaps created by removing ceiling material shall be filled with the material removed or other appropriate material as needed.

5.1.5(c) Vent pipes

5.1.5(c1) The space between combustion appliance vents and the ceiling that are allowed to be sealed will be sealed with fire-rated materials.

5.1.5(c2) Ceiling collars and other trim material shall be properly reinstalled.

5.1.5(c3) All combustion appliance flues and vents will be terminated to the exterior of the house and terminations will maintain proper clearance above snow loads.

5.1.6 Roof Repair

5.1.6(a) Leaks

5.1.6(a1) All leaks that can allow household moisture to penetrate the walls or ceiling and permeate the roof cavity shall be sealed (Fig. 37-7).

5.1.6(a2) Dishing and pooling issues that allow standing water shall be addressed.

5.1.6(a3) All broken roof cavity vents shall be replaced or removed and sealed.

5.1.6(a4) Leaks in the existing roof shall be sealed prior to installation of a roof cap.

5.1.6(a5) Defective roof-mount flashing devices shall be replaced.

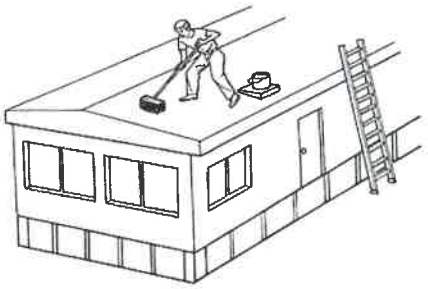

FIG. 37-7: ROOF LEAKS MUST BE REPAIRED BEFORE INSULATION IS INSTALLED

5.1.6(b) Repair methods

5.1.6(b1) All surfaces shall be cleaned, and materials shall be applied as instructed.

5.1.6(b2) All sealants shall be compatible with the existing roof surface.

5.1.7 Insulation Methods

5.1.7(a) Insulation methods shall be selected based on the limitations described below.

5.1.7(b) Roof cap insulation method

5.1.7(b1) Shall be installed only on mobile homes in which:

- The ceiling structure is not capable of supporting, or is too shallow to accept, a minimum R-11 cavity fill
- The dwelling is equipped with a functioning, permanent air conditioner and/or electric forced air heating system

5.1.7(c) Gable end insulation method

5.1.7(c1) Insulate from the gable ends when the truss height is ≥10" at the apex.

5.1.7(c2) Insulation shall be:

- Used to fill the area immediately adjacent to gable ends where proper distribution can be verified by visual inspection
- Performed in conjunction with interior ceiling bore or exterior roof edge cavity fill methods (not used to insulate the entire roof cavity)
- Blown in, leaving a minimum 1" gap below the roof for air circulation
- A minimum R-value of R-11 and a maximum of R-30.

5.1.7(d) Exterior roof edge cavity fill method

5.1.7(d1) Shall be restricted to ceilings and roofs that:

- Can support the weight of added insulation and blowing pressure
- Are covered by metal roofing material
- Do not contain an underlayment of wood sheathing
- Can feasibly be detached and lifted in segments along the edge
- Have sufficient height to allow a minimum R-11 pressure fill

5.1.7(d2) The existing roof shall be free of damage and deterioration that would prevent restoration to a watertight condition following installation.

5.1.7(e) Interior ceiling bore cavity fill method

5.1.7(e1) May be installed in any mobile home with:

- A ceiling structure capable of supporting the added insulation and blowing pressure
- A roof cavity deep enough to accept a minimum R-value of R-11 and a maximum of R-30

5.2. Installation Procedure

5.2.1 Preparation of the Home

5.2.1(a) Avoid damage to the home and furnishings by the insulation hose, ladders, etc.

5.2.1(b) Use special precautions to limit fiberglass and construction dust exposure to the clients and their belongings.

5.2.1(c) When the interior ceiling bore cavity fill method is performed:

5.2.1(c1) Protect all floors, furniture, appliances, clothing, and other personal belongings from dust (e.g., with drop cloths)

5.2.1(c2) Capture drilling dust and debris (e.g., by holding a high-efficiency particulate air [HEPA] filter vacuum intake near the hole being drilled).

5.2.2 Ceiling Preparation

5.2.2(a) Ceiling vents not used for combustion air

5.2.2(a1) Seal the vent openings with minimum ½" gypsum, plywood, or metal and covered with insulation.

5.2.2(a2) Vents shall not be sealed with batts or foam board.

5.2.3 Cavity-Fill Insulation Methods

5.2.3(a) Blower set-up

- Set the hose outlet pressure in accordance with the manufacturer's specifications.
- The blowing machine shall be controlled with a remote switch.
- The fill tube diameter shall be a minimum of 2".

5.2.3(b) Material placement

- Install insulation into the void of the ceiling cavity:
  - If existing insulation is roof-mounted, insulation shall be blown below.
  - If existing insulation is ceiling-mounted, insulation shall be blown above.
  - If existing insulation is mounted at both locations, insulation shall be blown in between.

5.2.3(b1) Avoid overfilling at roof edges and above ceiling trusses.

5.2.3(b2) Installation shall leave a minimum 1" gap below the roof for air circulation.

5.2.3(c) Density of cavity fill

5.2.3(c1) Insulation thickness and density shall be a minimum of R-11 and a maximum of R-30.

5.2.3(c2) Using the fill tube, fill 100% of each cavity to a consistent density.

5.2.3(d) Ceiling performance

5.2.3(d1) Correct any excessive ceiling panel stress caused by insulation weight and pressure.

- Tighten loose attachments.
- Install additional attachments as needed to secure ceiling panels to joists.
- Maximum ceiling panel warpage deflection after cavity fill shall be ¼" in 4' of lateral run.

5.2.3(e) Temporary ceiling bracing is recommended during the installation process.

5.2.4 Roof Cap Method

5.2.4(a) The roof cap method shall consist of minimum R-11 rigid insulating material installed over the existing roof and capped with an overlay of metal roofing or a synthetic membrane

5.2.4(b) Roof cap system design/permitting

5.2.4(b1) System design for roof cap insulation shall be submitted to and approved by HCD prior to any installation activities.

5.2.4(c) Rigid insulation

5.2.4(c1) Rigid foam shall be pre-formed expanded polystyrene or pre-formed polyisocyanurate.

5.2.4(c2) Roof board shall be high-density fiberglass.

5.2.4(c3) Attachment (Fig. 37-8):

- Metal roofing roll-back, cutting, or boring is prohibited.
- Insulating panels shall be secured to the metal roof with screws and washers.

5.2.4(d) Metal roof cap systems

5.2.4(d1) Continuous roll-on roofing with factory-sealed seams:

- Required on a curved roof and recommended on all roofs

5.2.4(d2) Individual panel metal roofing:

- Shall have interlocking standing seams to permanently seal against water penetration (Fig. 37-9)

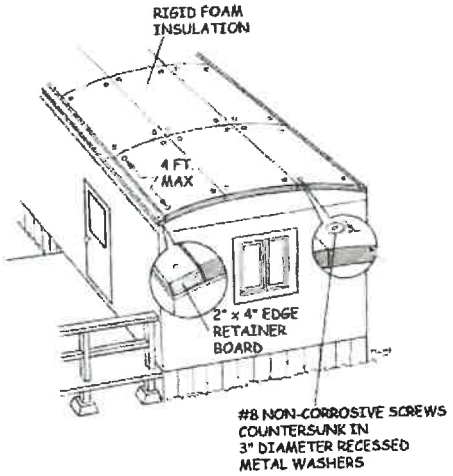

FIG. 37-8: RIGID INSULATION ATTACHMENT

5.2.4(e) Synthetic membranes

5.2.4(e1) Membranes that are spliced and attached with a permanent vulcanizing process may be installed in continuous strips at least 6' wide and run the length of the roof.

5.2.4(f) Wood edging and furring

5.2.4(f1) Wood edging and furring attachment (Fig. 37-10)

- Utilize screws to attach wood members to the framework of the existing roof.

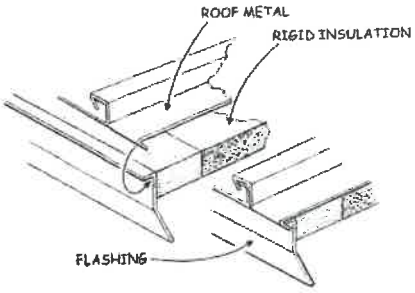

FIG. 37-9: INTERLOCKING STANDING SEAMS ON METAL ROOF CAP SYSTEM

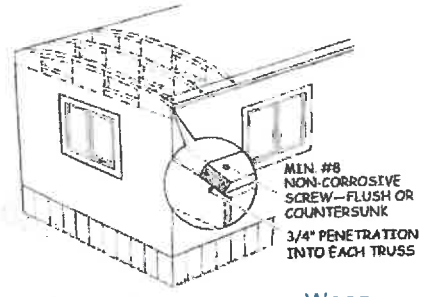

FIG. 37-10: ATTACHMENT OF WOOD EDGING AND FURRING

5.2.4(g) Metal edging, drip rail, ridge cap, and similar components

5.2.4(g1) Securely attach metal components to the mobile home framework with screws to ensure permanent attachment (Fig. 37-11).

5.2.4(h) Component sealing

5.2.4(h1) All penetration points shall be made watertight.

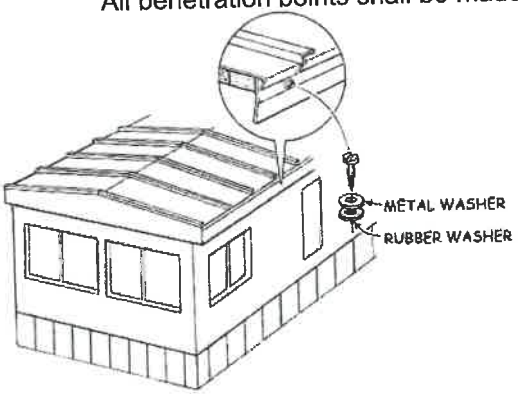

FIG. 37-11: ATTACHMENT OF METAL EDGING

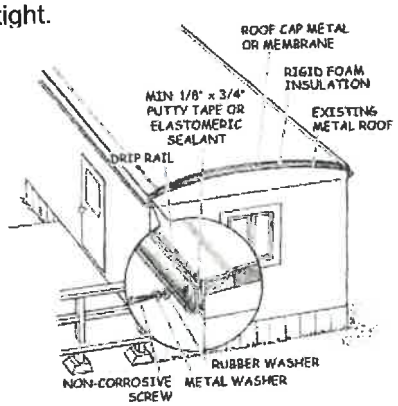

FIG. 37-12: ROOF EDGE COMPONENT REASSEMBLY AND SEALING

5.2.4(h2) Provide additional sealing with elastomeric sealant or putty tape a minimum of ⅛" thick between the component and the mounting surface.

5.2.4(h3) See (Fig. 37-12)

5.2.4(i) Gas and solid fuel appliance vents and flashings

5.2.4(i1) Correct existing, non-conforming conditions.

5.2.4(i2) Plumbing vent pipes shall extend a minimum of 2" above the surface of the roof cap (Fig. 37-13).

5.2.4(i3) Properly reinstall evaporative coolers.

- The plenum shall extend sufficiently through the roof cap to facilitate installation of a watertight seal.
- Install all mounting hardware in a manner which provides adequate support and a watertight seal at the surface of the new roof cap.

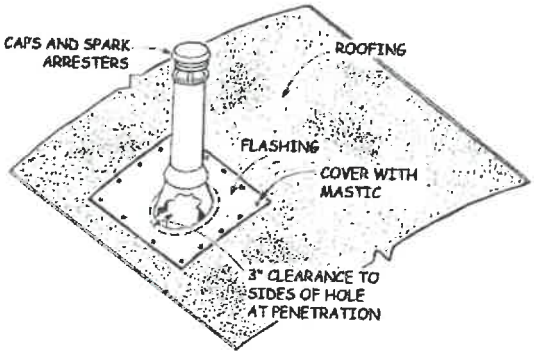

FIG. 37-13: GAS AND SOLID FUEL VENTS AND FLASHINGS

5.2.4(j) Roof cavity ventilation

5.2.4(j1) Existing roof vents (e.g., gable vents) shall be tightly blocked and sealed (Fig. 37-14).

5.2.4(j2) Ventilated walls

- Bypasses into roof cavities at the top of ventilated walls shall be blocked.
- The top and bottom of ventilated walls shall not be caulked or blocked.

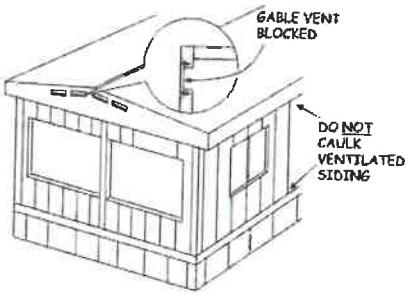

FIG. 37-14: BLOCKED ROOF VENTS

5.2.5 Gable End Method

5.2.5(a) Gable end insulation is used to fill the area immediately adjacent to gable ends where proper distribution can be verified by visual inspection.

5.2.5(b) Exterior surface-mount approach

5.2.5(b1) Insulation materials: Minimum R-11 rigid insulation covered with a watertight metal enclosure

5.2.5(c) Interior truss-mount approach

5.2.5(c1) This approach shall be used only when the gable end siding material can be safely removed and replaced.

5.2.5(c2) Securely install insulation within or behind the exposed gable end framework and replace the gable end siding (Fig. 37-15 and Fig. 37-16).

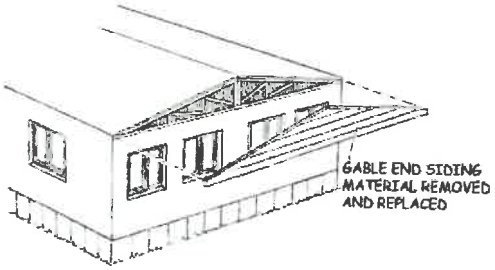

FIG. 37-15: FLEXIBLE OR RIGID INSULATION INSTALLED WITHIN A TRUSS FRAME

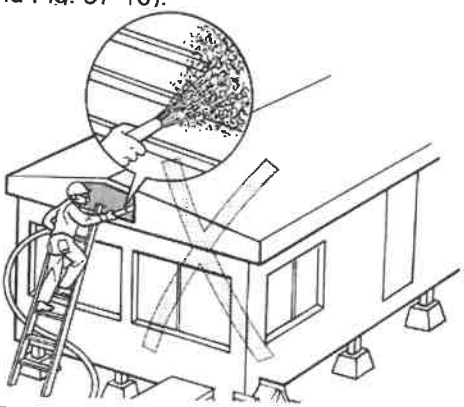

FIG. 37-16: CROSS-BLOW IS NOT ALLOWED FOR THE ENTIRE CEILING

5.2.5(d) Gable end cavity fill approach

5.2.5(d1) This approach shall be used only when the ceiling structure is capable of supporting the weight of the added insulation and the blowing pressure.

5.2.5(d2) Insulation shall be loose-fill fiberglass.

5.2.5(d3) Remove siding material or vent grilles or cut/drill holes for access.

5.2.5(d4) Fill the truss cavity immediately adjacent to each gable end with loose-fill fiberglass to create a thermal barrier over the entire gable end.

5.2.5(d5) Return the gable end to a watertight condition with all holes and vents blocked and sealed.

5.2.6 Exterior Roof Edge Cavity Fill Method

5.2.6(a) The roof edge is lifted and temporarily supported to access the truss space where the fill tube will be inserted.

5.2.6(b) Insulation shall be loose-fill fiberglass.

5.2.6(c) Roll-back of metal roofing is not allowed.

5.2.6(d) Utility penetrations and other holes in the top plate shall be sealed while the roof is lifted.

5.2.6(e) Eave vents and wall bypasses that communicate with the roof cavity shall be blocked and sealed.

5.2.6(f) Material placement

5.2.6(f1) Insert the fill tube to within 6" of the end of each ceiling cavity.

- Maximum insulation travel shall be 2' past the end of the fill tube. (Fig. 37-17)

5.2.6(f2) Using the fill tube, fill 100% of each cavity to a consistent density.

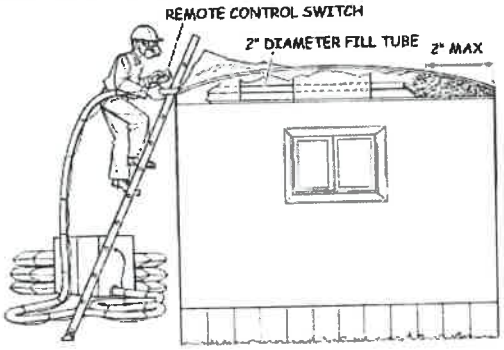

FIG. 37-17: BLOWER MACHINE USE

5.2.6(g) Roofing reassembly

5.2.6(g1) Return metal roofing to its original position and reattach it securely with non-corrosive fasteners (screws, staples, etc.).

5.2.6(h) Reassembly and sealing of roof edge

5.2.6(h1) Replace damaged drip rail, flashing, etc., with compatible materials as needed to ensure proper performance (Fig. 37-12).

5.2.6(h2) Sealing

- Apply sealant between the metal roof and the attached components at all penetration points.
- Apply sealant to exposed seams and screw heads as needed to achieve a permanent, watertight seal.

5.2.7 Interior Ceiling Bore Cavity Fill Method

5.2.7(a) Insulation shall be loose-fill fiberglass.

5.2.7(b) Hole size and spacing

5.2.7(b1) Holes will be large enough to accommodate the chosen fill tube without damaging the ceiling material during installation (≥2" inside diameter [ID], ≤3" ID).

5.2.7(b2) Hole location and size will be placed to provide access to allow for consistent and uniform coverage throughout the ceiling assembly.

5.2.7(b3) Drill equally spaced holes in the ceiling parallel to the exterior wall (except where structural obstructions require alternate spacing).

5.2.7(b4) If a longitudinal ceiling trim piece exists, remove the trim piece and drill holes behind the trim

5.2.7(b5) There shall be at least one hole between each roof truss.

5.2.7(c) Material placement

5.2.7(c1) Fill holes shall extend through the existing vapor barrier and insulation.

5.2.7(c2) Insert the fill tube within 6" of the end of each ceiling cavity.

5.2.7(c3) Using the fill tube, fill 100% of each cavity to a consistent density.

5.2.7(d) Ceiling performance and repair

5.2.7(d1) Correct any excessive ceiling panel stress caused by insulation weight and pressure.

- Tighten loose attachments.
- Install additional attachments as needed to secure ceiling panels to joists.
- Maximum ceiling panel deflection after cavity fill shall be ¼" in 4' of lateral run.
- Reinstall the existing trim if it was removed.

5.2.7(e) Plugs

5.2.7(e1) Custom-made plugs matching the existing ceiling material is a best practice.

5.2.7(e2) Plastic plugs are acceptable.

5.2.7(e3) Seal all plugs in place with caulking, construction adhesive, or other appropriate sealant.

5.2.8 Installation Integrity

5.2.8(a) During the installation process, installers shall verify that damage has not occurred to the roof or ceiling assemblies.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 When only an individual multi-family unit will be served, this measure is not feasible.

6.1.2 Installation requirements for multi-family buildings are the same as those for conventional homes.

6.1.3 Installation of insulation within the same thermal boundary as dwelling units is allowed when justified by the DOE Priority List or an energy audit for a whole-building project. See Appendix D Energy Audit/Priority List Protocol.

6.1.4 When adding or replacing HVAC appliances (including a new or fully replaced duct system) in a vented attic consisting of an open space (not intersected by firewalls), insulation must meet installation criteria in Table 37-1.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure may be a DOE Audit path, audit driven measure, or Priority List path, Mandatory measure.

7.1.2 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.4 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.5 To assess for this measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.5(a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.5(b) When assessing this measure for the Audit path, measure feasibility will be decided by the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.5(b1) When the measure is feasible based on the audit, and the measure is categorized as a "Major" measure (i.e., Infiltration Reduction, Duct Sealing, Ceiling Insulation, Floor Insulation, and Wall Insulation), the measure shall be installed or the dwelling must be deferred.

7.1.5(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.5(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.6 If a client refuses a feasible Major Audit path measure, Mandatory Priority List path measure, or Health & Safety measure, the entire dwelling shall be deferred.

7.1.7 The R-value of added insulation shall be a maximum R-value as set by Table 37-1 or as defined by energy audit.

7.1.8 Attic ventilation will only be installed in conjunction with attic/ceiling insulation.

7.1.9 When installation of ceiling insulation requires IC-rated fixture installation or retrofit of a non-IC-rated fixture with an approved cover/box, the materials and labor shall be billed to the Limited Home Repair-H&S Support line item for DOE WAP jobs.

7.1.9(a) As an incidental repair for DOE WAP, the cost of this work must comply with the incidental repair cost cap considerations as defined in Appendix D Energy Audit/Priority List Protocol.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP except as specified below.

TABLE 37-3: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
ATTIC FLOORS, UNCONDITIONED ATTIC					
4.0104.2c, 4.0104.4c	General Preparation	Remove any existing faulty insulation, vapor barrier materials, and protusions from the installation area.	X	X	X
4.0103.1c	General Preparation	Install flags at all utility junctions that can be seen above the final level of the insulation.	X		X
4.0103.6c, 4.0104.1c, 4.0104.1d	Installation - Dense Pack	Install airtight, rigid, blocking material at all cavity openings that aligns with the pressure boundary and will not fail under dense pack pressures.	X	X	X
4.0104.1d 4.0104.2e	Installation at Knee Walls - Dense Pack, Batt	Secure backing material using mechanical fasteners that penetrate the sub-framing a minimum of 1".	X	X	X
4.0104.4d	Installation at Knee Walls - Rigid Foam	Install rigid insulation to prescribed R-value using mechanical fasteners. Seal all insulation seams, joints and connections with compatible sealant (caulk, tape, mastic, etc.).	X	X	X

TABLE 37-3: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
SOFFITS & VENTED EAVES					
4.0103.1c, 4.0103.2c	Ceiling Insulation	When vented eaves or soffits exist, mechanically fasten the insulation baffles in every roof bay that extends above the final insulation level by at least 6".	X		X
MOBILE HOMES					
4.0103.10c	Mobile Home Blown Insulation (Roof Side Lift)	Remove a small section (no more than 10') of fasteners at a time from the J channel and the roof edge on the most easily accessible side of the dwelling. Separate the roof from the heel plate and siding. Prop the roof open no more than necessary to accommodate the fill tube access to the entire cavity. Avoid performing this method when high winds are expected.		X	
4.0103.10e	Mobile Home Blown Insulation (Roof Side Lift)	Remove the existing sealant from the roof edge and J channel. Install a new J channel if the existing J channel is damaged.		X	
4.0103.11d	Mobile Home Blown Insulation (Roof Top Access for Flat, Bowed, or Vaulted Ceilings)	Create a horizontal opening the full length of the attic by slicing the roof open at the peak. Do not allow more room than is necessary for access to the entire attic cavity using a fill tube, OR Drill or cut uniform holes in the roof, adequately spaced, to access the entire roof cavity to be insulated.		X	
4.0103.11f, part 1	Mobile Home Blown Insulation (Roof Top Access for Flat, Bowed, or Vaulted Ceilings)	If the roof is sliced open: • Install a solid metal ridge cap centered over the slice that overlaps each side of the roof by a minimum of 2". • Install a continuous, permanently flexible and durable sealant between the roof and the entire perimeter of the ridge cap. • Install mechanical fasteners along the perimeter of the ridge cap every 6" or less that do not enter any framing material, prevent wrinkles and create a permanent seal. • Apply a durable and flexible final roof coating over the screws and edge of the ridge cap to create a continuous seal between the roof and the perimeter of the ridge cap.		X	
4.0103.11f, part 2	Mobile Home Blown Insulation (Roof Top Access)	For holes that are drilled or cut: • Prepare at least 6" of surface surrounding the opening by removing any material that will interfere with sealant adhesion. • Install a durable metal patch of equal or greater gauge than the roof material that overlaps the opening by a minimum of 2" on all sides. • Install a continuous bead of flexible and durable all-weather adhesive between the roof patch and the roof. • Mechanically fasten patch along the perimeter every 2" without entering any framing material to prevent wrinkles and create a permanent seal. • Install a durable and flexible 45 mil minimum adhesive roof patch in accordance with manufacturer specifications over the initial patch that overlaps the initial patch by a minimum of 2" on all sides. Confirm surface temperatures are within the manufacturer's guidelines for installation. • Apply a durable and flexible final coating (e.g., elastomeric paint) over the adhesive patch that laps at least 6" over the patch on all sides to create a continuous seal between the roof and the perimeter of the patch.		X	
4.0103.11f, part 3	Mobile Home Blown Insulation (Roof Top Access)	Adhesive patches must meet the following minimum standards: Tensile strength of 640g, elongation of 380%, service temperature between -25 and 150 degrees F.		X	

TABLE 37-3: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
4.0103.9c	Mobile Home Blown Insulation (Gable End Access)	Create access to attic by removing existing gable vents or installing new gable vents on each gable of the home that are large enough for access to install insulation correctly.		X	
4.0103.9e	Mobile Home Blown Insulation (Gable End Access)	Re-install gable vents using mechanical fasteners. Ensure the vents are oriented per the manufacturer's specifications. Install gable vents with a pest intrusion screens with a maximum hole size of 1/2".		X	

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Combustion appliance safety testing must be performed upon completion of all measures that affect air tightness of home, per Appendix A Combustion Appliance Safety Protocol.

8.1.2 Completed attic sections shall be confirmed to have an even level of insulation at the prescribed R-value in accordance with Table 37-1 or to capacity.

8.1.3 Confirm that damage has not occurred to the roof or ceiling during installation

8.1.4 Once installed, insulation shall not be compressed or scattered, which could impact the efficiency of the insulation R-value.

8.1.5 The clearance zone for HPDs and vents shall be cleared of overblown insulation.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Attic/Ceiling Access

8.2.2(a) The purpose of insulation and proper access operation will be communicated to client.

8.2.3 Disappearing Stairs

8.2.3(a) Educate the client on how to use the access to ensure the integrity of the insulated and sealed assembly throughout its service life.

8.2.3(b) The purpose of the entire measure (insulation, air seal, protective barrier, proper attic stair operation) shall be communicated to client.

8.2.4 Whole House Fan

8.2.4(a) When a whole house fan is present, educate the client on how to use it to ensure the integrity of the insulated assembly throughout the fan's service life and to prevent disturbance of the insulation.

8.2.5 Required Documentation

8.2.5(a) A completed copy of the CSD 610 Insulation Certificate shall be provided to the client.

8.2.5(a1) The certificate shall be completed and signed by the contractor responsible for installing the insulation. The manufacturer, brand, total installed R-value, etc. of the insulation installed in the roof/ceiling, walls, floor, and slab edge shall be documented.

8.2.5(a2) The installer shall also verify compliance with ventilation and infiltration reduction measures for the building envelope.

8.3. Clean-Up and Disposal Requirements

8.3.1 Upon completion, the residence shall be returned to its original condition and left free of job-related dust and debris inside and out.

8.3.2 A HEPA filter vacuum shall be used for all vacuuming.

8.3.2(a) All areas between indoor work areas and the home entrance shall be vacuumed.

8.3.2(b) The area between the home entrance/access and the insulation truck shall be swept or vacuumed.

8.3.3 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP:

9.1.1(a) Blown-in/batt—20 years

9.1.1(b) All other types—Not applicable to this measure

9.1.2 DOE:

9.1.2(a) Blown-in/batt—30 years

9.1.2(b) All other types—20 years

9.2 All insulation shall be:

9.2.1 Certified to comply with the material specifications in the California Code of Regulations (CCR), Title 24, Part 12, Chapters 12–13 and "Standards for Insulating Material."

9.2.2 Rated with a flame spread and smoke development index of 25/450 or less in accordance with ASTM E84 or UL 723.

9.2.2(a) Rigid knee wall insulations shall have a flame spread and smoke development index of 75/450 or less when tested in accordance with ASTM E84 or UL 723.

9.2.2(b) Backing materials for batt insulation in attics used for client storage shall have a smoke development index of 450 or less when tested in accordance with ASTM E84 or UL 723.

9.3 Vapor barrier shall be rated no higher than one perm.

9.4 When required as a condition of permit:

9.4.1 Installed IC-rated fixtures must be listed for zero clearance insulation contact, with a label that certifies it as airtight (leakage less than 2.0 CFM at 75 Pascals when tested to ASTM E283).

9.4.2 Installed fixture covers for non-IC-rated fixtures shall be fireproof and listed for the purpose. The covers shall only be used where a non-IC fixture has a thermal switch that disconnects the electricity to the light if the temperature exceeds unsafe levels (e.g., TENMAT® and Insulite® covers). The cover must be able to withstand applied loads.

9.4.2(a) Note: Products that act as dams for can lighting, but do not allow insulation to cover the area over the fixture, are not acceptable.

9.4.3 Sealant exposed to the interior of the fixture or cover must be the same fire rating as the cover.

9.5 Permanent Blocking

9.5.1 Batts: Must comply with American Society of Testing and Materials (ASTM) C665

9.5.2 Non-corrosive metal, minimum 0.007" thick

9.5.3 Commercially available plastic chutes and cardboard baffles (for eave vent chutes and baffles only)

9.6 Mineral Fiber Insulation

9.6.1 Batts and blankets: Must comply with ASTM C665

9.6.2 Loose fill: Must comply with ASTM C764 and ASTM E84

9.7 Cellulose Loose Fill

9.7.1 Must be licensed for sale in California

9.7.2 Must be listed in the Department of Consumer Affairs' "Directory of Certified Insulation Materials"

9.8 Rigid Insulation

9.8.1 Must be reformed polyisocyanurate board, foil-faced on both sides

9.8.2 Must comply with Federal Standard (FS) HH-1-1972

9.8.3 High-density fiberglass board must comply with ASTM C726

9.9 Access Cover Insulation

9.9.1 Refer to Table 37-1.

9.10 Attic/Ceiling Access Door/Cover

9.10.1 Refer to Section 32 Infiltration Reduction, Material Specifications.

9.11 Strapping material must have a minimum expected service life of 20 years

9.12 Material Specifications for Mobile Homes

9.12.1 All insulation shall be certified to comply with the material specifications in the California Code of Regulations, Title 24, Part 12, Chapters 12–13, Article 3, "Standards for Insulating Material." In the applicable methods:

9.12.1(a) Loose-fill fiberglass shall comply with ASTM C764 and ASTM E84.

9.12.1(a1) Loose-fill rock wool or cellulose is not allowed.

9.12.1(b) Pre-formed expanded polystyrene foam board shall:

9.12.1(b1) Comply with ASTM C578

9.12.1(b2) Have a minimum density of 1 lb. per cu. ft.

9.12.1(c) Pre-formed foil faced polyisocyanurate or polyurethane foam board shall comply with FS HH-I-1972.

9.12.1(d) All flexible mineral fiber shall comply with ASTM C665.

9.12.1(e) Roof board shall:

9.12.1(e1) Be high-density fiberglass

9.12.1(e2) Comply with ASTM C726

9.12.1(e3) Have a minimum density of 3 lbs per cu. ft.

9.12.2 Synthetic membranes

9.12.2(a) Polyvinyl chloride material

9.12.2(a1) Minimum thickness: 40 mil

9.12.2(a2) Embedded rip-stop fiber scrim required

9.12.2(b) Ethylene propylene diene monomer and Hypalon™ rubber

9.12.2(b1) Minimum thickness: 45 mil

9.12.2(b2) Shall comply with ASTM D4637

9.12.3 Roofing material

9.12.3(a) Aluminum

9.12.3(a1) Materials shall have a minimum thickness of 0.024" for roofing material and 0.019" for gable end enclosures.

9.12.3(b) Steel

9.12.3(b1) Materials shall have a minimum 30-gauge thickness and comply with ASTM A361/361M.

9.12.3(c) Baked-on enamel or equivalent coating is a best practice.

9.12.4 Roof cover material

9.12.4(a) Materials shall be:

9.12.4(a1) Approved and listed by the Department of Housing and Urban Development (HUD)

9.12.4(a2) Approved by the manufacturer for mobile home roof cap applications

9.12.4(a3) Adequately puncture-resistant to withstand the environmental hazards of the location in which it will be installed (e.g., dropping pinecones, tree branches, etc.)

9.12.4(a4) Light in color

9.12.5 Wood edging and furring

9.12.5(a) Redwood or pressure-treated fir is preferred.

9.12.5(b) #2 or better Douglas fir is acceptable.

9.12.5(c) Nominal cross-sectional dimensions shall be minimum 2" x 2".

9.12.6 Metal edging without wooden perimeter

9.12.6(a) Aluminum: 0.028" thickness

9.12.6(b) Galvanized steel: 26 gauge

9.12.7 Metal drip rail, edge trim and flashing, end and ridge caps

9.12.7(a) Aluminum: 0.024" thickness

9.12.7(b) Galvanized steel: 30 gauge

9.12.8 Mechanical fasteners

9.12.8(a) All screws, nails, or staples shall be a minimum of ¾" long and non-corrosive (cadmium-plated or equivalent)

9.12.8(b) All screws shall be #8 minimum size, flathead, and of the proper type and size to ensure a permanent attachment.

9.12.8(c) All washers shall be 3" minimum diameter and contain a center recess to place the screw head flush with or below the insulation surface

9.12.9 Caulking

9.12.9(a) Elastomeric sealant types include polysulfide, polyurethane, and silicone.

9.12.9(a1) Shall comply with ASTM standards for elastomeric sealants (e.g., C920, C603, C734, C1250, and D2202)

9.12.10 Putty tape shall be self-sealing, pliable, and long-life–type adhesive.

10. WARRANTY

10.1 Manufacturer—Limited lifetime

10.2 Contractor—1 year

38. Wall Insulation

Table of Contents

1. MEASURE OBJECTIVES 38-1

2. INSTALL THIS MEASURE WHEN: 38-1

2.1. Repair 38-1

2.2. Install 38-1

3. DO NOT INSTALL THIS MEASURE WHEN: 38-1

4. INSTALLATION GUIDELINES 38-1

4.1. General Requirements 38-1

4.1.3 Fire Hazards 38-2

4.1.6 Restricted Locations 38-2

4.1.7 Electrical Wiring 38-2

4.1.8 Masonry Fireplaces or Chimneys 38-2

4.1.10 Methods of Installing Pressure-Fill Insulation 38-3

4.1.10(a) Fill tube method—Exterior and top-fill wall installation 38-3

4.1.10(b) Nozzle fill method—Exterior and interior wall installation 38-3

4.1.11 Required R-Values 38-3

4.2. Installation Procedure 38-4

4.2.1 Preparation 38-4

4.2.1(b) Protection of the dwelling and its contents 38-4

4.2.2 Drill and Fill Precautions 38-5

4.2.3 Installing Insulation 38-6

4.2.3(a) Insulation blower set-up 38-6

4.2.3(b) Cavities created by fire blocks and bracing 38-6

4.2.3(c) Walls open to attic or crawlspace (balloon-framed) 38-6

4.2.3(d) Attic open to uninsulated soffits 38-6

4.2.3(e) Walls open to suspended ceilings 38-6

4.2.4 Filling and Patching Walls 38-7

4.2.4(a) Stucco, plaster, and gypsum walls 38-7

4.2.4(b) Wood walls 38-7

4.2.4(c) Holes in moisture barrier 38-7

4.2.4(e) Painting over patches 38-8

4.2.5 Insulation Certificate 38-8

5. MOBILE HOME–SPECIFIC 38-8

5.1. Installation Requirements 38-8

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5.1.3 Wall Cavity Assessment *38-8*
5.1.4 Electrical Wiring Verification *38-8*
5.1.5 Indoor Preparation for Mobile Home Insulation *38-9*
5.1.5(f) Electrical boxes (switch and receptacle) 38-9
5.1.5(g) Blocking 38-9
5.1.6 Outdoor Preparation for Mobile Home Insulation *38-10*
5.2. Installation Procedure 38-10
5.2.1 Mobile Home Installation Methods *38-10*
5.2.1(a) Batt "stuffing" method 38-10
5.2.2 Limited Access Procedures—Blanket/Batt Insertion *38-12*
5.2.2(b) Cavities with electrical wiring and plumbing 38-12
5.2.2(c) Cavities with window, fan, or other obstruction 38-12
5.2.3 Limited Access Locations—Pressure-Fill *38-13*
5.2.3(a) Purpose 38-13
5.2.3(b) Procedure 38-13

6. MULTI-FAMILY–SPECIFIC 38-14
6.1. Installation Procedure 38-14

7. DOE-SPECIFIC 38-14
7.1. Assessment Requirements 38-14
7.2. Installation Requirements 38-15

8. POST-INSTALLATION GUIDELINES 38-15
8.1. Quality Check 38-15
8.2. Client Education 38-16
8.3. Clean-Up and Disposal Requirements 38-16

9. MATERIAL SPECIFICATIONS 38-16

10. WARRANTY 38-17

Wall Insulation

1. MEASURE OBJECTIVES

1.1 Wall insulation slows the transfer of heat through the thermal boundary, reducing the amount of heat entering the home on a warm day and the amount of heat loss on a cold day.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 The wall separates conditioned from unconditioned space and

2.2.2 At least 200 sq. ft. of wall area (net area, excluding doors and windows) has R-0 insulation and is feasible to insulate or

2.2.3 Insulation has a savings-to-investment ratio (SIR) ≥1.0 as proven by an energy audit

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The existing insulation R-value is measured to be adequate

3.2 One or more of the following conditions are present and have not been (or cannot be) corrected:

3.2.1 Structural defects exist that cannot be corrected, such as:

3.2.1(a) The need for interior or exterior wall repairs

3.2.1(a1) Substandard interior sheathing (such as ¼" gypsum, ⅛" paneling with 16" on center (OC) framing, ¼" paneling with 24" OC framing, etc.)

3.2.1(a2) Substandard exterior sheathing (such as deteriorated lap siding, wood shingles/ shakes, or other conditions that may not withstand the pressure of blown insulation)

3.2.2 There are water leaks or evidence of ongoing leakage

3.2.3 A combustion appliance safety (CAS) hazard or CAS fail exists per Appendix A Combustion Appliance Safety Protocol

3.2.4 Hazardous materials are present

3.2.5 Knob-and-tube (K&T) wiring is present in the walls

3.3 Installation would be in one or more Restricted Locations.

3.4 Installation would violate the Appendix E Health and Safety Requirements

3.5 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 This measure is a whole-building measure. In single-family dwellings (1-4 units) and multi-family buildings (with 5+ units), the whole building must be is served for wall insulation to be installed. See Appendix D Energy Audit/Priority List Protocol.

4.1.2 Audited Measures

4.1.2(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded, it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.2(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.3 Fire Hazards

4.1.3(a) If existing insulation is a potential fire hazard due to insulation covering heat-producing devices (HPDs) or combustion ventilation air (CVA) vents, these fire hazards shall be corrected by field personnel. See Section 1 General Installation Guidelines, Fire hazards and venting obstructions.

4.1.4 All air leakage locations (including duct and shell leaks), and thermal bypasses in the walls) shall be sealed prior to installation of insulation per Section 32 Infiltration Reduction and Section 8 Ducting Repair, Sealing and Insulation.

4.1.5 Cavities must be free of hazards, intact, and able to support dense pack pressures.

4.1.5(a) Install airtight, rigid, blocking material at all cavity openings that aligns with the pressure boundary and will not fail under installation pressures, especially dense pack.

4.1.6 Restricted Locations

4.1.6(a) Insulation shall not be installed in wall cavities that:

4.1.6(a1) Contain a service entrance, meter base, and/or distribution panel

4.1.6(a2) Contain a gas wall furnace

4.1.6(a3) Contain an electric wall heater or other HPD without full dimensional blocking and a 3" clearance zone or sealed protective pan.

4.1.6(a4) Contain an exhaust fan housing that is not a sealed unit

4.1.6(a5) Contain a metal chimney, flue, or recessed light fixture without a solid barrier and 3" clearance zone

4.1.6(a6) Contain a recessed shelf (insulate only above and below the shelving unit)

4.1.6(a7) Are used as, or contain, a heating, ventilation, or air conditioning duct

4.1.6(a8) Are open to an uninsulated soffit with a recessed light fixture that cannot be properly blocked

4.1.6(a9) Are adjacent to a masonry fireplace or chimney with less than 3" of clearance between the flammable insulation and masonry

4.1.6(a10) Are connected to an unprotected pocket door cavity (i.e., locations where blown insulation can enter the door pocket [Fig. 38-1])

4.1.6(a11) Are open on the interior (e.g., there is incomplete sheathing inside a cabinet, under a sink, etc.)

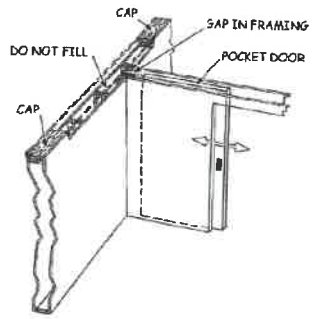

FIG. 38-1: WALL CAVITY CONNECTING WITH POCKET DOOR CAVITY

4.1.7 Electrical Wiring

4.1.7(a) Look for evidence of substandard wiring in the walls to be insulated.

4.1.7(b) Check for evidence of unsafe wiring at the service entrance and subpanels.

4.1.7(c) Remove at least one cover plate on each wall and check for evidence of unsafe wiring.

4.1.7(d) Identify and mark each cavity where it is unsafe to insulate.

4.1.8 Masonry Fireplaces or Chimneys

4.1.8(a) Cavities containing a masonry fireplace or chimney may be insulated if proper clearance is provided (Fig. 38-2).

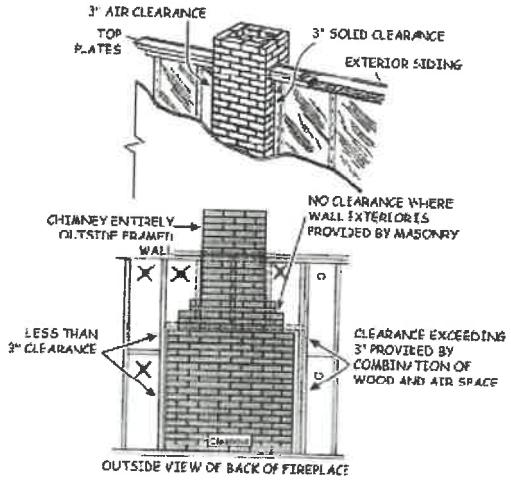

FIG. 38-2: PROPER CLEARANCE FOR MASONRY FIREPLACE OR CHIMNEY

4.1.8(b) For cellulose:

4.1.8(b1) A 3" clearance is required between cellulose and masonry

4.1.8(b2) The clearance must be provided by solid wood or a combination of wood and air space

4.1.8(c) For fiberglass, no clearance is required.

4.1.9 Follow the safety practices prescribed in the Appendix E Health and Safety Requirements, Asbestos Policy when asbestos-containing materials or lead-based paint are known or suspected to be present in/on wall sheathing.

4.1.10 Methods of Installing Pressure-Fill Insulation

4.1.10(a) Fill tube method—Exterior and top-fill wall installation

4.1.10(a1) A fill tube is required when insulation travel must exceed nozzle fill insulation travel maximums.

4.1.10(a2) Top-fill and bottom-fill are acceptable; top-fill is preferred.

4.1.10(a3) All fillable portions of cavities shall be completely filled to the correct density (Fig. 38-3).

4.1.10(a4) The hole size shall be no more than ½" larger than the fill tube outside diameter.

4.1.10(a5) Fill cavities to the required density, as prescribed by the insulation manufacturer, to achieve the required R-value.

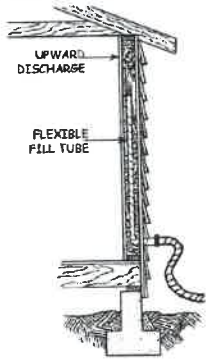

FIG. 38-3: FILL TUBE METHOD

4.1.10(a6) Dense pack requirements:

- Install cellulose material to a minimum density of 3.5 pounds at 50 pascals per cu. ft. as measured using Building Performance Institute (BPI) 102 "Standard for Air Resistance of Thermal Insulation Used in Retrofit Cavity Applications—Material Specification" or American Society of Testing and Materials (ASTM) C 522, E 283, or E 2178.
- Install loose fiberglass material specifically approved for airflow resistance to a minimum density of 1½–2 lbs. per cu. ft.
- Confirm that the number of bags installed matches the number required on the manufacturer's coverage chart.

4.1.10(b) Nozzle fill method—Exterior and interior wall installation

4.1.10(b1) Use a directional nozzle to direct the flow of insulation (Fig. 38-4).

- Exception: A straight nozzle is allowed when, due to the characteristics of the blowing equipment, a higher density fill can be achieved with a straight nozzle than with a directional nozzle.

4.1.10(b2) Completely fill all portions of all fillable cavities to required density, as prescribed by insulation manufacturer, to achieve the required R-value.

4.1.10(b3) Fill hole size shall conform with manufacturer's specifications.

4.1.10(b4) Insulation travel maximums:

- Downward 48"
- Upward 15"

4.1.10(b5) Fill all cavities large enough to be drilled.

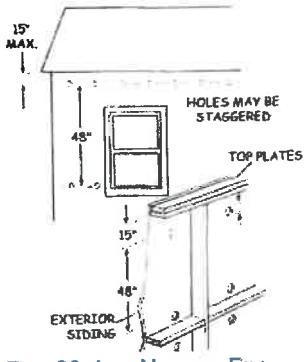

FIG. 38-4: NOZZLE FILL METHOD

4.1.11 Required R-Values

4.1.11(a) For all California Energy Commission (CEC) climate zones, R-value shall be installed in accordance with Table 38-1.

TABLE 38-1: INSULATION R-VALUE CRITERIA

Framing Type	Existing Insulation Level	Action
2x4	R-0	Increase to R-13
2x6	R-0	Increase to R-19

4.2. Installation Procedure

4.2.1 Preparation

4.2.1 (a) Before beginning an installation, the assessor shall inform the client of the inconvenience that may result and the condition in which the home will be left.

4.2.1 (b) Protection of the dwelling and its contents

4.2.1 (b1) Remove wall hangings and other items that may be jarred loose during pressure-filling.

4.2.1 (b2) Inspect all interior wall coverings and trim to make sure they are securely fastened to the wall.

- Re-set any loose nails and screws.
- Identify any areas of weakness where care must be taken while installing insulation.

4.2.1 (b3) Repair gaps and openings to prevent loose fill from entering the living space (Fig. 38-5).

- Caulk cracks and small holes, including plumbing and electrical penetrations.
- Repair large holes in interior surfaces (such as missing sheathing in cupboards and behind large appliances).

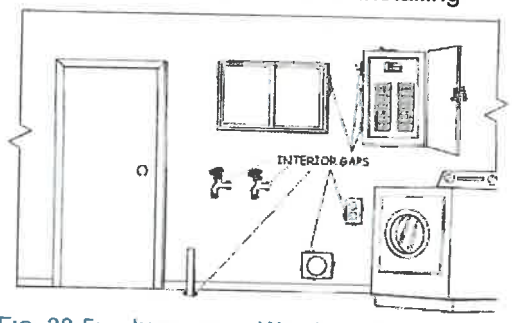

FIG. 38-5: INSULATION WILL LEAK THROUGH INTERIOR GAPS

4.2.1 (b4) When insulation is to be installed from the exterior:

- Carefully tie back shrubs/bushes as needed to access the full length of all wall cavities.
- When a garden is next to the home, make all feasible preparations to avoid damaging the plants (e.g., laying down planks to walk on, covering plants with plastic, etc.).
- To catch debris, place a cover (plastic sheeting, tarps, etc.) over the ground, starting at the edge of the wall and extending outward at least 12' (where possible).

4.2.1 (b5) When insulation is to be installed from the interior:

- Move furniture and home furnishings as needed to access the interior side of the walls (after obtaining the occupant's permission).
  - It is not necessary to move furniture that:
    - Is heavy and/or very difficult to move
    - Contains delicate belongings (e.g., a china hutch), unless the occupant removes the items that could be easily damaged
  - Cover furniture, appliances, electronic devices, etc. to protect them from dust.
  - Protect the pathway from the entrance door to the points of insulation with runners.
  - Exercise care to prevent damage to the home and furnishings by the loose fill insulation hose, ladders, dust, etc.

- Cupboards and closets
  - Access cupboards and closets as needed to pressure-fill the wall cavities inside them.
  - Personal belongings must be removed by the occupants (or by crew with permission from the occupant) to allow access.

4.2.2 Drill and Fill Precautions

4.2.2(a) When insulation will be installed from the exterior:

4.2.2(a1) Drilling hazards (e.g., wiring, venting, fuel piping) must be located

4.2.2(a2) The following exterior wall material shall not be drilled:

- Asbestos shingles and siding
- Metal siding
- Vinyl siding
- Brick
- Stone
- Adobe
- Exposed surfaces of wood shingles.
  - It is acceptable to remove the outermost shingle, drill and patch the weather-protected surface below, and reinstall or replace the outer shingle.

4.2.2(a3) Do not drill holes in shutters, facing, or trim.

4.2.2(a4) If wall contains lap siding or shingles, carefully unhook or remove one row.

4.2.2(a5) Drill the sheathing as needed and probe to locate each cavity, wall stud, and blocking.

4.2.2(a6) Neatly cut any vapor retarder installed and minimize air barrier and drainage plane disruption.

4.2.2(a7) Drilled holes will be large enough to accommodate an appropriately sized fill tube.

4.2.2(a8) Drill holes around the perimeter of the home:

- Parallel to the bottom plate under the lowest windowsill, when possible, an equal distance apart.
- Elsewhere as needed to reach cavities created by fire blocks and bracing

4.2.2(b) When insulation will be installed from the interior

4.2.2(b1) Only gypsum (drywall and plaster) and wooden wall sheathing shall be drilled.

4.2.2(b2) Take all reasonable precautions to minimize the generation of dust inside the home and to capture the dust that is created.

- Cut batts (e.g., for blocking open-top soffit walls) outdoors.
- Place a catch bag or high-efficiency particulate air (HEPA) filter vacuum beneath the drill to catch falling debris as holes are drilled.
- Create access holes through the interior wall surface in a straight horizontal line sufficient to access the cavity with fill tube without damaging the wall surface.
- The hole size shall be no more than ½" larger than the fill tube outside diameter.
- Vacuum away dust as it occurs.
- Match the inside diameter of the hole as closely as possible to the outside diameter of the nozzle.
- Wrap a cloth or other protective material around the nozzle to catch dust that blows out around the nozzle.
- After each cavity is filled, turn off the blower and close the nozzle valve before removing the nozzle from the wall.

4.2.3 Installing Insulation

4.2.3(a) Insulation blower set-up

4.2.3(a1) If the blowing machine is not truck-mounted, place it and the bags of insulation on tarps.

4.2.3(a2) Perform a blowing machine pressure test with the air on full, feed off, agitator running, and gate closed.

4.2.3(a3) If the site electrical supply is inadequate, use a portable generator.

4.2.3(a4) Set the hose outlet pressure to at least 80 inches of water column (IWC) or 2.9 lbs. per sq. in. (psi) for cellulose insulation. For other types of dense pack insulation, check manufacturer's specification for blowing machine set-up.

4.2.3(b) Cavities created by fire blocks and bracing

4.2.3(b1) Holes shall be drilled above and below all fire blocks and full-dimension cross braces to ensure that all portions of the wall are filled.

4.2.3(b2) Fill tube method

- A single hole may be drilled at the top or bottom of each portion of the cavity that is above and below the fire block or brace.

4.2.3(b3) Nozzle method

- A minimum of two holes are required for each cavity exceeding 63" in height.

4.2.3(c) Walls open to attic or crawlspace (balloon-framed)

4.2.3(c1) Block cavities with flexible batt material at both top and bottom, prior to injecting insulation through the wall.

4.2.3(c2) Bottom blocking shall be permanently secured to prevent insulation leakage.

4.2.3(d) Attic open to uninsulated soffits

4.2.3(d1) Refer to Section 37 Attic and Ceiling Insulation

4.2.3(e) Walls open to suspended ceilings

4.2.3(e1) Walls below a suspended ceiling

- Insulate the portion of the wall extending from the floor to the suspended ceiling with loose fill material.
  - Fill cavities through the open top with a fill tube or
  - Fill through side holes when cavities are blocked at the level of the suspended ceiling (to prevent loose fill from blowing onto the suspended ceiling).

4.2.3(e2) Walls above a suspended ceiling

- Insulate with flexible batt material.

4.2.3(f) Batt insulation of unfinished framed walls

4.2.3(f1) Batt placement and attachment

- The batts shall completely fill each cavity.
- Friction-fit batts may be installed without staples.
- Batts with a stapling flange shall be face stapled.
- The batts shall not be compressed.

4.2.3(f2) Vapor barrier

- Above-grade walls
  - Faced batts must have a facing rated ≤1 perm that is installed on the winter warm side.
  - Unfaced batts must have a vapor retarder installed on the winter warm side when required by the local jurisdiction.
- Below-grade walls (heated basement, etc.)
  - Vapor retarder placement shall be determined by a site-specific analysis of the factors governing moisture migration and conform with the local jurisdiction.

4.2.3 (f3) Insulation of small cavities

- Flexible batts and rigid foam
  - Insulate all cavities around windows and doors.
  - Cut insulation to fit snugly without compression.
  - Do not insulate cavities containing sash weights.

4.2.3 (f4) Insulation around pipes

- Flexible batts and rigid foam
  - Do not isolate pipes from the heated side.
  - In locations without freezing temperatures, pipes may be surrounded with insulation.
  - In locations with freezing temperatures, place insulation between pipes and the cold side.
    - Locations with freezing temperatures are those with a winter design temperature listed at or below 32°F in the CEC Reference Appendices or per the American Society of Heating, Refrigeration, and Air-Conditioning Engineers (ASHRAE).

4.2.4 Filling and Patching Walls

4.2.4 (a) Stucco, plaster, and gypsum walls

4.2.4 (a1) Install backing material in each hole to control the patch depth and isolate the patch from the insulation.

- Backing shall be foam backer rod, or equivalent.

4.2.4 (a2) Holes shall be patched and primed.

- Exception: Holes in interior unpainted gypsum (e.g., garage walls)
  - Primer is not required for filler material.
  - Flush mount plastic plugs are allowed when approved by the owner.

4.2.4 (b) Wood walls

4.2.4 (b1) Painted walls

- Plugs shall be used and shall be recessed at least ⅛" or the depth specified by the filler manufacturer
- Filler/patch shall be sealed with an appropriate primer.
  - Application of a separate primer is not required when a program-approved, self-priming filler is used.

4.2.4 (b2) Natural finish walls

- Plugs are required and shall be:
  - Made of wood which is compatible with siding.
  - Installed flush with the siding or sanded flush
  - Secured permanently with exterior-grade adhesive
  - Sealed against water damage

4.2.4 (c) Holes in moisture barrier

4.2.4 (c1) When siding is removed, patch all breaches in the moisture barrier.

4.2.4 (c2) Patching material shall have an equivalent perm rating.

4.2.4 (d) Reinstall or replace the siding boards or shingles (if applicable)

4.2.4 (d1) T-111 and equivalent siding

- This method may be used when all holes can be in perfect horizontal lines at acceptable distances below the top of the wall, and only when written consent is obtained from the owner:
  - Install a primed trim board centered over the holes.
  - The height of the trim will span from 1" above to 1" below the hole.

- Apply a continuous caulk seal above the holes and between the trim and the siding.
- Seal the top edge of the trim to the siding with a continuous caulk seal.

4.2.4(e) Painting over patches

4.2.4(e1) In addition to filling, patching and priming walls that have been drilled for insulation, the patched areas may be painted ("touched up") at the agency's discretion under Limited Home Repair. Refer to Section 1 General Installation Guidelines, Limited Home Repair.

- Touch-up paint must closely match the color of the remainder of the wall.
  - An exact match to the existing paint is not required.
- Painting over patches does not entail repainting the entire wall.

4.2.5 Insulation Certificate

4.2.5(a) An insulation certificate (CSD 610 Insulation Certificate) shall be completed and signed by the contractor responsible for installing the insulation.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.2 Before installing this measure, prior approval must be granted from the California Department of Housing and Community Development (HCD), or another authority having jurisdiction.

5.1.3 Wall Cavity Assessment

5.1.3(a) Wall cavities will be assessed for the following and, where necessary and feasible, problems will be corrected before work begins:

5.1.3(a1) Drilling hazards (e.g., wiring, venting, fuel piping)

5.1.3(a2) Moisture damage

5.1.3(a3) Presence of infestation or pests

5.1.3(a4) Location and integrity of wiring

5.1.3(a5) Holes to the interior and exterior

5.1.3(a6) Loose paneling or siding

5.1.3(a7) Location of belt rails

5.1.3(a8) Location of wall obstructions (switches, outlets)

5.1.3(a9) Existing insulation

5.1.3(a10) Wall hangings for removal during work

5.1.3(b) Problems will be corrected before work begins.

5.1.3(c) Drilling hazards (e.g., wiring, venting, fuel piping) shall be identified.

5.1.4 Electrical Wiring Verification

5.1.4(a) To the extent possible, inspect for unsafe wiring before removing metal siding beyond what is needed for inspection/evaluation and before removing existing insulation (when doing so is necessary to install new insulation).

5.1.4(a1) Indoors:

- Remove at least one receptacle and one switch cover plate on each wall.
- Inspect the wiring for loose connections, faulty conductors, or other unsafe conditions.
- Leave the cover plates off until the new insulation has been installed.

5.1.4(a2) Outdoors:

- Remove a sufficient number of fasteners to allow for inspection. (See Removal of fasteners.)
- Inspect the wiring by pulling back the siding and pushing the existing insulation out of the way from below.
- If the cavity will be insulated, leave the fasteners out.
- If the cavity cannot feasibly be insulated, install new fasteners to secure the siding. (Existing screws are not reinstalled.)

5.1.4(a3) If there is evidence of unsafe or hazardous wiring:

- Do not install new insulation in that cavity and do not remove the existing insulation.
- Mark the cavity on the outside as being not safe to insulate.
- Explain the reason for not insulating that cavity in the job paperwork.

5.1.5 Indoor Preparation for Mobile Home Insulation

5.1.5(a) After obtaining the client's permission, move the furniture as needed to access the interior side of all walls to be insulated.

5.1.5(b) It is not necessary to move furniture that:

5.1.5(b1) Is heavy and very difficult to move

5.1.5(b2) Contains delicate belongings (e.g., a china hutch), unless the client removes the items that could be easily damaged

5.1.5(c) Mask areas that may cause dust to spread on the interior.

5.1.5(d) Remove pictures and wall hangings as well as nails, screws, hooks, etc. that penetrate the wall paneling.

5.1.5(e) Inspect all paneling and trim to make sure they are securely fastened to the wall.

5.1.5(e1) Drive home any loose nails and screws.

5.1.5(e2) Identify any areas of weakness where care must be taken while installing insulation.

5.1.5(e3) Identify each location where it is unsafe to install insulation.

- Mark the cavity on the outside as being not safe to insulate.
- Describe location and explain the reason for not insulating that cavity in the job paperwork.
- Caulk cracks and small holes, including plumbing and electrical penetrations, and repair large holes in interior surfaces to prevent indoor air from entering the wall cavity.

5.1.5(f) Electrical boxes (switch and receptacle)

5.1.5(f1) Determine if the electrical boxes can be easily removed and remove them, if feasible, until after insulation has been installed.

5.1.5(f2) Remove screws from the boxes and pull the boxes out of the wall temporarily so they will not obstruct batt stuffing.

5.1.5(f3) Do not remove boxes that cannot be reinstalled and securely refastened.

5.1.5(g) Blocking

5.1.5(g1) Install blocking around:

- All openings into the undercarriage area and mobile home roof
- High-temperature, fire-rated materials
- Wiring and electrical hazards
- HPDs

5.1.6 Outdoor Preparation for Mobile Home Insulation

5.1.6(a) Accessing wall cavities

5.1.6(a1) Drill sheathing as needed and probe the cavity to locate each cavity, wall stud, and blocker.

5.1.6(a2) When accessing wall cavities, mask the interior of the home to control dust during drilling.

5.1.6(b) Carefully tie back shrubs/bushes as needed to access the bottoms of all wall cavities.

5.1.6(c) When a garden is next to the mobile home, make all feasible preparations to avoid damaging plants (e.g., laying down planks to walk on, covering plants with plastic, etc.).

5.1.6(d) When outdoor steps for an entrance door interfere with siding access, temporarily remove the steps if permission is given by the client.

5.1.6(e) If a deck or other obstruction prevents access to any siding panels:

5.1.6(e1) Bypass those panels, and

5.1.6(e2) Describe the location and explain the reason for not insulating those cavities in the job paperwork.

5.1.6(f) To catch debris, place a cover (plastic sheeting, tarps, etc.) over the ground, starting at the edge of the skirting and extending outward at least 12'.

5.1.6(g) If not truck-mounted, place the blowing machine and bags of insulation on tarps.

5.2. Installation Procedure

5.2.1 Mobile Home Installation Methods

5.2.1(a) Batt "stuffing" method

5.2.1(a1) Wood siding

- Follow the applicable criteria for conventional homes.

5.2.1(a2) Metal siding

- Installation shall be attempted only when the depth of the stud cavity allows for the installation of new, 3½"-thick, high-density fiberglass blankets/batts.
- Until it has been determined that wall insulation is feasible for the mobile home, siding removal is limited to what is necessary to establish feasibility.
  - Mobile homes built after 1976 have 3½"-thick wall studs, which can accept retrofit 3½"-thick batts.
  - Pre-1976 mobile homes may have 2½"-thick wall studs and/or ventilated metal siding and shall not be insulated when ventilated metal siding is present.
    - When installed, new insulation will be made to fit the size of the cavity.
    - Existing insulation shall be removed only when necessary to allow for installation of new high-density batts.
  - Very old mobile homes may have 1½"-thick studs and/or ventilated metal siding.
    - Retrofit wall insulation is not feasible.
- Fabricate a stuffing tool (used to push the fiberglass insulation into an enclosed wall cavity) made with a strip of polycarbonate (e.g., Lexan), approximately 5⁄16" thick
  - Do not use other clear sheet plastics due to a tendency to shatter under stress.
  - Dimensions:
    - 1' wide by 8' long for full-length cavities
    - 1' wide by 4' long for shorter cavities (under windows, etc.).

        - Bent at a 5°–15° angle, 7½"–12" from one end.
            - For plastic, apply indirect heat at the bend location to achieve the angle.
        - Round all corners and sand all edges of the polycarbonate
- Removal of fasteners
    - Access the bottom of metal siding—vertical panels
        - If skirting overlaps siding, skirting will be detached to allow access to the wall cavity.
        - Remove metal siding fasteners until the siding can be pulled away from the framing approximately 6" without damaging the siding).
            - Remove the bottom two rows of screws.
            - When full-length panels are secured to the framing with staples (approximately 4' up the wall cavity), remove the staples (e.g., with a long pry bar).
- Fasten adjacent panels together at the bottom with one ½" sheet metal screw on each side.
    - These screws keep panels from pulling apart sideways when they are pried away from the framing to insert insulation.
    - These screws are especially important for interlocking panels.
- Remove the perimeter flashing (fascia strip) below the bottom of the siding.
    - Remove the flashing if it is secured with screws removed from the bottom of siding panels and if removal is necessary to facilitate installation of new insulation batts.
    - If removed, mark each piece so it can be replaced in the location from which it was removed.
- Access the bottom of metal siding—horizontal panels
    - Remove the bottom section of the siding to gain access to the wall cavities.
    - If sub-sheathing is present under the siding, access through the sub-sheathing will be required.
- Examine Wall Cavities
    - Remove the existing insulation.
    - Before installing new insulation, inspect the interior of each wall cavity for moisture damage, deterioration, obstructions, and adequate accessibility.
    - Inspect all interior surfaces of outside walls for loose paneling joints, occupant wall hangings, locations of switches and outlets, and other wall obstructions.
    - Remove objects from the interior surfaces of the walls being insulated.
    - Repair interior paneling as necessary.
    - If the framing and interior paneling are intact and electrical wiring or water pipes do not pose a problem, proceed with the insulation procedure.

5.2.1(a3) Installation of new blanket/batt insulation

- Blanket/batt insertion
    - Insulation length: 8" longer than the height of the cavity being stuffed.
    - The thickness of the batt should fill the void without deforming the siding or damaging the structure.
    - A poly-encased fiberglass batt may be used in place of the fiberglass batt and membrane assembly.
    - The membrane will be installed in contact with the side of the wall that is compatible with the local climate zone (winter warm side).

- Membrane (plastic sheeting):
  - Cut the plastic sheeting 2" wider than the cavity and 1' longer than the batt. (It is required to facilitate sliding the batts up into the wall cavities.)
- Place the unfaced blanket/batt on top of the plastic membrane.
- Place the stuffing tool (of the appropriate length) on top of the batt with the angled end facing upward.
- Fold the first 6" of plastic membrane and fiberglass batt over the angled end of the stuffing tool.
- Pull the metal siding outward and away from the wall framing.
- Put the side of the batt with the plastic membrane against the interior paneling. (The stuffing tool is on the outer surface of the batt.)
- Using the stuffing tool to push the batt upward:
- Stuff the insulation into the wall cavity all the way to the top
  - If obstructions impede movement, work the tool to get past them
  - After the batt reaches the top of the cavity, pull the stuffing tool back down and out of the wall.
- Allow the extra length of batt to hang below the siding to identify the cavities that have been stuffed. (Do not stuff the bottom ends of the batts into the wall cavities until after all cavities have been insulated.)
- Repeat the stuffing procedure for each accessible cavity.

5.2.1(a4) Interior observation

- As insulation is stuffed into a cavity or the cavity is pressure-filled, the location must be observed from the inside so appropriate action can be taken if paneling is being bulged out or pushed loose.

5.2.1(a5) Wall closure after insulation is completed

- At each wall cavity where the extra length of a batt is hanging below the siding:
  - Push the batt into the bottom of the wall cavity to fill and insulate it
  - Press the siding panels back into place, making sure they interlock as designed

5.2.1(a6) Repair subsheathing as necessary.

5.2.1(a7) Replace the perimeter flashing (fascia strip), if removed.

5.2.1(a8) Reattached the siding in the original position without bulges or wrinkles.

5.2.1(a9) Install new screws that are longer and thicker than the original screws in all screw locations to tightly secure the panels in place. (Do not reuse the original screws.)

5.2.1(a10) If skirting was removed, reinstall to shed water to the outside of the skirting.

5.2.2 Limited Access Procedures—Blanket/Batt Insertion

5.2.2(a) If a condition in the wall cavity makes it unsafe or unfeasible to safely and properly install new batts:

5.2.2(a1) Cut the batt narrower or shorter so it will fit in the available area or

5.2.2(a2) Bypass that cavity, describe the location, and explain the reason for not insulating it in the job paperwork.

5.2.2(b) Cavities with electrical wiring and plumbing

5.2.2(b1) Insulate the cavity only when wiring and plumbing defects are not present.

5.2.2(b2) Take appropriate precautions to avoid damaging wiring or piping.

5.2.2(c) Cavities with window, fan, or other obstruction

5.2.2(c1) Stuff the insulation up to the obstruction.

5.2.2(c2) When the bottom of siding panels above a window/obstruction can be accessed (screws removed and paneling pulled away) without removing the window/ obstruction, fill those cavities the same as siding panels accessed from floor level.

5.2.2(c3) When siding panels above a window/obstruction cannot feasibly be accessed from the bottom, access them from the top:

- Remove the screws at the top of the panels.
- Remove the drip edge and/or other components as needed to access the cavities from the top.
- Pull back the panels and stuff the batts downward to fill the cavities.
- Reinstall the components that were removed.
- Secure the siding and components with new screws that are longer and thicker than the original screws.
- Apply sealant as needed to ensure a watertight seal in all seams/joints/screws where components were removed and replaced.

5.2.3 Limited Access Locations—Pressure-Fill

5.2.3(a) Purpose

5.2.3(a1) To fill cavities in which batt stuffing is not feasible (too narrow, obstructed, or inaccessible), such as:

- Cavities near corners and doors, where siding is difficult to loosen and pull back.
- Cavities that are particularly tight due to belt rails, wiring, windows, and other obstructions.

5.2.3(b) Procedure

5.2.3(b1) If skirting overlaps the siding, remove the skirting.

5.2.3(b2) Loosen the bottom of the wall panel(s) enough for fill tube access.

5.2.3(b3) Temporary fasteners will be installed near the bottom of the siding panels at the seams to keep panels from separating.

5.2.3(b4) If sub-sheathing is present under the siding, access through the sub-sheathing will be required.

5.2.3(b5) Insert the fill tube from the bottom of the wall cavity to within 6" of the top of the cavity between the interior paneling and any existing insulation.

- Position the tube so its natural curvature presses the top of its angle-cut tip against the interior paneling.
- If the tube hits a belt rail or other obstruction, twist the tube slightly to help get it past the obstruction.
- If the wall cavity is known to contain electrical wiring or plumbing, care must be taken to avoid snagging the tube or causing damage.

5.2.3(b6) Place a short piece of batt to block the bottom of the panel access and prevent loose fill from blowing out.

5.2.3(b7) An observer must be stationed indoors during the filling process to watch for paneling bulges and loosening of the edges/trim.

5.2.3(b8) Carefully pressure-fill the wall cavity, using less pressure than for conventional home wall cavity fill.

- Install insulation to a density of 1.5–1.6 lbs. per cu. ft.
- Draw the fill tube downward about 6" at a time when:
  - The blower fan slows down due to back pressure and/or
  - Insulation flow through the hose slows down and/or
  - There is slight bulging of the exterior siding or interior paneling
- Fill 100% of each cavity to a consistent density.
- Immediately turn off the blower or withdraw the tube if the insulation flow stops and/or excessive bulging occurs.
- Avoid over-filling the bottom of the cavity, then stuff the blocking batt in to insulate that area.

5.2.3(b9) Patch and repair the sub-sheathing as necessary.

5.2.3(b10) Remove any loose fill from the outer edges of the studs before securing the metal siding to them.

5.2.3(b11) Reattach the siding without bulges or wrinkles.

5.2.3(b12) Install new screws in all screw locations to tightly secure the siding panels in place. (Do not reuse the original screws.)

5.2.3(b13) If skirting was removed, reinstall the skirting to shed water to the outside.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Procedure

6.1.1 When only an individual multi-family unit will be served, this measure is not feasible.

6.1.2 Installation requirements for multi-family buildings are the same as those for conventional homes.

6.1.3 Installation in common areas (e.g., in hallways, a lobby, a shared kitchen, etc. within the same thermal boundary as dwelling units) is allowed when justified by the DOE Priority List or an energy audit for a whole-building project. See Appendix D Energy Audit/Priority List Protocol.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure may be a DOE Audit path, audit driven measure, or Priority List path, Mandatory measure.

7.1.2 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.4 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.5 To assess for this measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.5(a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.5(b) When assessing this measure for the Audit path, measure feasibility will be decided by the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.5(b1) When the measure is feasible based on the audit, and the measure is categorized as a "Major" measure (i.e., Infiltration Reduction, Duct Sealing, Ceiling Insulation, Floor Insulation, and Wall Insulation), the measure shall be installed or the dwelling must be deferred.

7.1.5(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.5(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.6 If a client refuses a feasible Major Audit path measure, Mandatory Priority List path measure, or Health & Safety measure, the entire dwelling shall be deferred.

7.1.7 The R-value of added insulation shall be:

7.1.7(a) A minimum R-value set by Table 38-1

7.1.7(b) A maximum R-value as defined by energy audit

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP except as specified below.

TABLE 38-2: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
CONDITIONED SUBSPACES					
4.0402.1d, 4.0402.1g	Conditioned Subspaces	Ensure wall vapor retarder will lap underneath the ground vapor retarder connection to the foundation wall.	X		X
4.0402.1e	Conditioned Subspaces	Install insulation to prescribed R-value in full contact with the foundation wall from ceiling to floor with vapor retarder facing the conditioned space. If installing multiple layers, offset seams by a minimum of 12" and seal the seams and joints of each layer before installing the next layer	X		X
4.0402.1f,	Conditioned Subspaces	Mechanically attach insulation to foundation wall.	X		X
4.0402.1h	Conditioned Subspaces	If termite pressure exists, maintain a 3" inspection gap from the top of the insulation to the bottom of any wood.	X		X
CONDITIONED SUBSPACES - INSULATING AT RIM/BAND JOISTS					
4.0401.2b, 4.0402.1b	Rim/Band Joist Insulation	Select insulation that has a class II vapor retarder facing and that has a flame spread and smoke development index of 25/450 or less. Select encapsulation material that is a permanent air barrier, a class II vapor retarder, and has a smoke development index of 450 or less when tested in accordance with ASTM E84 or UL 723.	X		X

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Combustion appliance safety testing must be performed upon completion of all measures that affect air tightness of home, per Appendix A Combustion Appliance Safety Protocol.

8.1.2 Pressure-fill insulation

8.1.2(a) During and after installation, the interior of the home shall be checked for wall damage and accidental leakage of insulation material.

8.1.2(b) During and after installation, a representative sample of utility switch/outlet boxes shall be checked for loose fill.

8.1.2(b1) If loose fill insulation is found, check all accessible boxes and remove the insulation.

8.1.2(c) Completed wall insulation cavities shall be confirmed to have an even level of insulation at the prescribed R-value.

8.1.2(d) Interior closets and cupboards shall be checked for loose fill material.

8.1.2(e) All loose fill material accidentally blown into the home shall be removed.

8.1.2(f) All interior and exterior damage caused by insulating shall be repaired.

8.1.2(g) Electrical cover plates removed for inspection shall be reinstalled.

8.1.2(h) Any cover plates damaged or broken during insulation installation shall be replaced.

8.1.2(i) Dense pack verification

8.1.2(i1) The number of bags installed shall be confirmed and shall match the number required on the manufacturer's coverage chart.

8.1.2(i2) Completed wall sections will be viewed using infrared camera with blower door operating

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8.1.2(i3) Any voids or low-density areas shall be drilled and re-packed.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 A copy of the completed CSD 610 Insulation Certificate must be provided to the client.

8.3. Clean-Up and Disposal Requirements

8.3.1 Upon completion, the residence shall be returned to its original condition and left free of job-related dust and debris inside and out.

8.3.2 A high-efficiency particulate air (HEPA) filter vacuum shall be used for all vacuuming.

8.3.3 Access inside the living space

8.3.3(a) All areas between indoor work areas and the home entrance shall be vacuumed.

8.3.4 Access outside the living space

8.3.4(a) All areas between the access and the insulation truck shall be swept or vacuumed.

8.3.5 Return dwelling to its original state:

8.3.5(a) Indoors

8.3.5(a1) Remove coverings (e.g., plastic sheeting) from furniture, appliances, electronic devices, etc.

8.3.5(a2) Remove scraps and debris, and vacuum clean all areas affected by the insulation process.

8.3.5(a3) Return to their original position any household furnishings moved to perform the job.

8.3.5(b) Outdoors

8.3.5(b1) Untie bushes, etc., and return them to their original condition.

8.3.5(b2) Remove plastic covers from plants and remove walking planks from garden beds.

8.3.5(b3) Remove all leftover insulation, packaging materials, plastic sheeting, insulation scraps, debris, ground covers/tarps, tools, and equipment.

8.3.6 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP:

9.1.1(a) Dense pack/rigid/full batt in airtight cavities—20 years

9.1.1(b) All other types—Not applicable to this measure

9.1.2 DOE:

9.1.2(a) Dense pack/rigid/full batt in airtight cavities—30 years

9.1.2(b) All other types—20 years

9.2 All insulation shall be:

9.2.1 Certified to comply with the California Code of Regulations, Title 24, Part 12, Chapter 12–13, "Standards for Insulating Material."

9.2.2 Rated with a flame spread and smoke development index of 25/450 or less in accordance with ASTM E84 or UL 723.

9.3 Flexible and Rigid Materials

9.3.1 Non-absorbent, fire-rated insulation with a minimum life expectancy of 10 years shall be used.

9.3.2 Flexible mineral fiber shall conform to ASTM C665.

9.3.3 High density fiberglass board shall conform to ASTM C726.

9.3.4 Rigid foam shall be pre-formed, foil-faced polyisocyanurate board that conforms to Federal Specification (FS) HH-I-1972/1.

9.3.5 Facing shall meet applicable code requirements.

9.4 Loose-Fill Materials

9.4.1 Loose-fill fiberglass will meet a flame spread rating of 25 or less and a smoke development rating of 450 or less when tested in accordance with ASTM E84.

9.4.2 Loose-fill mineral fiber shall conform to ASTM C764.

9.4.3 Loose-fill cellulose shall be licensed for sale in California and listed in the Department of Consumer Affairs "Directory of Certified Insulation Materials."

9.5 Vapor Retarder (Membrane)

9.5.1 Minimum 6-mil plastic sheeting with an appropriate perm rating for the region.

9.6 Filling and Patching/Plugging

9.6.1 Use materials appropriate for the application.

9.6.1(a) Exterior-grade for all exterior applications

9.6.1(b) Compatible with the surrounding material

9.6.1(c) Installed in accordance with manufacturer's instructions

9.6.1(d) Finished to blend with the surrounding wall

9.6.2 Plugs shall:

9.6.2(a) Be compatible with the siding

9.6.2(b) Not be vented

9.6.2(c) Be resistant to shrinkage and expansion

10. WARRANTY

10.1 Manufacturer—Limited lifetime

10.2 Contractor—1 year

39. Floor Insulation

Table of Contents

1. **MEASURE OBJECTIVES** 39-1

2. **INSTALL THIS MEASURE WHEN:** 39-1

2.1. Repair 39-1

2.2. Install 39-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** 39-1

4. **INSTALLATION GUIDELINES** 39-1

4.1. General Requirements 39-1

4.1.4 Fire Hazards *39-2*

4.1.8 K&T Wiring *39-2*

4.1.9 New Insulation *39-2*

4.1.10 Conditions Requiring a Vapor Retarder *39-2*

4.2. Installation Procedure 39-3

4.2.1 Protection of the Dwelling and Its Contents *39-3*

4.2.2 Preparation of Crawlspace and Joists *39-3*

4.2.3 Water Pipes and Heating, Ventilation and Air Conditioning (HVAC) Ducts *39-3*

4.2.4 Gas Appliances in the Crawlspace *39-3*

4.2.6 Installation of Insulation *39-3*

4.2.6(a) All insulation types 39-3

4.2.6(b) Flexible insulation 39-4

4.2.6(c) Loose fill and dense pack insulation 39-4

4.2.6(d) Rigid insulation 39-4

4.2.7 Supports and Anchors for Flexible Insulation *39-4*

4.2.7(c) Spring wire support rods ("lightning rods") 39-4

4.2.7(d) Wire support with anchor points 39-5

4.2.7(e) Woven wire or netting support 39-5

4.2.8 Installation of Vapor Retarder *39-5*

4.2.9 Alternatives to Standard Floor Insulation *39-6*

4.2.9(a) Basement wall insulation 39-6

4.2.9(b) Underfloor insulation where no foundation wall exists 39-6

4.2.10 Crawlspace Sign Requirement *39-6*

4.2.10(b) Crawlspace sign content 39-6

4.2.11 Insulation Certificate *39-6*

5. MOBILE HOME–SPECIFIC 39-7
5.1. Installation Requirements 39-7
5.1.9 Approved Installation Methods 39-7
5.1.9(b) Cavity fill 39-7
5.1.9(c) Rim joist injection 39-7
5.1.9(d) Flexible (batt) replacement 39-7
5.1.10 Insulation R-Value 39-7
5.1.11 Conditions Requiring a Vapor Retarder 39-7
5.1.12 Preparation of Crawlspace 39-7
5.1.13 Vapor Retarder Installation Procedure: 39-8
5.1.14 Water Pipes and HVAC Ducts 39-8
5.1.15 Cavity Fill Installation Method 39-8
5.1.16 Rim Joist Installation Method 39-9
5.1.17 Flexible Batt Installation Method 39-9
5.1.18 Rodent Barrier Repair 39-10

6. MULTI-FAMILY–SPECIFIC 39-11
6.1. Installation Requirements 39-11

7. DOE-SPECIFIC 39-11
7.1. Assessment Requirements 39-11
7.2. Installation Requirements 39-11

8. POST-INSTALLATION GUIDELINES 39-12
8.1. Quality Check 39-12
8.2. Client Education 39-13
8.3. Clean-Up and Disposal Requirements 39-13

9. MATERIAL SPECIFICATIONS 39-13

10. WARRANTY 39-15

Floor Insulation

1. MEASURE OBJECTIVES

1.1 Floor insulation slows the transfer of heat through the thermal boundary, reducing the amount of heat entering the home on a warm day and the amount of heat loss on a cold day.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure.

2.2. Install

2.2.1 The floor separates conditioned and unconditioned space and

2.2.2 At least 100 sq. ft. of floor is feasible to insulate (no functional insulation existing) or

2.2.2(a) If the crawlspace access is uninsulated but the floor has adequate insulation, the cover shall be insulated as a Limited Home Repair - ECM Support item. See Section 1 General Installation Guidelines, Limited Home Repair Policy.

2.2.2(a1) Exception: When insulation is unfeasible due to a safety condition in the crawlspace (e.g., presumed asbestos, knob-and-tube wiring, etc.), insulation shall not be added to the access cover.

2.2.3 Insulation has a savings-to-investment ratio (SIR) ≥1.0 as proven by an energy audit

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 The existing insulation R-value is measured to be adequate

3.2 One or more of the following conditions are present and have not been (or cannot be) corrected:

3.2.1 An exhaust system (including a gas or electric clothes dryer) terminates in the crawlspace and cannot be vented to the outdoors per Section 1 General Installation Guidelines, Limited Home Repair

3.2.2 A combustion appliance safety (CAS) hazard, or CAS fail per Appendix A Combustion Appliance Safety Protocol

3.2.3 Structural defects, such as deteriorated or substandard floor framing or sheathing

3.2.4 Hazardous conditions, such as standing water or sewage, mold, fuel leaks, plumbing leaks, or electrical hazards

3.2.5 Inadequate crawlspace venting that cannot be corrected per Section 41 Crawlspace Ventilation

3.2.6 Knob-and-tube (K&T) wiring is present and has not been certified safe for encapsulation or permanently disconnected by a licensed C-10 electrical contractor, per the Section 1 General Installation Guidelines, Knob & Tube (K&T) Wiring Guidelines

3.3 Installation would violate the Appendix E Health and Safety Requirements

3.4 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Crawlspace ventilation may be installed in conjunction with floor insulation, or as a stand-alone measure, per Section 41 Crawlspace Ventilation, General Requirements.

4.1.2 This measure is a whole-building measure. In single-family dwellings (1-4 units) and multi-family buildings (with 5+ units), the whole building must be served for crawlspace insulation to be installed. See Appendix D Energy Audit/Priority List Protocol.

4.1.2(a) Under the Low Income Home Energy Assistance Program (LIHEAP), when an energy audit will not be conducted, crawlspace insulation may be installed for a unit in a duplex, tri-plex, or four-plex only when there are no shared crawlspaces between dwelling units (i.e., the crawlspaces are separated by a complete and continuous pressure boundary or firewall and the units have separate heating and/or cooling units).

4.1.3 Audited Measures

4.1.3(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded, it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.3(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.4 Fire Hazards

4.1.4(a) If existing insulation is a potential fire hazard due to insulation covering heat-producing devices (HPDs) or combustion ventilation air (CVA) vents, these fire hazards shall be corrected by field personnel. See Section 1 General Installation Guidelines, Fire hazards and venting obstructions.

4.1.5 All air leakage locations (including duct and shell leaks, and thermal bypasses in the floor) shall be sealed prior to installation of insulation per Section 32 Infiltration Reduction and Section 8 Ducting Repairs, Sealing and Insulation.

4.1.6 All repairs or installations requiring crawlspace access shall be completed before insulation is installed.

4.1.7 Crawlspace must be accessible in accordance with the clearance requirements for attics and crawlspaces identified in the Section 1 General Installation Guidelines, Attic and Crawlspace Accessibility.

4.1.8 K&T Wiring

4.1.8(a) If a C-10 electrician certifies the K&T wiring is safe for encapsulation, Section 1 General Installation Guidelines, Knob & Tube (K&T) Wiring Guidelines shall apply.

4.1.9 New Insulation

4.1.9(a) New insulation shall be installed according to Table 39-1.

TABLE 39-1: INSULATION REQUIREMENTS IN ALL CLIMATE ZONES

Insulation Criteria	Existing R-Value	Increase to
Floor Insulation	No existing	R-19
Crawlspace Access Cover	No existing	R-19

4.1.9(b) When floor insulation is unfeasible, insulation shall not be added to the access cover as a Limited Home Repair.

4.1.10 Conditions Requiring a Vapor Retarder

4.1.10(a) A vapor retarder shall be installed in conjunction with floor insulation when:

4.1.10(a1) Required by the local jurisdiction

4.1.10(a2) Specified by floor insulation type in this standard

4.1.10(a3) Installed in an unvented crawlspace, unless not required by the local jurisdiction

4.1.10(b) Basements with exposed soil floor shall have ground cover over soil, unless vented and dry, or excluded by local code.

4.2. Installation Procedure

4.2.1 Protection of the Dwelling and Its Contents

4.2.1(a) When crawlspace access is indoors, protect the pathway from the entrance door to the crawlspace access with runners.

4.2.1(b) When entry is through an access inside a closet, remove or cover the clothing and other personal property.

4.2.1(c) Cut batts outside the living space or inside the crawlspace.

4.2.1(d) When carrying batts, enclose batts in plastic or other method to prevent releasing fibers in the living area.

4.2.2 Preparation of Crawlspace and Joists

4.2.2(a) Remove all vegetation and organic material, unnecessary material, and debris from the crawlspace (e.g., rake the crawlspace) and dispose of it properly.

4.2.2(b) Remove any obstacles, fasteners, or protruding objects that will prevent insulation from fully and continously contacting the bottom of the floor joist.

4.2.3 Water Pipes and Heating, Ventilation and Air Conditioning (HVAC) Ducts

4.2.3(a) In locations without freezing temperatures, surround the pipes with insulation (Fig. 39-1).

4.2.3(b) In locations with freezing temperatures, place insulation between the pipes and the cold side.

4.2.3(b1) Locations with freezing temperatures are those with winter design temperatures listed at or below 32°F in the California Energy Commission (CEC) Residential Manual, or per the American Society of Heating, Refrigeration, and Air-Conditioning Engineers (ASHRAE).

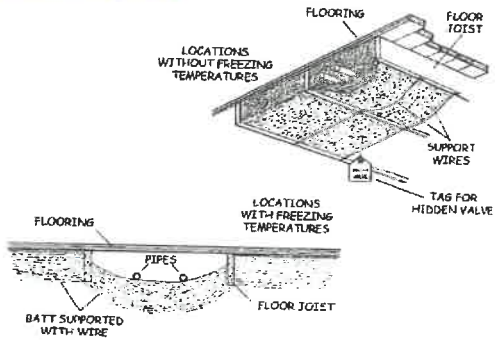

FIG. 39-1: PIPE INSULATION WITH AND WITHOUT FREEZING TEMPERATURES

4.2.3(c) Tag water valves if they are covered by insulation.

4.2.3(d) Installation of water pipe heaters is not allowed.

4.2.3(e) Insulate ducts located within joist cavities in accordance with Section 8 Ducting Repair, Sealing, and Insulation.

4.2.4 Gas Appliances in the Crawlspace

4.2.4(a) Maintain ≥3" horizontal clearance from vent pipes.

4.2.4(b) Maintain ≥6" clearance from draft hood.

4.2.5 Interior Crawlspace Access Cover

4.2.5(a) Flexible or rigid insulation, with an R-value equal to floor insulation, shall be attached to the cover.

4.2.6 Installation of Insulation

4.2.6(a) All insulation types

4.2.6(a1) Insulation shall be installed in contact with the subfloor without gaps, voids, compressions, misalignments, or wind intrusions.

4.2.6(a2) Combustion air supply openings or crawlspace vents shall not be obstructed by insulation.

4.2.6(a3) Maintain minimum 3" clearance from HPDs.

4.2.6(a4) Setback from crawlspace vents (Fig. 39-2):

- 12" clearance without barrier
- 3" clearance with barrier made of corrosion-resistant sheet metal (e.g., 0.007" thick aluminum flashing)

4.2.6(b) Flexible insulation

4.2.6(b1) If faced batts are used, facing is placed against the subfloor.

4.2.6(c) Loose fill and dense pack insulation

4.2.6(c1) A rigid air barrier or fabric/netting barrier will be mechanically fastened to underside of floor assembly, providing 100% coverage of the floor assembly, and capable of supporting installed insulation without failure.

- Seams and penetrations will be sealed.

4.2.6(c2) Insulation will be installed between the air barrier and the subfloor/air barrier to 100% of cavity capacity.

4.2.6(c3) Dense pack and loose fill of finished floor cavities (blind fill)

- Drill cavities and pressure-fill with loose-fill insulation using a directional nozzle or fill tube.
  - Space holes for maximum 2' horizontal insulation travel beyond the nozzle.
  - Provide 100% coverage at the density prescribed by the manufacturer.
- Fill all portions of fillable cavities completely.
- Plug and patch holes as prescribed in Section 38 Wall Insulation.

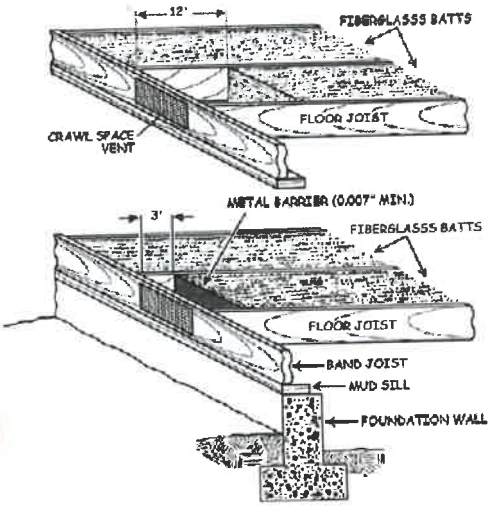

FIG. 39-2: SETBACK FROM CRAWLSPACE VENTS

4.2.6(d) Rigid insulation

4.2.6(d1) Rigid insulation must be mechanically fastened to the bottom of the subfloor or floor joists.

4.2.6(d2) Where rigid insulation is installed between joists (bottom of the subfloor), air seal the perimeter of each joist bay.

4.2.6(d3) Rigid foam plastics used as insulation shall incorporate a thermal and ignition barrier as required by local building code.

4.2.6(d4) A continuous air barrier must be installed below the insulation and to the exterior.

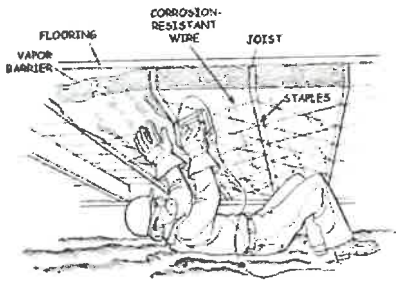

FIG. 39-3: SUPPORTING FLEXIBLE INSULATION

4.2.7 Supports and Anchors for Flexible Insulation

4.2.7(a) Size and space all support types so insulation does not sag and lose contact with sheathing (Fig. 39-3).

4.2.7(b) Install supports with 10% maximum compression of insulation.

4.2.7(c) Spring wire support rods ("lightning rods")

4.2.7(c1) Rods shall be:

- Cut to length for proper support without excessive compression
- Installed under pressure, with minimum 1/16" joist penetration
- Arched upward
- Placed within 4" of each end of a batt and spaced elsewhere a maximum of 18" apart

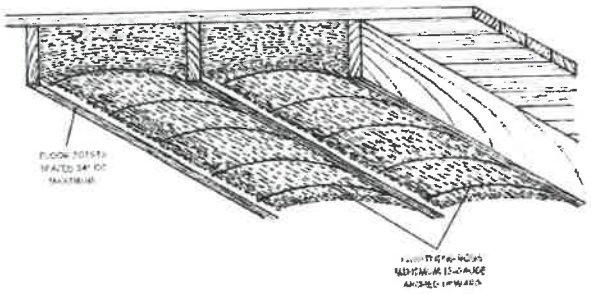

FIG. 39-4: SPRING WIRE SUPPORT RODS

4.2.7(c2) See Fig. 39-4.

4.2.7(c3) On joists >24" on center (OC), spring wire support rods are not allowed.

4.2.7(d) Wire support with anchor points

4.2.7(d1) Wire shall be a minimum of 20-gauge and corrosion-resistant.

4.2.7(d2) For joists ≤24" OC, span cavities in a zig-zag pattern with anchor points spaced a maximum of 18" apart.

4.2.7(d3) For joists ≥25" OC, span cavities in a zig-zag pattern with anchor points spaced a maximum of 12" apart.

- Staple insulation facing to the subfloor.

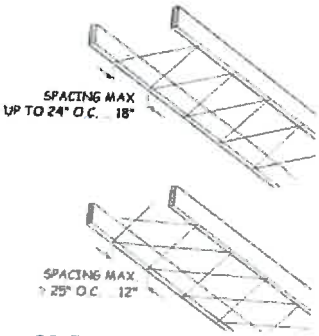

FIG. 39-5: INSTALLATION OF WIRE SUPPORT

4.2.7(d4) See Fig. 39-5.

4.2.7(e) Woven wire or netting support

4.2.7(e1) Anchor woven wire support to the joist every 12".

4.2.7(e2) The support shall not sag more than 1" per 24" of span in any direction.

4.2.7(e3) See Fig. 39-6.

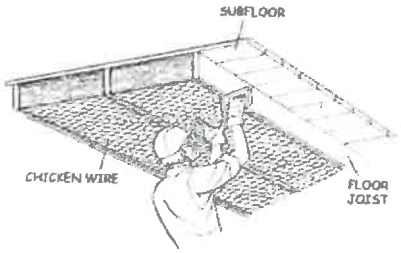

FIG. 39-6: INSTALLATION OF WOVEN WIRE

4.2.8 Installation of Vapor Retarder

4.2.8(a) When required by the local jurisdiction, install a Class I of Class II vapor retarder (e.g., ≥6-mil sheet polyethylene) over the earth in the crawlspace with 100% coverage after all work in the crawlspace has been completed (Fig. 39-7).

4.2.8(b) Existing undamaged ground cover is an acceptable alternative to vapor retarder if it is at least 4 mil thick.

4.2.8(c) Repair all plumbing leaks and pooling moisture before installing a vapor retarder.

4.2.8(d) Vapor retarder shall not:

4.2.8(d1) Obstruct any combustion air supply

4.2.8(d2) Interfere with the established drainage

- Interior drainage collection points must be accessible from above and below the ground vapor retarder.

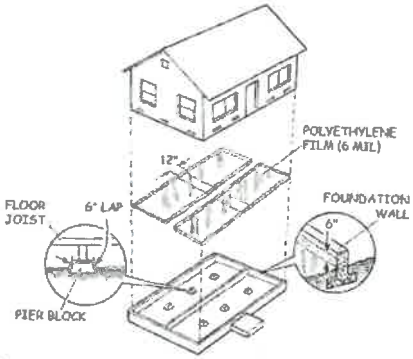

FIG. 39-7: INSTALLATION OF VAPOR RETARDER

4.2.8(e) Cover 100% of crawlspace earth and air permable foundation material with the vapor retarder.

4.2.8(f) Overlap joints by 12" using a "reverse" or "upslope lapping" technique.

4.2.8(f1) Maintain a 3" inspection gap between the top of the soil gas retarder and any wood, if required by the local jurisdiction.

4.2.8(f2) Install ballasts or weights to secure it on the ground where movement is likely with ballast materials that are smooth and free from protrusions.

4.2.8(g) Fasten vapor retarder/ground moisture barrier to the ground with durable fasteners or ballast(s).

4.2.8(h) Extend the vapor retarder 6" up the foundation wall and piers (i.e., solid core block, brick, or poured concrete).

4.2.8(h1) Extend the soil gas retarder over all air-permeable foundation walls or piers (i.e., hollow core block, brick, or rubble) except when the local jurisdiction requires a termite inspection gap

4.2.8(h2) Seal it to all foundation walls and piers with a compatible material that creates an airtight, durable seal. Use mechanical foundation connections where feasible.

- The vapor retarder shall not touch untreated wood members.

4.2.8(h3) For wall-to-floor connection, install the wall vapor retarder under the ground vapor retarder.

- Secure the vapor retarder in place with durable fasteners or tape a minimum of every 8'.

4.2.8(h4) If tape is used to secure polyethylene, the sheeting must be clean before applying tape, and the tape must adhere to it.

4.2.8(i) Seal seams and all penetrations using a lapped-patching technique and with a durable sealant that is compatible with the retarder (e.g., tape or adhesive) to ensure a tight seal.

4.2.8(j) Prevent punctures during installation

4.2.9 Alternatives to Standard Floor Insulation

4.2.9(a) Basement wall insulation

4.2.9(a1) No ground water leakage shall be present.

4.2.9(a2) Install a continuous air barrier on the warm side of the insulation.

4.2.9(a3) When absorbent insulation materials are installed, the assembly must remain vapor-permeable to the interior in all climate zones.

4.2.9(b) Underfloor insulation where no foundation wall exists

4.2.9(b1) If the insulation will be exposed to rain, snow, etc., do not install it unless the exposure can be corrected within the scope of the weatherization program.

4.2.9(b2) If the insulation will be exposed to wind and animals:

- Insulate with batts or foil-clad foam board (Fig. 39-8)
- Support batts with woven wire or a minimum 70-perm breathable cover

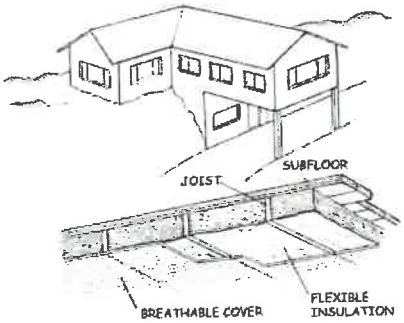

FIG. 39-8: UNDERFLOOR INSULATION WHERE NO FOUNDATION WALL EXISTS

4.2.10 Crawlspace Sign Requirement

4.2.10(a) A durable (10-year life expectancy), and legible sign (minimum 8½" x 11") shall be posted at all accesses to the crawlspace when floor insulation and/or a vapor retarder is installed.

4.2.10(b) Crawlspace sign content

4.2.10(b1) Those entering the crawlspace must be cautioned not to damage the air barrier, ground vapor retarder, insulation, and mechanical components specific to the crawlspace type.

4.2.10(b2) Immediate repairs are needed in the case of damage. Installer contact information must be included on the sign to address questions or repairs.

4.2.10(b3) Language prohibiting the storage of hazardous/toxic and flammable materials in the crawlspace shall be included on the sign.

4.2.11 Insulation Certificate

4.2.11(a) An insulation certificate (CSD 610 form) shall be completed and signed by the contractor responsible for installing the insulation.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.2 Before installing this measure, prior approval must be granted from the California Department of Housing and Community Development (HCD), or another authority having jurisdiction.

5.1.3 The bellyboard must be capable of supporting the added weight of insulation and blower pressure.

5.1.4 The undercarriage must be protected from the environment by sheathing or rodent-proof skirting

5.1.5 This measure is not allowed if an enclosed (finished) floor cavity requiring blind fill has a heat-producing device (HPD) that cannot be properly protected and provided with a 3" clearance

5.1.6 Crawlspace ventilation must conform with Department of Housing and Urban Development (HUD) code when floor insulation is installed. If existing ventilation is inadequate/non-conforming, it must be corrected per Section 41 Crawlspace Ventilation.

5.1.7 Before floor insulation is installed, abandon unducted belly-cavity returns, and install a central ducted return in conformance with Appendix B Duct Leakage Testing Protocol.

5.1.8 When required by HUD code, a vapor barrier shall be installed after insulation has been installed.

5.1.9 Approved Installation Methods

5.1.9(a) Rigid or flexible insulation shall not be installed under the bellyboard.

5.1.9(b) Cavity fill

5.1.9(b1) Belly cavity fill through the bellyboard (rodent barrier) is the preferred insulation method.

5.1.9(c) Rim joist injection

5.1.9(c1) Rim joist injection through ends or sides of mobile home is acceptable.

5.1.9(c2) All interior areas not accessible from the outside perimeter shall be accessed through the belly.

5.1.9(d) Flexible (batt) replacement

5.1.9(d1) Damaged and missing flexible insulation shall be replaced with new flexible insulation. Restore or replace the rodent barrier.

5.1.10 Insulation R-Value

5.1.10(a) New insulation shall bring the level up to the “final R-value” required by Table 39-1.

5.1.11 Conditions Requiring a Vapor Retarder

5.1.11(a) A vapor retarder is installed in conjunction with floor insulation when:

5.1.11(a1) Ground water problems exist

5.1.11(a2) Required by the local jurisdiction

5.1.11(a3) Specified by floor insulation type in this standard

5.1.11(b) Installation of a vapor retarder is not required when only ventilation is installed as a stand-alone measure.

5.1.12 Preparation of Crawlspace

5.1.12(a) Where accessible for inspection, ensure the following:

5.1.12(a1) Duct sealing is completed

5.1.12(a2) Gas, water, and electrical lines are secured at least every 4' to a floor joist or framing member

5.1.12(a3) Water line will be located on the warm side of the insulation; if not, the water lines will be insulated appropriately

5.1.12(a4) No water or gas leaks are present

5.1.12(a5) Waste lines are sloped to ¼" per foot

5.1.12(a6) Holes and penetrations in the bottom board and decking are sealed

5.1.12(a7) Bottom board/rodent barrier is sound/strong enough to support insulation

5.1.12(b) Problems will be corrected before floor cavity insulation work begins.

5.1.13 Vapor Retarder Installation Procedure:

5.1.13(a) When installation of a ground cover is required:

5.1.13(a1) Properly install skirting around the entire perimeter

5.1.13(a2) Extend extremities a minimum of 6" up the inside of the existing skirting

5.1.13(a3) Attach vapor barrier to existing skirting with adhesive caulk or mechanical means

5.1.14 Water Pipes and HVAC Ducts

5.1.14(a) Water pipes shall not be isolated from the warm side of the added insulation (See Fig. 39-1).

5.1.14(b) Tag water valves if they are covered by insulation.

5.1.14(c) Installation of water pipe heaters is not allowed.

5.1.15 Cavity Fill Installation Method

5.1.15(a) All areas shall be insulated except those occupied by ducts, plenums, combustion air intakes, or other obstructions.

5.1.15(b) All regulations restricting placement of insulation in cavities containing aluminum wiring shall be observed.

5.1.15(c) Access

5.1.15(c1) Bellyboard penetration is preferred in all cases.

5.1.15(c2) Penetration is required to insulate all interior areas not accessible through the rim joists.

5.1.15(c3) Holes cut for inspection purposes shall also be used for fill tube.

5.1.15(c4) Existing damage holes shall be used for fill tube access when feasible.

5.1.15(c5) Make additional penetrations, as needed, to achieve complete coverage.

5.1.15(c6) Access point spacing

- Space holes to accommodate the directional nozzle or fill tube utilized.
- Maximum insulation travel beyond fill tube or nozzle shall be 2'.

5.1.15(c7) Hole size

- Make holes of sufficient size to properly accommodate the directional nozzle and/or fill tube.

5.1.15(d) Installation

5.1.15(d1) Recommended nozzle and fill tube size: 2" outside diameter, 1½" inside diameter

5.1.15(d2) Flexible fill tube shall be no more than 2' shorter than the length of the cavity being filled.

5.1.15(d3) Directional nozzle shall cover 2' of cavity depth in each direction.

5.1.15(d4) Installer shall be equipped with a remote-control switch to control the blowing machine.

5.1.15(d5) Insulate each cavity to specified R-value and density.

5.1.15(d6) The number of bags installed will be confirmed and will match the number required on the manufacturer's coverage chart.

5.1.15(e) Insulation hole repair

5.1.15(e1) Repair all bellyboard holes with material equivalent or superior to the existing bellyboard.

5.1.15(e2) Securely attach all bellyboard material to create a complete and permanent seal.

5.1.16 Rim Joist Installation Method

5.1.16(a) Rim joist penetration is an acceptable method when joist size and condition allow for safe and proper installation.

5.1.16(b) This method is used to insulate joist cavities or portions of cavities which have unobstructed access from the outside perimeter.

5.1.16(c) A combination of cavity fill (belly) and joist penetrations shall be used as needed to achieve cavity coverage.

5.1.16(d) Access

5.1.16(d1) Penetration points shall be those that provide the most accessibility.

5.1.16(d2) Remove bottom wall to expose the rim joist.

5.1.16(d3) When necessary, unfasten and carefully pull back exterior siding.

5.1.16(d4) Rim joist access shall be considered not feasible if it will result in visible damage to the siding.

5.1.16(e) Access point spacing

5.1.16(e1) End and side joists

- Drill one access point for each floor joist cavity.
- Locate access points as close as possible to the vertical center of the rim joist to minimize structural weakening.
- Exercise care in access point placement to avoid damage to plumbing and electrical lines attached or adjacent to the rim joist.

5.1.16(e2) Side rim joists

- Access adjacent joist cavities alternately from opposite sides of the mobile home, as feasible, to minimize the number of holes in each rim joist.
- Rim joist holes shall not exceed the size limitations in Table 39-2:

5.1.16(e3) Recommended nozzle and fill tube size is 2" outside diameter, 1½" minimum inside diameter.

5.1.16(e4) The fill tube shall be no more than 2' shorter than the length of the cavity being filled.

TABLE 39-2: RIM JOIST HOLE SIZE LIMITATIONS

Joist Size	Maximum Hole Size
2" x 8"	2½"
2" x 6"	2"
2" x 4"	Not allowed

5.1.16(e5) The installer shall be equipped with a remote-control switch to control the blowing machine

5.1.16(e6) Insulation access point repair

- Install solid wood plugs in all fill holes.
- Secure plugs with exterior-rated glue or sealant.

5.1.17 Flexible Batt Installation Method

5.1.17(a) Access

5.1.17(a1) Ensure complete accessibility of floor cavity.

5.1.17(a2) Remove damaged insulation and all remnants of bottom board.

5.1.17(a3) Clean floor cavities.

5.1.17(b) Installation

5.1.17(b1) Exposed HVAC ducts shall be protected with insulation and rodent barrier.

5.1.17(b2) If insulation has facing, install facing in contact with the heated side.

5.1.17(b3) Install insulation in contact with subfloor.

5.1.17(b4) Support insulation (e.g., metal insulation supports) to maintain a permanent contact with subfloor.

5.1.17(b5) Notch insulation around all wires, pipes, and blocks.

5.1.17(b6) Insulate ducts and water lines for climate conditions.

5.1.17(b7) Locate water lines above the warm side of the insulation (toward the conditioned space), when feasible.

5.1.17(b8) Insulation will not have gaps, voids, or be compressed.

5.1.17(c) Air Barrier

5.1.17(c1) A rigid air barrier will be installed in contact with the bottom of the joists, when feasible.

5.1.17(c2) Rigid air barrier will be fastened as to not sag, bend, or fall off.

5.1.17(c3) Seams, holes, and joints in the air barrier will be sealed.

5.1.17(c4) In cases where HVAC ducts hang below the level of the rigid air barrier and insulation, the ducts will be insulated and air barrier provided that is sealed to the rigid air barrier.

5.1.18 Rodent Barrier Repair

5.1.18(a) After undercarriage insulation is installed the rodent barrier shall be sealed, repaired, or replaced.

5.1.18(b) Repair of flexible rodent barrier

5.1.18(b1) Secure and seal all repair materials by means of self-adhesive backing, caulk, or other suitable adhesive sealant.

5.1.18(b2) Patches shall be additionally secured mechanically with one or more of the following as needed to ensure permanence:

- Outward clinch ("stitch") staples or equivalent spaced to permanently and securely attach the patch directly to the existing bellyboard
- Fasteners penetrating the wooden joists a minimum of ½" and spaced a maximum of 4" OC
- Wooden strips attached with screws into floor joists, or wedged above adjacent girders, or otherwise permanently secured

5.1.18(b3) Place Underwriters Laboratories (UL) 181B-FX butyl tape or other sealant around the perimeter, as needed, to ensure a complete and permanent seal.

5.1.18(c) Repair of rigid rodent barrier

5.1.18(c1) Seal repair material with suitable caulk and secured mechanically.

5.1.18(c2) Approved mechanical attachments include:

- Fasteners that penetrate the wooden joists a minimum of ¾" and are spaced a maximum of 6" OC
- Wooden strip supports that span beyond the patch and secure mechanically into the framework above
- Wedging of patching material between the existing bellyboard and the metal framing of the undercarriage
- Fasteners that penetrate only the existing bellyboard, for small patches in high density material
- A combination of methods which will provide a stable, permanent repair

5.1.18(d) Penetrations in the belly board patch (ducts and pipes)

5.1.18(d1) Seal penetrations with UL 181B-FX butyl tape or equivalent.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 When only an individual multi-family unit will be served, this measure is not feasible.

6.1.2 Installation requirements for multi-family buildings are the same as those for conventional homes.

6.1.3 Installation of insulation within the same thermal boundary as dwelling units is allowed when justified by an energy audit for a whole-building project. See Appendix D Energy Audit/Priority List Protocol.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure may be a DOE Audit path, audit driven measure, or a Priority List path, Mandatory measure.

7.1.2 When any amount of DOE funding is used toward the cost of this measure, DOE policies will apply.

7.1.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

7.1.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

7.1.4 For additional details, refer to Appendix D Energy Audit/Priority List Protocol.

7.1.5 To assess for this measure as part of a DOE work scope, it is required to complete the CSD 710 Energy Audit/Priority List Checklist.

7.1.5(a) The form will determine if the measure will be installed in the Audit path or the Priority List (PL) path.

7.1.5(b) When assessing this measure for the Audit path, measure feasibility will be decided by the energy audit with a Measure savings-to-investment ratio (SIR) and Dwelling SIR.

7.1.5(b1) When the measure is feasible based on the audit, and the measure is categorized as a "Major" measure (i.e., Infiltration Reduction, Duct Sealing, Ceiling Insulation, Floor Insulation, and Wall Insulation), the measure shall be installed or the dwelling must be deferred.

7.1.5(c) When assessing for the measure in the PL path, the feasibility will be based on building type and characteristics.

7.1.5(c1) PL measures are classified as Mandatory or Optional based on building type.

- Mandatory measures on the PL path must be installed when feasible, or the dwelling shall be deferred.
- Optional measures may be installed only after all feasible Mandatory PL measures have been installed.

7.1.6 If a client refuses a feasible Major Audit path measure, Mandatory Priority List path measure, or Health & Safety measure, the entire dwelling shall be deferred.

7.1.7 The R-value of added insulation shall be:

7.1.7(a) A minimum R-value set by Table 39-1

7.1.7(b) A maximum R-value as defined by energy audit

7.1.8 Crawlspace ventilation will only be installed in conjunction with floor insulation per Section 41 Crawlspace Ventilation.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP except as specified below.

TABLE 39-3: DOE INSTALLATION REQUIREMENTS

SF#	Component	Specification	SF	MH	MF
ALL INSTALLATIONS: ACCESSIBLE AND EXPOSED FLOORS					
4.0301.1c, 4.0301.2c	General Preparation	Install flags that can be seen below the floor joists at any utility junctions that will be covered by insulation.	X	X	X
ACCESSIBLE FLOORS: CANTILEVERED FLOORS					
4.0301.6c	General Preparation	Install airtight blocking between each floor joist at the interior edge of the exterior wall plate.	X	X	X
4.0301.6f	Rigid Barrier	Mechanically fasten a continuous, airtight, rigid air barrier to underside of floor assembly to enclose the cavity that is suitable to withstand weather, moisture, and pest contact.	X	X	X
4.0301.6g	Exterior Soffit	Install durable exterior soffit material over the rigid enclosure materials.	X	X	X
ACCESSIBLE FLOORS: DENSE PACKING, WITH RIGID BARRIER					
4.0301.4e	Dense Pack in Joisted Cavities With Rigid Barrier	Secure backing material using mechanical fasteners, spaced a maximum of 6" apart, that penetrate the sub framing a minimum of 1".	X	X	X
EXPOSED FLOORS					
4.0302.1g 4.0302.2e	Post-Installation	When a rigid barrier is required, mechanically fasten a continuous rigid barrier to the underside of the floor assembly that is suitable to withstand weather, moisture, and pest contact, and with a fire-resistance rating equal to the resistance rating of the original floor assembly.	X	X	X
4.0302.1h, 4.0302.2h, 4.0388.1j	Post-Installation	When a rigid barrier is required, seal all seams, joints, connections, penetrations, etc. in rigid protective barrier with compatible sealant. Stuff any gaps larger than 1/4" with copper metal mesh or steel wool prior to sealing. Cover exposed corners of the rigid protective barrier with reinforced hardware cloth or metal board bead.	X	X	X
FOUNDATION SKIRTING					
4.0388.1b	Foundation Skirting	Select materials that are corrosion and rot resistant, compatible with existing surfaces, and pest resistant. Select materials that are rated for ground contact if they touch the ground.	X	X	
4.0388.1f	Foundation Skirting	Install support material as needed to adequately support new skirting to prevent failure under wind or snow loads but that allows for expansion, contraction, and frost heaving.	X	X	
4.0388.1h	Foundation Skirting	Install flashing that directs bulk water away from the dwelling and to outside skirting. Seal flashing to dwelling with compatible sealant.	X	X	
4.0388.1i	Foundation Skirting	Install skirting that meets the prescribed R-value.	X	X	
4.0388.1j	Foundation Skirting	Stuff any gaps larger than 1/4" with copper metal mesh or steel wool prior to sealing.	X	X	

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Combustion appliance safety testing must be performed upon completion of all measures that affect air tightness of home, per Appendix A Combustion Appliance Safety Protocol.

8.1.2 The required clearance zones for HPDs and crawlspace venting shall be unobstructed by insulation or vapor retarder.

8.1.3 Completed floor insulation sections shall be confirmed to have an even level of insulation at the prescribed R-value.

8.1.4 There shall be no voids, gaps, or separations from the sub-floor.

8.1.5 Installed insulation shall not be compressed more than 10% to negatively impact the efficiency of the insulation R-value.

8.1.6 The number of bags of insulation installed shall be confirmed and must match the number required on the manufacturer's coverage chart.

8.1.7 If installed as a condition of permit, the ground vapor retarder shall cover the entire crawlspace floor, be properly secured with the correct overlap, and have no gaps or separations.

8.2. Client Education

8.2.1 A copy of the completed CSD 610 Insulation Certificate must be provided to the client.

8.2.2 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.3 Unless virgin resin or reinforced material ≥10 mil was installed, the client shall be advised that the vapor retarder is biodegradable, will have a life span much shorter than the home (approximately 5 years), and will need to be replaced to remain effective.

8.3. Clean-Up and Disposal Requirements

8.3.1 Upon completion, the residence shall be returned to its original condition and left free of job-related dust and debris indoors and outdoors.

8.3.1(a) All areas between indoor work areas and the home entrance shall be vacuumed.

8.3.1(b) The area between the home entrance/access and the insulation truck shall be swept or vacuumed.

8.3.2 A high-efficiency particulate air filter vacuum shall be used for all vacuuming.

8.3.3 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP:

9.1.1(a) Loose and batt types installed in fully closed, air-tight cavities—20 years

9.1.1(b) Rigid insulation—20 years

9.1.1(c) All other types including loose fill and batt not installed in fully closed, air-tight cavities—Not applicable to this measure

9.1.2 DOE:

9.1.2(a) Loose and batt types installed in fully closed, air-tight cavities—30 years

9.1.2(b) Rigid insulation—30 years

9.1.2(c) All other types including loose fill and batt not installed in fully closed, air-tight cavities—20 years

9.2 All insulation materials shall be:

9.2.1 Approved for sale in California and certified to comply with the material specifications in the California Code of Regulations, Title 24, Part 12, Chapters 12–13, article 3, "Standards for Insulating Material."

9.2.2 Rated with a flame spread and smoke development index of 25/450 or less in accordance with ASTM E84 or UL 723.

9.2.2(a) Backing material shall have a smoke development index of 450 or less when tested in accordance with ASTM E84 or UL 723.

9.2.2(b) When a rigid barrier is used in combination with loose fill insulation, the rigid barrier must be permanent and support the installed insulation weight without failure.

9.3 Insulation material used in mobile homes will be non-corrosive and of minimal water absorbency.

9.4 Mineral Fiber

9.4.1 Batts shall conform to American Society of Testing and Materials (ASTM) C665 for material and facing (including flame spread and smoke density).

9.4.2 Loose fill shall conform to ASTM C764 and ASTM E84.

9.5 Cellulose loose fill shall be listed in the Department of Consumer Affairs' "Directory of Certified Insulation Materials."

9.6 Rigid insulation and support materials shall:

9.6.1 Have a flame spread and smoke development index of 75/450 or less when tested in accordance with ASTM E84 or UL 723

9.6.2 Be pre-formed polyisocyanurate board, foil-faced on both sides, that conforms with Federal Standard (FS) HH-1-1972/1 or

9.6.3 Be high-density fiberglass board that conforms with ASTM C726

9.7 Vapor retarder shall be:

9.7.1 In accordance with tear- and puncture-resistance standard ASTM E1745

9.7.2 LIHEAP or DOE: Class I vapor retarder with a perm rating of ≤0.1

9.7.2(a) Can be ≥6 mil sheet polyethylene or unperforated aluminum foil (e.g., foil/scrim/kraft)

9.7.3 LIHEAP: Class II vapor retarder with a perm rating of 0.1–1.0 (semi-impermeable)

9.7.3(a) Can be sheet polyethylene

9.8 Insulation cover shall be a minimum 70-perm breathable cover.

9.9 Supports and Anchors

9.9.1 All attachment materials shall be corrosion resistant have a minimum expected service life of 10 years.

9.9.1(a) DOE: Minimum service life of 20 years

9.9.2 Staples shall be ≥18-gauge, minimum ¼" crown for lath or ⅜" crown for other supports, and provide ≥⅝" joist penetration.

9.9.3 Nails shall be galvanized with ≥⅝" joist penetration.

9.9.4 Wire supports shall be minimum 20-gauge galvanized wire.

9.9.5 Woven wire shall be galvanized wire.

9.9.6 Polypropylene netting shall have ≥75-lb. breaking strength.

9.9.7 Spring Wire Support Rods ("Lightning Rods") for Flexible Insulation Types

9.9.7(a) Spring steel wire with chisel points (lightning rods, wirestays)

9.9.7(b) Minimum 13-gauge

9.10 Foundation vents shall conform with Section 41 Crawlspace Ventilation.

9.10.1 New or modified vents shall be covered with ¼" weave galvanized mesh.

9.11 Access Cover Insulation

9.11.1 Refer to Table 39-1.

9.12 Crawlspace Access Door/Cover

9.12.1 Refer to Section 32 Infiltration Reduction, Material Specifications.

10. WARRANTY

10.1 Manufacturer—Limited lifetime

10.2 Contractor—1 year

40. Attic Ventilation

Table of Contents

1. **MEASURE OBJECTIVES** **40-1**

2. **INSTALL THIS MEASURE WHEN:** **40-1**
   - 2.1. Repair 40-1
   - 2.2. Install 40-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **40-1**
   - 3.1. Do Not Repair 40-1
   - 3.2. Do Not Install 40-1

4. **INSTALLATION GUIDELINES** **40-1**
   - 4.1. General Requirements 40-1
     - 4.1.8 Vent Composition 40-2
     - 4.1.10 Reduction Factors 40-3
   - 4.2. Vent Tables 40-3
     - 4.2.3 Rectangular Gable Vents 40-4
     - 4.2.4 Triangular Gable Vents 40-5
     - 4.2.5 Turbine Vents 40-6
     - 4.2.6 Round Vents (Bird Holes) 40-7
     - 4.2.7 Round Vents with Louvers 40-7
     - 4.2.8 Eave Vents 40-8
     - 4.2.9 Soffit Vents 40-8
     - 4.2.10 Mushroom Vents 40-9
     - 4.2.11 Hood Vents and Roof Jacks 40-10
     - 4.2.12 Eyebrow Vents 40-10
     - 4.2.13 Dormer Vents 40-11
     - 4.2.14 Roof Ridge Vents 40-12
   - 4.3. Repair Procedure 40-12
   - 4.4. Installation Procedure 40-12
     - 4.4.1 Order of Installation 40-12
     - 4.4.2 Attic Vent Placement—All Vents 40-13

5. **MOBILE HOME–SPECIFIC** **40-14**
   - 5.1. Installation Requirements 40-14

6. **MULTI-FAMILY–SPECIFIC** **40-14**
   - 6.1. Installation Requirements 40-14

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7. DOE-SPECIFIC 40-14
7.1. Assessment Requirements 40-14
7.2. Installation Requirements 40-14

8. POST-INSTALLATION GUIDELINES 40-14
8.1. Quality Check 40-14
8.2. Client Education 40-14
8.3. Clean-Up and Disposal Requirements 40-15

9. MATERIAL SPECIFICATIONS 40-15

10. WARRANTY 40-15

Attic Ventilation

1. MEASURE OBJECTIVES

1.1 In warm temperatures, attic ventilation expels solar-heated hot air to lessen the cooling load. In cool temperatures, attic ventilation vents out moisture build-up.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 The existing mesh is missing or has tears or gaps

2.2. Install

2.2.1 No attic ventilation exists, or the existing ventilation is inadequate or

2.2.2 When replacing smaller weave mesh with larger weave mesh for additional net free ventilation area (NFVA)

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1. Do Not Repair

3.1.1 Repair of the mesh would make the NFVA inadequate

3.2. Do Not Install

3.2.1 The existing attic ventilation is adequate and functioning properly

3.2.2 The attic is inaccessible, or there is inadequate clearance per Section 1 General Installation Guidelines, Attic and Crawlspace Accessibility

3.2.3 The exhaust system venting that terminates in the attic, unless it can be vented outdoors under Section 1 General Installation Guidelines, Limited Home Repair

3.2.4 The roof is unsound or unsafe, roofing material is likely to be damaged, or roof leaks exist

3.2.5 There are no suitable locations to install attic venting. For example:

3.2.5(a) Tiled, metal, or wood shingles/shakes

3.2.5(b) A hip roof that does not have an overhang, soffit, or accessible frieze blocks

3.2.5(c) A roof in poor condition, e.g., more than three layers of roofing exist

3.2.5(d) A flat or low-slope built-up roof

3.2.6 Installation would violate the Appendix E Health and Safety Requirements

3.2.7 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Attic ventilation may be installed as a stand-alone measure or in conjunction with ceiling insulation.

4.1.2 Audited Measures

4.1.2(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded, it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.2(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.3 The presence of an effective air barrier and thermal boundary between the attic and the living space must be verified by the assessor.

4.1.4 Replacing smaller weave mesh vents with larger weave mesh screen is allowed if additional NFVA is required.

4.1.5 Additional vents or larger vents can be added if screen size is smaller than designated.

4.1.6 Venting used for combustion ventilation air (CVA) must remain unobstructed.

4.1.7 Knob-and-tube (K&T) wiring: When K&T wiring is present in the attic, follow the requirements in Section 1 General Installation Guidelines, Knob & Tube (K&T) Wiring Guidelines.

4.1.8 Vent Composition

4.1.8(a) Screens must be clean, and vents must be free of insulation and other obstructions.

4.1.8(b) On new and replaced vents, ⅛"–¼" mesh screen is required.

4.1.9 Amount of Attic Ventilation

4.1.9(a) The required NFVA shall conform with local code.

4.1.9(b) The existing attic NFVA shall be calculated using the NFVA tables, reduction factors, and NFVA calculations for specific vent types in the following sections.

4.1.9(c) Total NFVA of the openings:

4.1.9(c1) 1 sq. ft. of NFVA is required per 150 sq. ft. of ceiling area with cross-ventilation (as defined in Attic Vent Placement—All Vents) (Table 40-1).

4.1.9(c2) 1 sq. ft. of NFVA per 300 sq. ft. of ceiling area is allowed when one or more of the following conditions are met with cross-ventilation (Table 40-2):

- Condition 1: Upper venting comprises 40%–50% of attic venting, with upper vents located within 3' of the ridge or the highest point of the space. The balance of the venting shall be lower venting.
- Condition 2: In climate zones 14 and 16, when a Class I or II vapor retarder is installed on the winter warm side.

4.1.9(c3) Local code requirements apply if more stringent.

TABLE 40-1: SQ. FT. OF NFVA FOR A 1:150 RATIO

Area Length \ Area Width	10'	12'	14'	16'	18'	20'	22'	24'	26'	28'	30'	32'	34'	36'	38'	40'
10'	0.7	0.8	0.9	1.1	1.2	1.3	1.5	1.6	1.7	1.9	2.0	2.1	2.3	2.4	2.5	2.7
12'	0.8	1.0	1.1	1.3	1.4	1.6	1.8	1.9	2.1	2.2	2.4	2.6	2.7	2.9	3.0	3.2
14'	0.9	1.1	1.3	1.5	1.7	1.9	2.1	2.2	2.4	2.6	2.8	3.0	3.2	3.4	3.5	3.7
16'	1.1	1.3	1.5	1.7	1.9	2.1	2.3	2.6	2.8	3.0	3.2	3.4	3.6	3.8	4.1	4.3
18'	1.2	1.4	1.7	1.9	2.2	2.4	2.6	2.9	3.1	3.4	3.6	3.8	4.1	4.3	4.6	4.8
20'	1.3	1.6	1.9	2.1	2.4	2.7	2.9	3.2	3.5	3.7	4.0	4.3	4.5	4.8	5.1	5.3
22'	1.5	1.8	2.1	2.3	2.6	2.9	3.2	3.5	3.8	4.1	4.4	4.7	5.0	5.3	5.6	5.9
24'	1.6	1.9	2.2	2.6	2.9	3.2	3.5	3.8	4.2	4.5	4.8	5.1	5.4	5.8	6.1	6.4
26'	1.7	2.1	2.4	2.8	3.1	3.5	3.8	4.2	4.5	4.9	5.2	5.5	5.9	6.2	6.6	6.9
28'	1.9	2.2	2.6	3.0	3.4	3.7	4.1	4.5	4.9	5.2	5.6	6.0	6.3	6.7	7.1	7.5
30'	2.0	2.4	2.8	3.2	3.6	4.0	4.4	4.8	5.2	5.6	6.0	6.4	6.8	7.2	7.6	8.0
32'	2.1	2.6	3.0	3.4	3.8	4.3	4.7	5.1	5.5	6.0	6.4	6.8	7.3	7.7	8.1	8.5
34'	2.3	2.7	3.2	3.6	4.1	4.5	5.0	5.4	5.9	6.3	6.8	7.3	7.7	8.2	8.6	9.1
36'	2.4	2.9	3.4	3.8	4.3	4.8	5.3	5.8	6.2	6.7	7.2	7.7	8.2	8.6	9.1	9.6
38'	2.5	3.0	3.5	4.1	4.6	5.1	5.6	6.1	6.6	7.1	7.6	8.1	8.6	9.1	9.6	10.1
40'	2.7	3.2	3.7	4.3	4.8	5.3	5.9	6.4	6.9	7.5	8.0	8.5	9.1	9.6	10.1	10.7

TABLE 40-2: SQ. FT. OF NFVA FOR A 1:300 RATIO

Area Length	Area Width 10'	12'	14'	16'	18'	20'	22'	24'	26'	28'	30'	32'	34'	36'	38'	40'
10'	0.3	0.4	0.5	0.5	0.6	0.7	0.7	0.8	0.9	0.9	1.0	1.1	1.1	1.2	1.3	1.3
12'	0.4	0.5	0.6	0.6	0.7	0.8	0.9	1.0	1.0	1.1	1.2	1.3	1.4	1.4	1.5	1.6
14'	0.5	0.6	0.7	0.7	0.8	0.9	1.0	1.1	1.2	1.3	1.4	1.5	1.6	1.7	1.8	1.9
16'	0.5	0.6	0.7	0.9	1.0	1.1	1.2	1.3	1.4	1.5	1.6	1.7	1.8	1.9	2.0	2.1
18'	0.6	0.7	0.8	1.0	1.1	1.2	1.3	1.4	1.6	1.7	1.8	1.9	2.0	2.2	2.3	2.4
20'	0.7	0.8	0.9	1.1	1.2	1.3	1.5	1.6	1.7	1.9	2.0	2.1	2.3	2.4	2.5	2.7
22'	0.7	0.9	1.0	1.2	1.3	1.5	1.6	1.8	1.9	2.1	2.2	2.3	2.5	2.6	2.8	2.9
24'	0.8	1.0	1.1	1.3	1.4	1.6	1.8	1.9	2.1	2.2	2.4	2.6	2.7	2.9	3.0	3.2
26'	0.9	1.0	1.2	1.4	1.6	1.7	1.9	2.1	2.3	2.4	2.6	2.8	2.9	3.1	3.3	3.5
28'	0.9	1.1	1.3	1.5	1.7	1.9	2.1	2.2	2.4	2.6	2.8	3.0	3.2	3.4	3.5	3.7
30'	1.0	1.2	1.4	1.6	1.8	2.0	2.2	2.4	2.6	2.8	3.0	3.2	3.4	3.6	3.8	4.0
32'	1.1	1.3	1.5	1.7	1.9	2.1	2.3	2.6	2.8	3.0	3.2	3.4	3.6	3.8	4.1	4.3
34'	1.1	1.4	1.6	1.8	2.0	2.3	2.5	2.7	2.9	3.2	3.4	3.6	3.9	4.1	4.3	4.5
36'	1.2	1.4	1.7	1.9	2.2	2.4	2.6	2.9	3.1	3.4	3.6	3.8	4.1	4.3	4.6	4.8
38'	1.3	1.5	1.8	2.0	2.3	2.5	2.8	3.0	3.3	3.5	3.8	4.1	4.3	4.6	4.8	5.1
40'	1.3	1.6	1.9	2.1	2.4	2.7	2.9	3.2	3.5	3.7	4.0	4.3	4.5	4.8	5.1	5.3

4.1.10 Reduction Factors

4.1.10(a) When the vent manufacturer does not provide NFVA, use Table 40-3 and the area of the vent opening to determine NFVA.

4.1.10(a1) Example: An eave vent has a ¼" screen (no louvers) with a vent opening (excluding the frame) that is 2½" x 17".

- The screened opening is 2½" x 17" = 42.5 sq. in.
- Table 40-3 shows the reduction factor for a vent with ¼" screen and no louvers is 90%.
- 42.5 sq. in. x 0.90 = 38.25 sq. in.
- Divide sq. in. by 144 to calculate sq. ft.: 38.25/144 = 0.27 sq. ft. of NFVA.

TABLE 40-3: SCREEN AND LOUVER NFVA REDUCTION FACTORS

¼" Screen, No Louvers	⅛" Screen, No Louvers	1/16" Screen, No Louvers	Metal Louvers with or without ¼" or ⅛" Screen	Wood Louvers with or without ¼" or ⅛" Screen
0.90 (90%)	0.75 (75%)	0.50 (50%)	0.75 (75%)	0.25 (25%)

4.2. Vent Tables

4.2.1 Table 40-4 through Table 40-22 can be used to determine the NFVA provided by a particular type and size of vent. The NFVA shown includes the reduction factor and is given in sq. ft.

4.2.2 When vent measurements are between the sizes listed, calculate manually.

4.2.3 Rectangular Gable Vents

4.2.3(a) Example: (Fig. 40-1, Table 40-4, and Table 40-5)

4.2.3(a1) If a 16" x 14" rectangular gable vent is to be installed, first find the 16" height in the left column of Table 40-4. Move across that row to the column representing the 14" width (shown in the top row). At the intersection of the 16" height row and 14" width column, find "1.17."

- One vent provides 1.17 sq. ft. of NFVA.

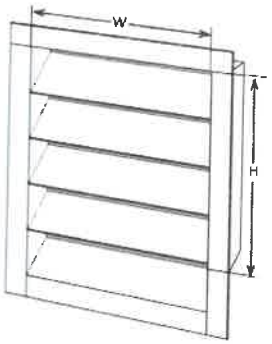

FIG. 40-1: RECTANGULAR GABLE VENT

TABLE 40-4: SQ. FT. OF NFVA FOR RECTANGULAR GABLE VENTS—¼" OR ⅛" SCREEN WITH METAL LOUVERS (REDUCTION FACTOR = 0.75)

Height \ Width	11"	12"	14"	16"	18"	20"	22"	24"	30"	36"
8"	0.46	0.50	0.58	0.67	0.75	0.83	0.92	1.00	1.25	1.50
10"	0.57	0.63	0.73	0.83	0.94	1.04	1.15	1.25	1.56	1.88
12"	0.69	0.75	0.88	1.00	1.13	1.25	1.38	1.50	1.88	2.25
14"	0.80	0.88	1.02	1.17	1.31	1.46	1.60	1.75	2.19	2.63
16"	0.92	1.00	1.17	1.33	1.50	1.67	1.83	2.00	2.50	3.00
18"	1.03	1.13	1.31	1.50	1.69	1.88	2.06	2.25	2.81	3.38
20"	1.15	1.25	1.46	1.67	1.88	2.08	2.29	2.50	3.13	3.75
22"	1.26	1.38	1.60	1.83	2.06	2.29	2.52	2.75	3.44	4.13
24"	1.38	1.50	1.75	2.00	2.25	2.50	2.75	3.00	3.75	4.50
26"	1.49	1.63	1.90	2.17	2.44	2.71	2.98	3.25	4.06	4.88
28"	1.60	1.75	2.04	2.33	2.63	2.92	3.21	3.50	4.38	5.25
30"	1.72	1.88	2.19	2.50	2.81	3.13	3.44	3.75	4.69	5.63
32"	1.83	2.00	2.33	2.67	3.00	3.33	3.67	4.00	5.00	6.00
34"	1.95	2.13	2.48	2.83	3.19	3.54	3.90	4.25	5.31	6.38
36"	2.06	2.25	2.63	3.00	3.38	3.75	4.13	4.50	5.63	6.75

TABLE 40-5: SQ. FT. OF NFVA FOR RECTANGULAR GABLE VENTS—¼" OR ⅛" SCREEN WITH WOOD LOUVERS (REDUCTION FACTOR = 0.25)

Height \ Width	12"	14"	16"	18"	20"	22"	24"	30"	36"
8"	0.17	0.19	0.22	0.25	0.28	0.31	0.33	0.42	0.50
10"	0.21	0.24	0.28	0.31	0.35	0.38	0.42	0.52	0.63
12"	0.25	0.29	0.33	0.38	0.42	0.46	0.50	0.63	0.75
14"	0.29	0.34	0.39	0.44	0.49	0.53	0.58	0.73	0.88
16"	0.33	0.39	0.44	0.50	0.56	0.61	0.67	0.83	1.00
18"	0.38	0.44	0.50	0.56	0.63	0.69	0.75	0.94	1.13
20"	0.42	0.49	0.56	0.63	0.69	0.76	0.83	1.04	1.25
22"	0.46	0.53	0.61	0.69	0.76	0.84	0.92	1.15	1.38
24"	0.50	0.58	0.67	0.75	0.83	0.92	1.00	1.25	1.50
26"	0.54	0.63	0.72	0.81	0.90	0.99	1.08	1.35	1.63
28"	0.58	0.68	0.78	0.88	0.97	1.07	1.17	1.46	1.75
30"	0.63	0.73	0.83	0.94	1.04	1.15	1.25	1.56	1.88
32"	0.67	0.78	0.89	1.00	1.11	1.22	1.33	1.67	2.00
34"	0.71	0.83	0.94	1.06	1.18	1.30	1.42	1.77	2.13
36"	0.75	0.88	1.00	1.13	1.25	1.38	1.50	1.88	2.25

4.2.4 Triangular Gable Vents

4.2.4(a) (Fig. 40-2, Table 40-6, and Table 40-7)

4.2.4(b) The area of a triangle is: Width x Height / 2.

4.2.4(c) Example: A triangle vent has a ¼" screen (no louvers) with a vent opening (excluding the frame) that is 40" x 20".

- The screened opening is 40" x 20" / 2 = 400 sq. in.
- Table 40-3 shows the reduction factor for a vent with ¼" screen and no louvers is 75%.
- 400 sq. in. x 0.75 = 300 sq. in.
- Divide sq. in. by 144 to calculate sq. ft.: 300/144 = 2.08 sq. ft. of NFVA.

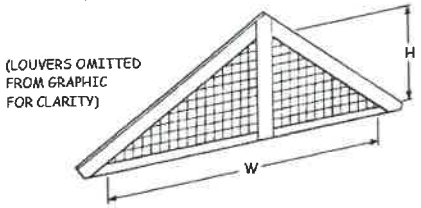

FIG. 40-2: TRIANGULAR GABLE VENT

TABLE 40-6: SQ. FT. OF NFVA FOR TRIANGULAR GABLE VENTS—¼" OR ⅛" SCREEN WITH METAL LOUVERS (REDUCTION FACTOR = 0.75)

Height \ Width	24"	30"	36"	42"	48"	54"	60"	72"
10"	0.63	0.78	0.94	1.09	1.25	1.41	1.56	1.88
12"	0.75	0.94	1.13	1.31	1.50	1.69	1.88	2.25
14"	0.88	1.09	1.31	1.53	1.75	1.97	2.19	2.63
16"	1.00	1.25	1.50	1.75	2.00	2.25	2.50	3.00
18"	1.13	1.41	1.69	1.97	2.25	2.53	2.81	3.38
20"	1.25	1.56	1.88	2.19	2.50	2.81	3.13	3.75
22"	1.38	1.72	2.06	2.41	2.75	3.09	3.44	4.13
24"	1.50	1.88	2.25	2.63	3.00	3.38	3.75	4.50
26"	1.63	2.03	2.44	2.84	3.25	3.66	4.06	4.88
28"	1.75	2.19	2.63	3.06	3.50	3.94	4.38	5.25
30"	1.88	2.34	2.81	3.28	3.75	4.22	4.69	5.63
32"	2.00	2.50	3.00	3.50	4.00	4.50	5.00	6.00
34"	2.13	2.66	3.19	3.72	4.25	4.78	5.31	6.38
36"	2.25	2.81	3.38	3.94	4.50	5.06	5.63	6.75

TABLE 40-7: SQ. FT. OF NFVA FOR TRIANGULAR GABLE VENTS—¼" OR ⅛" SCREEN WITH WOOD LOUVERS (REDUCTION FACTOR = 0.25)

Height \ Width	24"	30"	36"	42"	48"	54"	60"	72"
10"	0.21	0.26	0.31	0.36	0.42	0.47	0.52	0.63
12"	0.25	0.31	0.38	0.44	0.50	0.56	0.63	0.75
14"	0.29	0.36	0.44	0.51	0.58	0.66	0.73	0.88
16"	0.33	0.42	0.50	0.58	0.67	0.75	0.83	1.00
18"	0.38	0.47	0.56	0.66	0.75	0.84	0.94	1.13
20"	0.42	0.52	0.63	0.73	0.83	0.94	1.04	1.25
22"	0.46	0.57	0.69	0.80	0.92	1.03	1.15	1.38
24"	0.50	0.63	0.75	0.88	1.00	1.13	1.25	1.50
26"	0.54	0.68	0.81	0.95	1.08	1.22	1.35	1.63
28"	0.58	0.73	0.88	1.02	1.17	1.31	1.46	1.75
30"	0.63	0.78	0.94	1.09	1.25	1.41	1.56	1.88
32"	0.67	0.83	1.00	1.17	1.33	1.50	1.67	2.00
34"	0.71	0.89	1.06	1.24	1.42	1.59	1.77	2.13
36"	0.75	0.94	1.13	1.31	1.50	1.69	1.88	2.25

4.2.5 Turbine Vents

4.2.5(a) Several styles of turbine vents exist (Fig. 40-3), each with different NFVA specifications. Use Table 40-8 only when the manufacturer's NFVA specifications are not available.

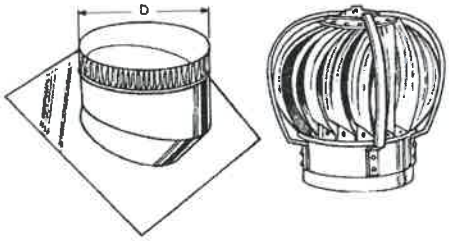

FIG. 40-3: TURBINE VENT

TABLE 40-8: SQ. FT. OF NFVA FOR TURBINE VENTS

# of 12" Turbines	1		2		3		4		5	
# of 14" Turbines		1		2		3		4		5
Sq. Ft. of NFVA Provided	0.79	1.10	1.60	2.20	2.40	3.30	3.20	4.40	4.00	5.50

4.2.6 Round Vents (Bird Holes)

4.2.6(a) (Table 40-9 and Table 40-10)

TABLE 40-9: SQ. FT. OF NFVA FOR BIRD HOLES—¼" SCREEN, NO LOUVERS (REDUCTION FACTOR = 0.90)

	Diameter						
	1.5"	1.75"	2"	2.25"	2.5"	2.75"	3"
Sq. Ft. of NFVA Provided by One Vent	0.0110	0.0150	0.0196	0.0248	0.0307	0.0371	0.0442
# of Vents Needed for 1 Sq. Ft. NFVA	91	67	51	40	33	27	23

TABLE 40-10: SQ. FT. OF NFVA FOR BIRD HOLES—⅛" SCREEN, NO LOUVERS (REDUCTION FACTOR = 0.75)

	Diameter						
	1.5"	1.75"	2"	2.25"	2.5"	2.75"	3"
Sq. Ft. of NFVA Provided by One Vent	0.0092	0.0125	0.0164	0.0207	0.0256	0.0309	0.0368
# of Vents Needed for 1 Sq. Ft. NFVA	109	80	61	48	39	32	27

4.2.7 Round Vents with Louvers

4.2.7(a) Many styles of round vents (Fig. 40-4) exist, each with different NFVA specifications. Use Table 40-11 only when the manufacturer's NFVA specifications are not available.

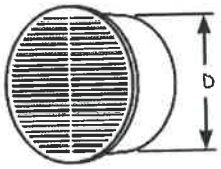

FIG. 40-4: ROUND VENT WITH LOUVER

TABLE 40-11: SQ. FT. OF NFVA FOR LOUVER BIRD HOLE VENTS

	Diameter								
	1"	1.5"	2"	2.5"	3"	4"	5"	6"	8"
Sq. Ft. of NFVA Provided by One Vent	0.0019	0.0043	0.0076	0.0119	0.0172	0.0305	0.0477	0.0687	0.1222
# of Vents Needed for 1 Sq. Ft. NFVA	524	233	131	84	58	33	21	15	8

4.2.8 Eave Vents

4.2.8(a) (Fig. 40-5, Table 40-12, and Table 40-13)

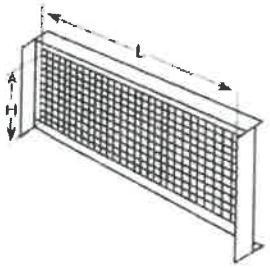

FIG. 40-5: EAVE VENT

TABLE 40-12: SQ. FT. OF NFVA FOR EAVE VENTS—¼" SCREEN, NO LOUVERS (REDUCTION FACTOR = 0.90)

		Length								
		10"	12"	13"	14"	14.5"	16"	18"	21"	22.5"
Height	3"	0.19	0.23	0.24	0.26	0.27	0.30	0.34	0.39	0.42
	3.5"	0.22	0.26	0.28	0.31	0.32	0.35	0.39	0.46	0.49
	4"	0.25	0.30	0.33	0.35	0.36	0.40	0.45	0.53	0.56
	4.5"	0.28	0.34	0.37	0.39	0.41	0.45	0.51	0.59	0.63
	5"	0.31	0.38	0.41	0.44	0.45	0.50	0.56	0.66	0.70
	5.5"	0.34	0.41	0.45	0.48	0.50	0.55	0.62	0.72	0.77

TABLE 40-13: SQ. FT. OF NFVA FOR EAVE VENTS—⅛" SCREEN, NO LOUVERS (REDUCTION FACTOR = 0.75)

		Length								
		10"	12"	13"	14"	14.5"	16"	18"	21"	22.5"
Height	3"	0.16	0.19	0.20	0.22	0.23	0.25	0.28	0.33	0.35
	3.5"	0.18	0.22	0.24	0.26	0.26	0.29	0.33	0.38	0.41
	4"	0.21	0.25	0.27	0.29	0.30	0.33	0.38	0.44	0.47
	4.5"	0.23	0.28	0.30	0.33	0.34	0.38	0.42	0.49	0.53
	5"	0.26	0.31	0.34	0.36	0.38	0.42	0.47	0.55	0.59
	5.5"	0.29	0.34	0.37	0.40	0.42	0.46	0.52	0.60	0.64

4.2.9 Soffit Vents

4.2.9(a) See Fig. 40-6 and Table 40-14.

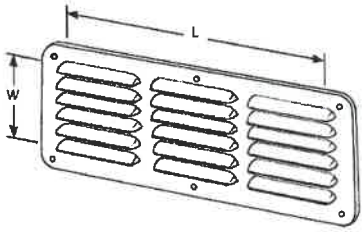

FIG. 40-6: SOFFIT VENT

TABLE 40-14: SQ. FT. OF NFVA FOR SOFFIT VENTS—1/4" OR 1/8" SCREEN WITH METAL LOUVERS (REDUCTION FACTOR = 0.75)

Height \ Length	10"	12"	14"	15"	16"	18"	20"	22"	24"
2"	0.10	0.13	0.15	0.16	0.17	0.19	0.21	0.23	0.25
3"	0.16	0.19	0.22	0.23	0.25	0.28	0.31	0.34	0.38
3.5"	0.18	0.22	0.26	0.27	0.29	0.33	0.36	0.40	0.44
4"	0.21	0.25	0.29	0.31	0.33	0.38	0.42	0.46	0.50
4.5"	0.23	0.28	0.33	0.35	0.38	0.42	0.47	0.52	0.56
5"	0.26	0.31	0.36	0.39	0.42	0.47	0.52	0.57	0.63
6"	0.31	0.38	0.44	0.47	0.50	0.56	0.63	0.69	0.75
8"	0.42	0.50	0.58	0.63	0.67	0.75	0.83	0.92	1.00
10"	0.52	0.63	0.73	0.78	0.83	0.94	1.04	1.15	1.25

4.2.10 Mushroom Vents

4.2.10(a) (Fig. 40-7, Table 40-15, and Table 40-16)

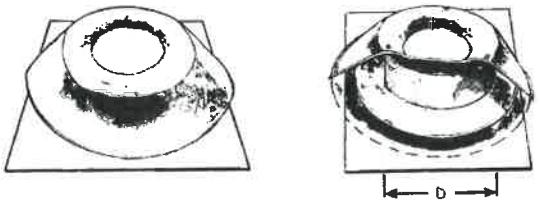

FIG. 40-7: MUSHROOM VENT

TABLE 40-15: SQ. FT. OF NFVA FOR MUSHROOM VENTS— 1/4" SCREEN (REDUCTION FACTOR = 0.90)

	Diameter									
	6"	7"	8"	9"	10"	11"	12"	13"	14"	15"
Sq. Ft. of NFVA	0.18	0.24	0.31	0.40	0.49	0.59	0.71	0.83	0.96	1.10

TABLE 40-16: SQ. FT. OF NFVA FOR MUSHROOM VENTS— 1/8" SCREEN (REDUCTION FACTOR = 0.75)

	Diameter									
	6"	7"	8"	9"	10"	11"	12"	13"	14"	15"
Sq. Ft. of NFVA	0.15	0.20	0.26	0.33	0.41	0.49	0.59	0.69	0.80	0.92

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4.2.11 Hood Vents and Roof Jacks

4.2.11(a) (Fig. 40-8, Table 40-17, and Table 40-18)

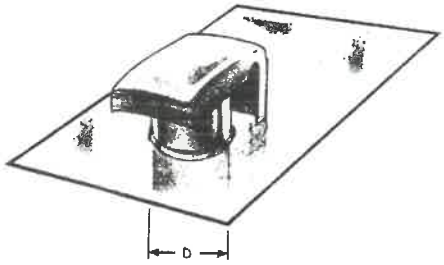

FIG. 40-8: HOOD VENT

TABLE 40-17: SQ. FT. OF NFVA FOR HOOD VENTS AND ROOF JACKS— ¼" SCREEN (REDUCTION FACTOR = 0.90)

	Diameter									
	6"	7"	8"	9"	10"	11"	12"	13"	14"	15"
Sq. Ft. of NFVA	0.18	0.24	0.31	0.40	0.49	0.59	0.71	0.83	0.96	1.10

TABLE 40-18: SQ. FT. OF NFVA FOR HOOD VENTS AND ROOF JACKS— ⅛" SCREEN (REDUCTION FACTOR = 0.75)

	Diameter									
	6"	7"	8"	9"	10"	11"	12"	13"	14"	15"
Sq. Ft. of NFVA	0.15	0.20	0.26	0.33	0.41	0.49	0.59	0.69	0.80	0.92

4.2.12 Eyebrow Vents

4.2.12(a) (Fig. 40-9, Table 40-19, and Table 40-20)

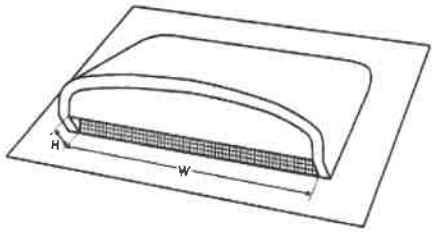

FIG. 40-9: EYEBROW VENT

TABLE 40-19: SQ. FT. OF NFVA FOR EYEBROW VENTS—¼" SCREEN, NO LOUVERS (REDUCTION FACTOR = 0.90)

Height	Width 10"	12"	14"	15"	16"	18"	20"	22"
3"	0.19	0.23	0.26	0.28	0.30	0.34	0.38	0.41
5"	0.31	0.38	0.44	0.47	0.50	0.56	0.63	0.69
6"	0.38	0.45	0.53	0.56	0.60	0.68	0.75	0.83
7"	0.44	0.53	0.61	0.66	0.70	0.79	0.88	0.96
7.5"	0.47	0.56	0.66	0.70	0.75	0.84	0.94	1.03
8"	0.50	0.60	0.70	0.75	0.80	0.90	1.00	1.10
8.5"	0.53	0.64	0.74	0.80	0.85	0.96	1.06	1.17
9"	0.56	0.68	0.79	0.84	0.90	1.01	1.13	1.24

TABLE 40-20: SQ. FT. OF NFVA FOR EYEBROW VENTS—1/4" OR 1/8" SCREEN WITH LOUVERS (REDUCTION FACTOR =0.75)

Height	Width 10"	12"	14"	15"	16"	18"	20"	22"
3"	0.16	0.19	0.22	0.23	0.25	0.28	0.31	0.34
5"	0.26	0.31	0.36	0.39	0.42	0.47	0.52	0.57
6"	0.31	0.38	0.44	0.47	0.50	0.56	0.63	0.69
7"	0.36	0.44	0.51	0.55	0.58	0.66	0.73	0.80
7.5"	0.39	0.47	0.55	0.59	0.63	0.70	0.78	0.86
8"	0.42	0.50	0.58	0.63	0.67	0.75	0.83	0.92
8.5"	0.44	0.53	0.62	0.66	0.71	0.80	0.89	0.97
9"	0.47	0.56	0.66	0.70	0.75	0.84	0.94	1.03

4.2.13 Dormer Vents

4.2.13(a) (Fig. 40-10 and Table 40-21)

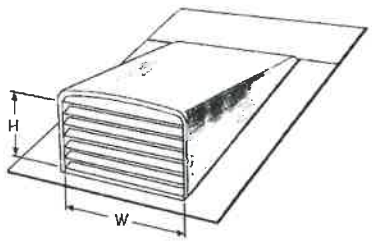

FIG. 40-10: DORMER VENT

TABLE 40-21: SQ. FT. OF NFVA FOR DORMER VENTS—1/4" OR 1/8" SCREEN WITH METAL LOUVERS (REDUCTION FACTOR = 0.75)

		Width							
		10"	12"	14"	15"	16"	18"	20"	22"
Height	5"	0.26	0.31	0.36	0.39	0.42	0.47	0.52	0.57
	6"	0.31	0.38	0.44	0.47	0.50	0.56	0.63	0.69
	7"	0.36	0.44	0.51	0.55	0.58	0.66	0.73	0.80
	7.5"	0.39	0.47	0.55	0.59	0.63	0.70	0.78	0.86
	8"	0.42	0.50	0.58	0.63	0.67	0.75	0.83	0.92
	8.5"	0.44	0.53	0.62	0.66	0.71	0.80	0.89	0.97
	9"	0.47	0.56	0.66	0.70	0.75	0.84	0.94	1.03

4.2.14 Roof Ridge Vents

4.2.14(a) (Fig. 40-11 and Table 40-22)

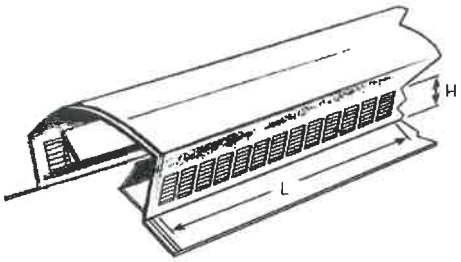

FIG. 40-11: ROOF RIDGE VENT

4.2.14(a1) Several styles of ridge vent exist, each with different NFVA specifications. When possible, measure the openings and apply reduction factor 0.50. The last option is to use Table 40-22 only when the manufacturer's NFVA specifications are not available.

TABLE 40-22: SQ. FT. OF NFVA FOR ROOF RIDGE VENTS WITH LOUVERS (REDUCTION FACTOR = 0.50)

Height					
1"	1.5"	2"	2.5"	3"	3.5"
0.042	0.063	0.083	0.104	0.125	0.146
Multiply the factor shown above by linear feet of vent.					

4.3. Repair Procedure

4.3.1 Clean or replace the existing screen if the opening is clogged.

4.3.2 Install a replacement screen with ⅛"–¼" mesh when:

4.3.2(a) The existing screen has tears or gaps or

4.3.2(b) The screen is missing

4.4. Installation Procedure

4.4.1 Order of Installation

4.4.1(a) All exhaust systems that terminate in the attic must be vented outdoors before any attic ventilation or insulation is installed.

4.4.1(b) When ceiling insulation will be installed, attic ventilation must be installed before ceiling insulation.

4.4.2 Attic Vent Placement—All Vents

4.4.2(a) The required NFVA shall be approximately evenly distributed along the lengths of at least two opposite sides to provide cross-ventilation.

4.4.2(b) The following may be used as upper vents:

4.4.2(b1) Gable vents installed in the upper ⅓ of the gable wall

4.4.2(b2) Roof jacks (e.g., eyebrow, dormer, mushroom and hood)

4.4.2(b3) Wind turbines

4.4.2(b4) Ridge vents

4.4.2(c) The following may be used as lower vents:

4.4.2(c1) Eave and soffit vents shall be used when possible.

4.4.2(c2) When eave or soffit vents cannot be installed:

- Eyebrow or dormer vents may be mounted low on the roof and
- Gable vents may be installed in the lower ⅓ of an unvented gable wall

4.4.2(d) A 1" clearance (air path) is required between:

4.4.2(d1) Vent opening and roof sheathing

4.4.2(d2) Vent opening and insulation

4.4.2(e) Install loose fill insulation blocking to comply with Section 37 Attic and Ceiling Insulation.

4.4.2(f) Placement of attic vents will be considered for proper airflow and prevention of entry of wind driven rain or snow.

4.4.2(g) Eave and soffit vents:

4.4.2(g1) Baffling for attic soffit vents will be installed to:

- Ensure proper airflow
- Prevent wind washing of insulation
- Allow maximum insulation coverage
- Ensure baffle terminates above insulation

4.4.2(g2) Unless replacing an existing vent, do not install eave and soffit vents above an operable window when prohibited by local jurisdiction.

4.4.2(h) Turbine vents:

4.4.2(h1) Install turbine between rafters.

4.4.2(h2) The top of turbine must be above the roof apex.

4.4.2(h3) Ensure at least ⅔ of the upper base flange is secured underneath roofing material.

4.4.2(h4) Turbine vents may only be installed:

- As high vents
- On roofs with slopes greater than 2:12

4.4.2(i) Roof jacks, including dormer, eyebrow, mushroom, and hood vents:

4.4.2(i1) Install vents between rafters.

4.4.2(i2) Ensure at least ⅔ of the upper base flange is secured underneath roofing material.

4.4.2(i3) Roof jacks should not be installed

- On roofs with a slope of less than 2:12.
- As low vents when installation of eave or soffit vents is feasible.

4.4.2(j) Vent blocking shall be installed per Section 37 Attic and Ceiling Insulation.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 This measure does not apply to mobile homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation is not allowed when only an individual unit will be served.

6.1.2 Installation requirements for multi-family buildings are the same as those for conventional homes.

6.1.2(a) DOE: Attic ventilation will only be installed in conjunction with attic/ceiling insulation. This measure may be installed when the installation of insulation (including venting installation costs) is justified by energy audit for a whole-building project. See Appendix D Energy Audit/Priority List Protocol.

6.1.2(b) LIHEAP: Attic ventilation may be installed in conjunction with attic/ceiling insulation, or as a stand-alone measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is only installed in conjunction with attic insulation, where required by the local jurisdiction. Costs must be included in the cost of the attic insulation for the Priority List path or when calculating the savings-to-investment ratio (SIR) in the Audit path. See Appendix D Energy Audit/Priority List Protocol.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP except as specified below.

TABLE 40-23: DOE INSTALLATION REQUIREMENTS

#	Component	Specification	SF	MH	MF
4.0188.2e	All Ventilation	All attic ventilation sources with holes greater than 1/4" will have corrosion-resistant wire mesh screens installed with openings of 1/16" to 1/4". Existing vents that are not screened will be covered with corrosion-resistant wire mesh with openings of 1/16" to 1/4".	X	X	X
4.0188.2f	Soffit Venting	If soffit venting is installed, mechanically fasten baffles (i.e., soffit chutes) in each truss bay that terminate at least 6" above final insulation level and provide a minimum of 1" clearance between insulation and roof deck material	X	X	X

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Ensure that all new venting was properly installed.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.2.2 Measure-specific verbal and written instructions include:

8.2.2(a) When turbine vents are installed, advise the client to leave them uncovered even during cold weather.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life (EUL)

9.1.1 LIHEAP: 20 years

9.1.2 DOE: Included in conjunction with Section 37 Attic and Ceiling Insulation EUL

9.2 Vents shall be made of corrosion-resistant material screened with corrosion-resistant mesh with openings of ⅛" (#8 weave mesh)–¼" (#4 weave mesh).

9.3 Powered attic vents are not allowed within the weatherization program.

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

41. Crawlspace Ventilation

Table of Contents

1. **MEASURE OBJECTIVES** **41-1**

2. **INSTALL THIS MEASURE WHEN:** **41-1**
   - 2.1. Repair 41-1
   - 2.2. Install 41-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **41-1**
   - 3.1. Do Not Repair 41-1
   - 3.2. Do Not Install 41-1

4. **INSTALLATION GUIDELINES** **41-1**
   - 4.1. General Requirements 41-1
     - *4.1.6 Vent Composition* *41-2*
     - *4.1.7 Amount of Crawlspace Ventilation* *41-2*
     - *4.1.8 Reduction Factors* *41-3*
   - 4.2. Vent Tables 41-3
     - *4.2.3 Rectangular Vents* *41-3*
   - 4.3. Repair Procedure 41-4
   - 4.4. Installation Procedure 41-4
     - *4.4.1 Order of Installation* *41-4*
     - *4.4.2 Crawlspace Vent Placement* *41-4*

5. **MOBILE HOME–SPECIFIC** **41-5**
   - 5.1. Installation Requirements 41-5

6. **MULTI-FAMILY–SPECIFIC** **41-5**
   - 6.1. Installation Requirements 41-5

7. **DOE-SPECIFIC** **41-5**
   - 7.1. Assessment Requirements 41-5
   - 7.2. Installation Requirements 41-5

8. **POST-INSTALLATION GUIDELINES** **41-5**
   - 8.1. Quality Check 41-5
   - 8.2. Client Education 41-5
   - 8.3. Clean-Up and Disposal Requirements 41-6

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9. MATERIAL SPECIFICATIONS 41-6

10. WARRANTY 41-6

Crawlspace Ventilation

1. MEASURE OBJECTIVES

1.1 Installing adequate crawlspace ventilation allows outside air to circulate under the floor, reducing conditions that contribute to moisture build-up, mildew, and rot.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Existing mesh is missing or has tears or gaps

2.2. Install

2.2.1 No crawlspace ventilation exists, or existing ventilation is inadequate or

2.2.2 When replacing smaller weave mesh with larger weave mesh for additional net free ventilation area (NFVA)

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1. Do Not Repair

3.1.1 Repair of mesh would make the NFVA inadequate

3.2. Do Not Install

3.2.1 The existing crawlspace ventilation is adequate and functioning properly

3.2.2 Vent installation would require cutting through a foundation consisting of masonry stem walls

3.2.3 The crawlspace is unsound or unsafe

3.2.4 The exhaust system venting terminates in the crawlspace, unless it can be vented outdoors per Section 1 General Installation Guidelines, Limited Home Repair

3.2.5 The crawlspace is inaccessible, or there is inadequate clearance per Section 1 General Installation Guidelines, Attic and Crawlspace Accessibility

3.2.6 Installation would violate the Appendix E Health and Safety Requirements

3.2.7 The client refuses after measure benefits have been explained by the assessor

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 Crawlspace ventilation may be installed as a stand-alone measure or in conjunction with floor insulation.

4.1.2 Audited Measures

4.1.2(a) When this measure will be installed under the Low Income Home Energy Assistance Program (LIHEAP) and an energy audit is performed, if the measure will be fully leveraged or co-funded, it must comply with Appendix D Energy Audit/Priority List Protocol.

4.1.2(b) When part of a combined work scope (DOE + LIHEAP) and this measure is fully paid for by LIHEAP, LIHEAP-specific assessment and installation policies will apply.

4.1.3 Replacing smaller weave mesh vents with larger weave mesh screen is allowed if additional NFVA is required.

4.1.4 All venting shall be unobstructed.

4.1.5 Knob-and-tube (K&T) wiring: When K&T wiring is present in the crawlspace, follow the requirements in Section 1 General Installation Guidelines, Knob & Tube (K&T) Wiring Guidelines.

4.1.6 Vent Composition

4.1.6(a) Screens must be clean, and vents must be free of insulation and other obstructions.

4.1.6(b) ⅛"–¼" mesh screen is required on new vents.

4.1.7 Amount of Crawlspace Ventilation

4.1.7(a) The required NFVA shall conform with local code.

4.1.7(b) The existing crawlspace NFVA shall be calculated using the NFVA tables, reduction factors, and NFVA calculations for specific vent types in the following sections.

4.1.7(c) Total NFVA of the openings:

4.1.7(c1) 1 sq. ft. of NFVA is required per 150 sq. ft. of under-floor area with cross-ventilation. (Table 41-1)

4.1.7(c2) 1 sq. ft. of NFVA per 1500 sq. ft. of under-floor area with cross-ventilation (Table 41-2) is allowed when:

- Vents are installed within 3' of each corner
- The under-floor ground surface area is covered by a Class I vapor retarder and vent openings provide cross-ventilation

4.1.7(c3) Local code requirements apply if more stringent.

TABLE 41-1: SQ. FT. OF NFVA FOR A 1:150 RATIO

Area Length \ Area Width	10'	12'	14'	16'	18'	20'	22'	24'	26'	28'	30'	32'	34'	36'	38'	40'
10'	0.7	0.8	0.9	1.1	1.2	1.3	1.5	1.6	1.7	1.9	2.0	2.1	2.3	2.4	2.5	2.7
12'	0.8	1.0	1.1	1.3	1.4	1.6	1.8	1.9	2.1	2.2	2.4	2.6	2.7	2.9	3.0	3.2
14'	0.9	1.1	1.3	1.5	1.7	1.9	2.1	2.2	2.4	2.6	2.8	3.0	3.2	3.4	3.5	3.7
16'	1.1	1.3	1.5	1.7	1.9	2.1	2.3	2.6	2.8	3.0	3.2	3.4	3.6	3.8	4.1	4.3
18'	1.2	1.4	1.7	1.9	2.2	2.4	2.6	2.9	3.1	3.4	3.6	3.8	4.1	4.3	4.6	4.8
20'	1.3	1.6	1.9	2.1	2.4	2.7	2.9	3.2	3.5	3.7	4.0	4.3	4.5	4.8	5.1	5.3
22'	1.5	1.8	2.1	2.3	2.6	2.9	3.2	3.5	3.8	4.1	4.4	4.7	5.0	5.3	5.6	5.9
24'	1.6	1.9	2.2	2.6	2.9	3.2	3.5	3.8	4.2	4.5	4.8	5.1	5.4	5.8	6.1	6.4
26'	1.7	2.1	2.4	2.8	3.1	3.5	3.8	4.2	4.5	4.9	5.2	5.5	5.9	6.2	6.6	6.9
28'	1.9	2.2	2.6	3.0	3.4	3.7	4.1	4.5	4.9	5.2	5.6	6.0	6.3	6.7	7.1	7.5
30'	2.0	2.4	2.8	3.2	3.6	4.0	4.4	4.8	5.2	5.6	6.0	6.4	6.8	7.2	7.6	8.0
32'	2.1	2.6	3.0	3.4	3.8	4.3	4.7	5.1	5.5	6.0	6.4	6.8	7.3	7.7	8.1	8.5
34'	2.3	2.7	3.2	3.6	4.1	4.5	5.0	5.4	5.9	6.3	6.8	7.3	7.7	8.2	8.6	9.1
36'	2.4	2.9	3.4	3.8	4.3	4.8	5.3	5.8	6.2	6.7	7.2	7.7	8.2	8.6	9.1	9.6
38'	2.5	3.0	3.5	4.1	4.6	5.1	5.6	6.1	6.6	7.1	7.6	8.1	8.6	9.1	9.6	10.1
40'	2.7	3.2	3.7	4.3	4.8	5.3	5.9	6.4	6.9	7.5	8.0	8.5	9.1	9.6	10.1	10.7

TABLE 41-2: SQ. FT. OF NFVA FOR A 1:1500 RATIO

Area Length	Area Width															
	10'	12'	14'	16'	18'	20'	22'	24'	26'	28'	30'	32'	34'	36'	38'	40'
10'	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.3	0.3
12'	0.1	0.1	0.1	0.1	0.1	0.2	0.2	0.2	0.2	0.2	0.2	0.3	0.3	0.3	0.3	0.3
14'	0.1	0.1	0.1	0.1	0.2	0.2	0.2	0.2	0.2	0.3	0.3	0.3	0.3	0.3	0.4	0.4
16'	0.1	0.1	0.1	0.2	0.2	0.2	0.2	0.3	0.3	0.3	0.3	0.3	0.4	0.4	0.4	0.4
18'	0.1	0.1	0.2	0.2	0.2	0.2	0.3	0.3	0.3	0.3	0.4	0.4	0.4	0.4	0.5	0.5
20'	0.1	0.2	0.2	0.2	0.2	0.3	0.3	0.3	0.3	0.4	0.4	0.4	0.5	0.5	0.5	0.5
22'	0.1	0.2	0.2	0.2	0.3	0.3	0.3	0.4	0.4	0.4	0.4	0.5	0.5	0.5	0.6	0.6
24'	0.2	0.2	0.2	0.3	0.3	0.3	0.4	0.4	0.4	0.4	0.5	0.5	0.5	0.6	0.6	0.6
26'	0.2	0.2	0.2	0.3	0.3	0.3	0.4	0.4	0.5	0.5	0.5	0.6	0.6	0.6	0.7	0.7
28'	0.2	0.2	0.3	0.3	0.3	0.4	0.4	0.4	0.5	0.5	0.6	0.6	0.6	0.7	0.7	0.7
30'	0.2	0.2	0.3	0.3	0.4	0.4	0.4	0.5	0.5	0.6	0.6	0.6	0.7	0.7	0.8	0.8
32'	0.2	0.3	0.3	0.3	0.4	0.4	0.5	0.5	0.6	0.6	0.6	0.7	0.7	0.8	0.8	0.9
34'	0.2	0.3	0.3	0.4	0.4	0.5	0.5	0.5	0.6	0.6	0.7	0.7	0.8	0.8	0.9	0.9
36'	0.2	0.3	0.3	0.4	0.4	0.5	0.5	0.6	0.6	0.7	0.7	0.8	0.8	0.9	0.9	1.0
38'	0.3	0.3	0.4	0.4	0.5	0.5	0.6	0.6	0.7	0.7	0.8	0.8	0.9	0.9	1.0	1.0
40'	0.3	0.3	0.4	0.4	0.5	0.5	0.6	0.6	0.7	0.7	0.8	0.9	0.9	1.0	1.0	1.1

4.1.8 Reduction Factors

4.1.8(a) Example: A vent has ¼" screen (no louvers), with a vent opening (excluding the frame) that is 2½" x 17".

4.1.8(a1) The area of the opening is 2½" x 17" = 42.5 sq. in.

4.1.8(a2) Table 41-3 shows the reduction factor for this a vent with ¼" screen and no louvers is 90%.

4.1.8(a3) 42.5 sq. in. x 0.90 = 38.25 sq. in.

4.1.8(a4) Divide sq. in. by 144 to calculate sq. ft.: 38.25/144 = 0.27 sq. ft. of NFVA

TABLE 41-3: SCREEN AND LOUVER NFVA REDUCTION FACTORS

¼" Screen, No Louvers	⅛" Screen, No Louvers	1/16" Screen, No Louvers	Metal Louvers with or without ¼" or ⅛" Screen	Wood Louvers with or without ¼" or ⅛" Screen
0.90 (90%)	0.75 (75%)	0.50 (50%)	0.75 (75%)	0.25 (25%)

4.2. Vent Tables

4.2.1 The tables on the following pages Table 41-4 and Table 41-5 can be used to determine the NFVA provided by crawlspace venting. The NFVA shown includes the reduction factor and is given in sq. ft.

4.2.2 When vent measurements are between the sizes listed, calculate manually.

4.2.3 Rectangular Vents

4.2.3(a) (Table 41-4 and Table 41-5)

TABLE 41-4: SQ. FT. OF NFVA FOR RECTANGULAR VENTS—¼"-INCH MESH SCREEN, NO LOUVERS (REDUCTION FACTOR = 0.90)

		Length								
		10"	12"	13"	14"	14.5"	16"	18"	21"	22.5"
Height	3"	0.19	0.23	0.24	0.26	0.27	0.30	0.34	0.39	0.42
	3.5"	0.22	0.26	0.28	0.31	0.32	0.35	0.39	0.46	0.49
	4"	0.25	0.30	0.33	0.35	0.36	0.40	0.45	0.53	0.56
	4.5"	0.28	0.34	0.37	0.39	0.41	0.45	0.51	0.59	0.63
	5"	0.31	0.38	0.41	0.44	0.45	0.50	0.56	0.66	0.70
	5.5"	0.34	0.41	0.45	0.48	0.50	0.55	0.62	0.72	0.77

TABLE 41-5: SQ. FT. OF NFVA FOR RECTANGULAR VENTS—⅛" SCREEN, NO LOUVERS (REDUCTION FACTOR = 0.75)

		Length								
		10"	12"	13"	14"	14.5"	16"	18"	21"	22.5"
Height	3"	0.16	0.19	0.20	0.22	0.23	0.25	0.28	0.33	0.35
	3.5"	0.18	0.22	0.24	0.26	0.26	0.29	0.33	0.38	0.41
	4"	0.21	0.25	0.27	0.29	0.30	0.33	0.38	0.44	0.47
	4.5"	0.23	0.28	0.30	0.33	0.34	0.38	0.42	0.49	0.53
	5"	0.26	0.31	0.34	0.36	0.38	0.42	0.47	0.55	0.59
	5.5"	0.29	0.34	0.37	0.40	0.42	0.46	0.52	0.60	0.64

4.3. Repair Procedure

4.3.1 Clean or replace the existing screen if the opening is clogged.

4.3.2 Install a replacement screen with ⅛"–¼" mesh when:

4.3.2(a) The existing screen has tears or gaps or

4.3.2(b) The screen is missing

4.4. Installation Procedure

4.4.1 Order of Installation

4.4.1(a) All exhaust systems that terminate in the crawlspace must be vented outdoors before crawlspace ventilation or insulation is installed.

4.4.1(b) Plumbing leaks shall be repaired before crawlspace upgrade in accordance with the International Residential Code (IRC) and Section 1 General Installation Guidelines, Limited Home Repair

4.4.1(c) When floor insulation will be installed, crawlspace ventilation must be installed before floor insulation.

4.4.2 Crawlspace Vent Placement

4.4.2(a) The required NFVA shall be approximately evenly distributed along the lengths of opposite sides, starting within 3' of each corner, when possible (Fig. 41-1).

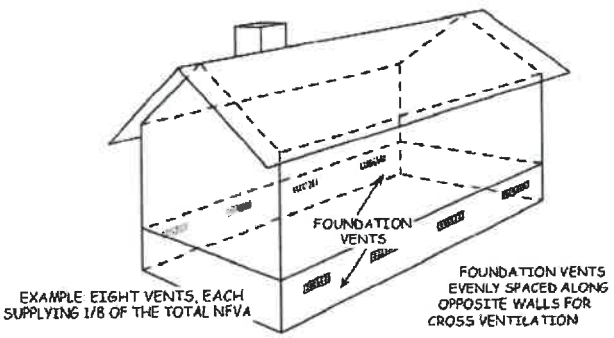

FIG. 41-1: CRAWLSPACE VENT PLACEMENT

4.4.2(b) Vent openings shall provide cross-ventilation for each separate space.

4.4.2(c) Foundation vents shall not be obstructed by insulation.

4.4.2(c1) If new insulation is installed:

- 12" minimum clearance is required without blocking.
- 3" minimum clearance is required when blocking is made of minimum 0.007" sheet metal.

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes except as specified below.

5.1.2 Vent openings in the skirting shall provide 1½ sq. ft. of venting for each 25' of mobile home length.

5.1.3 Installed vents shall be:

5.1.3(a) Provided on at least two opposite sides and

5.1.3(b) Located as close to all corners as practical

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation is not allowed when only an individual unit will be served.

6.1.2 Installation requirements for multi-family buildings are the same as those for conventional homes.

6.1.2(a) DOE: Crawlspace ventilation will only be installed in conjunction with floor insulation. This measure may be installed when the installation of insulation (including venting installation costs) is justified by energy audit for a whole-building project. See Appendix D Energy Audit/Priority List Protocol.

6.1.2(b) LIHEAP: Crawlspace ventilation may be installed in conjunction with floor insulation, or as a stand-alone measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is only installed in conjunction with floor insulation, where required by the local jurisdiction. Costs must be included in the cost of the floor insulation for the Priority List path or when calculating the savings-to-investment ratio (SIR) in the Audit path. See Appendix D Energy Audit/Priority List Protocol.

7.2. Installation Requirements

7.2.1 Installation requirements for DOE are the same as those for LIHEAP.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 A check shall be made that all new venting was properly installed.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life (EUL)

9.1.1 LIHEAP: 20 years

9.1.2 DOE: Included in conjunction with Section 39 Floor Insulation EUL

9.2 Vents shall be made of corrosion-resistant material screened with corrosion-resistant mesh with openings of ⅛" (#8 weave mesh)–¼" (#4 weave mesh).

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

42. Dishwashers

Table of Contents

1. **MEASURE OBJECTIVES** **42-1**

2. **INSTALL THIS MEASURE WHEN:** **42-1**
   - 2.1. Repair 42-1
   - 2.2. Install 42-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **42-1**

4. **INSTALLATION GUIDELINES** **42-1**
   - 4.1. General Requirements 42-1
   - 4.2. Installation Procedure 42-2
     - *4.2.1 Installation Location* *42-2*
     - *4.2.2 Leveling* *42-2*
     - *4.2.3 Attachment and Securing* *42-2*
     - *4.2.4 Water Supply* *42-2*
     - *4.2.5 Drain System* *42-2*
     - *4.2.6 Electrical Requirements* *42-2*

5. **MOBILE HOME–SPECIFIC** **42-3**
   - 5.1. Installation Requirements 42-3

6. **MULTI-FAMILY–SPECIFIC** **42-3**
   - 6.1. Installation Requirements 42-3

7. **DOE-SPECIFIC** **42-3**
   - 7.1. Assessment Requirements 42-3

8. **POST-INSTALLATION GUIDELINES** **42-3**
   - 8.1. Quality Check 42-3
   - 8.2. Client Education 42-3
   - 8.3. Clean-Up and Disposal Requirements 42-3

9. **MATERIAL SPECIFICATIONS** **42-3**

10. **WARRANTY** **42-4**

Dishwashers

1. MEASURE OBJECTIVES

1.1 Replacement of a standard dishwasher with an ENERGY STAR®-certified unit to reduce energy and water consumption.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure

2.2. Install

2.2.1 The existing dishwasher is not ENERGY STAR®-certified, or

2.2.2 A dishwasher is not present but the infrastructure is intact (e.g., water hook-up, drain, electrical receptacle) are present and an approved CSD waiver is obtained, or

2.2.3 One or more of the following operational issues are present in the existing dishwasher:

2.2.3(a) The appliance is inoperable or does not operate as intended (does not wash or drain): or

2.2.3(b) Has defects that compromise efficiency (such as a leak or failing motor); or

2.2.3(c) Has a Health and Safety condition that will be resolved by installing a new dishwasher (such as an electrical hazard).

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 No appropriate location is available for one or more of the following reasons:

3.1.1 Inadequate access to remove the existing unit and install a new unit.

3.1.2 The flooring is structurally inadequate to properly support the weight of the unit.

3.1.3 Clearance requirements cannot be met, including clearance for proper door swing.

3.1.4 The dishwasher cannot be installed in a level, plumb, and stable condition.

3.2 The electrical outlet used by the existing dishwasher is not properly installed (e.g., it is hazardous, is not grounded, or has reversed polarity) and cannot be repaired.

3.3 A suitable drain system is not available to accept the discharge of the dishwasher on its largest load setting.

3.4 A suitable water supply is not available.

3.5 Installation would violate the Appendix E Health and Safety Requirements.

3.6 The client refuses after measure benefits have been explained by the assessor.

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 When required by the local jurisdiction, a building permit to replace the existing dishwasher shall be obtained and finalized.

4.1.2 Sizing Limitations

4.1.2(a) Sizing limitations for replacement dishwashers shall be in accordance with the size and capacity of the existing unit.

4.2. Installation Procedure

4.2.1 Installation Location

4.2.1(a) The installation location shall provide the dishwasher manufacturer's minimum specified clearances on all sides.

4.2.1(b) Ample room to fully open the dishwasher door without being obstructed by surrounding cabinets or appliances shall be available.

4.2.1(c) Dishwashers located next to walls or in corner locations shall allow for a minimum of 2" clearance between the side of the dishwasher door and the wall or cabinet (Fig. 42-1).

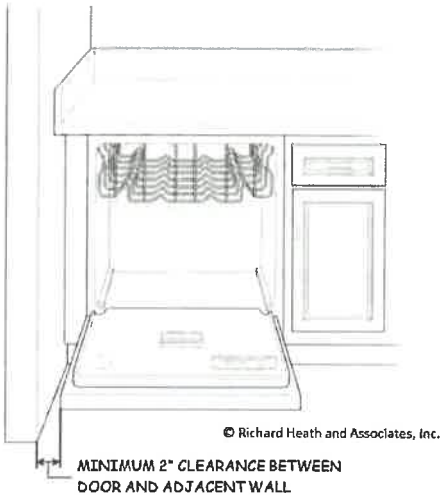

FIG. 42-1: DISHWASHER IN CORNER LOCATION

4.2.2 Leveling

4.2.2(a) Individual feet shall be adjusted to properly level the dishwasher with all four feet resting on the floor.

4.2.2(b) After leveling, the locking nuts shall be tightened to hold the feet in place.

4.2.3 Attachment and Securing

4.2.3(b1) Manufacturer provided mounting brackets shall be installed to secure the dishwasher to the countertop or surrounding cabinets.

4.2.3(b2) The dishwasher shall not be secured to countertops that are granite, marble, stone, or any other material that can be damaged by being drilled.

4.2.4 Water Supply

4.2.4(a) Water supply to the dishwasher shall have a manual shutoff valve, located under the sink and within 6' of the dishwasher, unless otherwise specified by the dishwasher manufacturer.

4.2.4(b) Water pressure at the hot water shutoff valve shall be within manufacturer's specified minimums.

4.2.4(c) Water temperature at the shutoff valve shall be a minimum of 120°F and no more than 150°F unless otherwise specified by the dishwasher manufacturer.

4.2.4(d) All water connections shall be tight and sealed with non-toxic pipe joint compound.

4.2.4(e) All hoses shall be new. Existing hoses shall not be re-used.

4.2.5 Drain System

4.2.5(a) Drain must be functional and have adequate capacity to accept the water discharge of the dishwasher on the largest load setting.

4.2.5(b) An approved air gap fitting shall be installed on the discharge side of the dishwasher with the flood-level marking at or above the flood level of the sink or drainboard, whichever is higher.

4.2.5(c) Manufacturer supplied drain hose shall be installed. When the supplied drain hose is not long enough, a new drain hose of shortest possible length may be installed.

4.2.6 Electrical Requirements

4.2.6(a) Overcurrent protection and conductor size must be adequate.

4.2.6(b) Electrical supply shall be 120-volt, minimum 15-amp, and shall meet manufacturer's specifications.

4.2.6(c) The dishwasher must be hardwired or plugged directly into a receptacle that is properly grounded and the receptacle:

4.2.6(c1) Shall be within 6' of the installation location, or as specified by the manufacturer.

4.2.6(c2) A GFCI-protected circuit or outlet, or a switched outlet, shall be used unless required by manufacturer's instructions or local code.

4.2.6(c3) Shall not be shared with another appliance when required by manufacturer's instructions or local code.

4.2.6(d) If the receptacle cover plate is cracked, damaged, or missing, a new one shall be installed.

4.2.6(e) Permanent three-prong adapters and/or extensions cords are not allowed (Fig. 42-2).

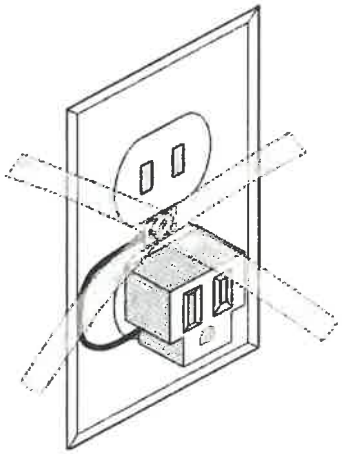

FIG. 42-2: USE OF ADAPTER IS NOT ALLOWED

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., in a kitchen, utility room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Manufacturer's start-up/test procedures shall be followed to ensure proper operation of the dishwasher.

8.1.2 Perform troubleshooting per the manufacturer's instructions as needed to correct problems.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 11 years

9.1.2 DOE: Not applicable to this measure.

9.2 Replacement Dishwasher

9.2.1 The replacement appliance shall:

9.2.1(a) Be ENERGY STAR®-certified

9.2.1(b) Bear a yellow Energy Guide label

9.2.1(c) Feature an auto-sensing cycle or multiple cycle options, such as:

9.2.1(c1) Energy-saving wash

9.2.1(c2) Light duty

9.2.1(c3) Heated dry OFF

9.2.1(d) Be sized to match the size and capacity of the existing unit.

9.3 Drain Hose and Fittings

9.3.1 AHAM/IAPMO tested

9.3.2 Heat and detergent resistant

9.4 Hot Water Supply Line

9.4.1 NSF/ANSI 61 certified

9.4.2 Copper tubing or flexible braided stainless steel

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

43. High-Efficiency Clothes Washers

Table of Contents

1. **MEASURE OBJECTIVES** **43-1**

2. **INSTALL THIS MEASURE WHEN:** **43-1**
   - 2.1. Repair 43-1
   - 2.2. Install 43-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** **43-1**

4. **INSTALLATION GUIDELINES** **43-1**
   - 4.1. General Requirements 43-1
     - *4.1.3 Accessibility* *43-2*
     - *4.1.4 Stackable Units and Stacked Laundry Centers* *43-2*
   - 4.2. Installation Procedure 43-2
     - *4.2.1 Installation Location* *43-2*
     - *4.2.2 Leveling* *43-2*
     - *4.2.3 Pedestal* *43-2*
     - *4.2.4 Water Supply* *43-2*
     - *4.2.5 Drain Hose* *43-2*
     - *4.2.6 Drain System* *43-3*
     - *4.2.7 Electrical Requirements* *43-3*

5. **MOBILE HOME–SPECIFIC** **43-3**
   - 5.1. Installation Requirements 43-3

6. **MULTI-FAMILY–SPECIFIC** **43-3**
   - 6.1. Installation Requirements 43-3

7. **DOE-SPECIFIC** **43-3**
   - 7.1. Assessment Requirements 43-3

8. **POST-INSTALLATION GUIDELINES** **43-3**
   - 8.1. Quality Check 43-3
   - 8.2. Client Education 43-4
   - 8.3. Clean-Up and Disposal Requirements 43-4

9. **MATERIAL SPECIFICATIONS** **43-4**

10. **WARRANTY** **43-4**

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High-Efficiency Clothes Washers

1. MEASURE OBJECTIVES

1.1 Replacement of a standard clothes washer with an ENERGY STAR®-certified unit to reduce energy and water consumption.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure

2.2. Install

2.2.1 The existing clothes washer is not ENERGY STAR®-certified, or

2.2.2 A clothes washer is not present but the infrastructure is intact (e.g., water hook-ups, drain, electrical receptacle) and an approved CSD waiver is obtained, or

2.2.3 One or more of the following operational issues are present in the existing washer:

2.2.3(a) The appliance is inoperable or does not operate as intended (e.g., failure to drain, inoperable control panel, etc.)

2.2.3(b) Has defects that compromise efficiency (such as a leak or failing motor), or

2.2.3(c) Has a Health and Safety condition that will be resolved by installing a new clothes washer (such as an electrical hazard).

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 No appropriate location is available for one or more of the following reasons:

3.1.1 Inadequate access to remove the existing unit and install a new unit.

3.1.2 The flooring is structurally inadequate to properly support the weight of the unit and will not be repaired prior to installation of the unit.

3.1.3 Clearance requirements cannot be met, including clearance for proper door swing.

3.1.4 The clothes washer cannot be installed in a level, plumb, and stable condition.

3.1.5 Installation location is outdoors, unprotected, and exposed to weather.

3.2 The electrical outlet used by the existing clothes washer is not properly installed (e.g., it is hazardous, is not grounded, or has reversed polarity) and cannot be repaired.

3.3 A suitable drain system is not available to accept the discharge of the clothes washer on its largest load setting.

3.4 A suitable water supply is not available.

3.5 Installation would violate the Appendix E Health and Safety Requirements.

3.6 The client refuses after measure benefits have been explained by the assessor.

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 When required by the local jurisdiction, a building permit to replace the existing clothes washer shall be obtained and finalized.

4.1.2 Sizing Limitations

4.1.2(a) Sizing limitations for replacement clothes washers shall be in accordance with the size and capacity of the existing unit.

4.1.3 Accessibility

4.1.3(a) If a clothes washer qualifies for replacement, the client or occupants have physical limitations, and by request of the client only, a front-loading type washer may be installed to improve accessibility.

4.1.3(b) If a pedestal is needed for accessibility for the front-loading washer only, installation of a basic pedestal model will be allowed.

4.1.3(b1) The cost of the installed pedestal shall be billed to LIHEAP Limited Home Repair.

- If a pedestal to improve accessibility also is needed for a clothes dryer that will not be installed, an approved CSD waiver is required.

4.1.4 Stackable Units and Stacked Laundry Centers

4.1.4(a) A stackable clothes washer and dryer, or a stacked laundry center may be installed when both the clothes washer and dryer are being replaced as stand-alone measures and adequate clearances/infrastructure (dryer moisture exhaust, water supply, etc.) are available to allow for installation, and

4.1.4(b) When accepted by the customer after the differences have been explained.

4.2. Installation Procedure

4.2.1 Installation Location

4.2.1(a) The installation location shall provide the clothes washer manufacturer's minimum specified clearances on all sides.

4.2.1(b) Ample room shall be available to fully open the clothes washer door (i.e., minimum 90° door swing) shall be available.

4.2.2 Leveling

4.2.2(a) Individual feet shall be adjusted to properly level the clothes washer with all four feet resting on the floor (Fig. 43-1).

4.2.2(b) After leveling, the locking nuts shall be tightened to hold the feet in place.

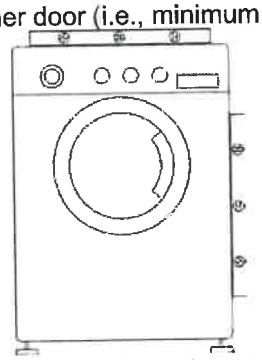


FIG. 43-1: CLOTHES WASHER IN A LEVEL, STABLE POSITION

4.2.3 Pedestal

4.2.3(a) When an optional matching pedestal is utilized, it shall be installed as instructed and leveled as described above.

4.2.4 Water Supply

4.2.4(a) Water pressure at the hot and cold shutoff valve shall be within the clothes washer manufacturer's specifications (not too high or low).

4.2.4(b) Hot and cold shutoff valve must be located within 4' of the clothes washer, or as allowed by the manufacturer.

4.2.4(c) Two fill hoses shall not be coupled together for extra length unless the manufacturer provides coupling parts and instructions.

4.2.4(d) All hoses shall be new. Existing hoses shall not be reused.

4.2.4(e) All hoses shall be properly connected and free of leaks, avoiding over-tightening.

4.2.5 Drain Hose

4.2.5(a) Drain hose shall terminate in a suitable drain (standpipe, laundry sink, or floor drain) with adequate capacity to accept water discharge on the largest load setting.

4.2.5(b) When installed in a standpipe,

4.2.5(b1) A U-shape bend must be present in the drain hose at the top of the standpipe, and

4.2.5(b2) An adequate gap for air between the hose and pipe shall be present.

4.2.5(c) Drain hose shall be properly secured (e.g., with cable tie).

4.2.6 Drain System

4.2.6(a) Must be functional and suitable to accept the maximum water discharge from the clothes washer.

4.2.6(b) If the discharge hose connects to a drainpipe in/near the floor, a siphon break must be installed above the bottom of the washer in accordance with manufacturer's instructions or local code.

4.2.7 Electrical Requirements

4.2.7(a) Overcurrent protection and conductor size must be adequate.

4.2.7(b) Electrical supply shall be 120-volt, minimum 15-amp, and shall meet manufacturer's specifications.

4.2.7(c) The clothes washer must be plugged directly into a receptacle that is:

4.2.7(c1) A properly grounded three-prong receptacle with a functioning equipment grounding conductor (Fig. 43-2)

4.2.7(c2) GFCI-protected (when a grounding conductor is not present and will not be provided) unless otherwise specified by manufacturer's instructions or local code.

4.2.7(d) If the receptacle cover plate is cracked, damaged, or missing, a new one shall be installed.

4.2.7(e) Permanent three-prong adapters and/or extensions cords are not allowed.

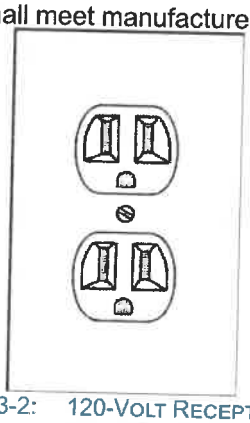


FIG. 43-2: 120-VOLT RECEPTACLE WITH INTACT COVER PLATE

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family homes (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., shared laundry facility, utility room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Manufacturer's start-up/test procedures shall be followed to ensure proper operation of the clothes washer.

8.1.2 The test cycle shall determine if:

8.1.2(a) The washer fills and drains properly

8.1.2(b) The drain system has adequate capacity and functions properly

8.1.2(c) The washer is stable during the spin cycle

8.1.2(d) There are no water leaks

8.1.3 Perform troubleshooting per the manufacturer's instructions as needed to correct problems.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 11 years

9.1.2 DOE: Not applicable to this measure

9.2 Replacement Clothes Washer

9.2.1 The replacement appliance shall:

9.2.1(a) Be ENERGY STAR®-certified

9.2.1(b) Bear a yellow Energy Guide label

9.2.1(c) Have the following features:

9.2.1(c1) High-speed spin cycle

9.2.1(c2) Several options for water level and temperature settings, including a cold-water setting

9.2.1(d) Be sized to match the size and capacity of the existing unit.

9.2.2 When allowed to be installed, a Clothes Washer Pedestal shall:

9.2.2(a) Meet manufacturer specifications

9.2.2(b) Be a basic model, without additional special features.

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

44. Clothes Dryers

Table of Contents

1. **MEASURE OBJECTIVES** 44-1

2. **INSTALL THIS MEASURE WHEN:** 44-1
   - 2.1. Repair 44-1
   - 2.2. Install 44-1

3. **DO NOT INSTALL THIS MEASURE WHEN:** 44-1

4. **INSTALLATION GUIDELINES** 44-1
   - 4.1. General Requirements 44-1
     - *4.1.4 Accessibility* 44-2
     - *4.1.5 Stackable Units and Stacked Laundry Centers* 44-2
   - 4.2. Installation Procedure 44-2
     - *4.2.1 Installation Location* 44-2
     - *4.2.2 Leveling* 44-2
     - *4.2.3 Pedestal* 44-2
     - *4.2.4 Electrical Requirements* 44-2
     - *4.2.5 Extension Cords and Adapters* 44-3
     - *4.2.6 Gas Requirements (Gas Dryers Only)* 44-3
     - *4.2.7 Domestic Clothes Dryer Moisture Exhaust* 44-3
     - *4.2.8 Moisture Exhaust Termination* 44-3

5. **MOBILE HOME–SPECIFIC** 44-4
   - 5.1. Installation Requirements 44-4

6. **MULTI-FAMILY–SPECIFIC** 44-4
   - 6.1. Installation Requirements 44-4

7. **DOE-SPECIFIC** 44-4
   - 7.1. Assessment Requirements 44-4

8. **POST-INSTALLATION GUIDELINES** 44-4
   - 8.1. Quality Check 44-4
     - *8.1.4 Gas Clothes Dryers* 44-4
   - 8.2. Client Education 44-4
   - 8.3. Clean-Up and Disposal Requirements 44-4

9. MATERIAL SPECIFICATIONS 44-4

10. WARRANTY 44-5

Clothes Dryers

1. MEASURE OBJECTIVES

1.1 Replacement of a standard clothes dryer with an ENERGY STAR®-certified unit to reduce energy consumption.

2. INSTALL THIS MEASURE WHEN:

2.1. Repair

2.1.1 Not applicable to this measure

2.2. Install

2.2.1 The existing clothes dryer is not ENERGY STAR®-certified, or

2.2.2 A clothes dryer is not present but the infrastructure is intact (e.g., moisture exhaust, electrical receptacle, gas line [for gas dryers]), and an approved CSD waiver is obtained, or

2.2.3 One or more of the following operational issues are present in the existing dryer:

2.2.3(a) The appliance is inoperable or does not operate as intended (e.g., inoperable control panel, broken heating element, etc.)

2.2.3(b) Has defects that compromise efficiency (such as a failing motor)

2.2.3(c) Has a Health and Safety condition that will be resolved by installing a new clothes dryer (such as an electrical or CAS hazard).

3. DO NOT INSTALL THIS MEASURE WHEN:

3.1 No appropriate location is available for one or more of the following reasons:

3.1.1 Inadequate access to remove the existing unit and install a new unit.

3.1.2 The flooring is structurally inadequate to properly support the weight of the unit and will not be repaired prior to installation of the unit.

3.1.3 Clearance requirements cannot be met, including clearance for proper door swing.

3.1.4 The clothes dryer cannot be installed in a level, plumb, and stable condition.

3.1.5 Installation location is outdoors, unprotected, and exposed to weather.

3.1.6 Gas clothes dryers: Installation location does not provide adequate makeup air and correction is not feasible.

3.2 The electrical outlet used by the existing clothes dryer is not properly installed (e.g., it is hazardous, is not grounded, or has reversed polarity) and cannot be repaired.

3.3 A suitable clothes dryer moisture exhaust is not available.

3.4 Installation would violate the Appendix E Health and Safety Requirements.

3.5 The client refuses after measure benefits have been explained by the assessor.

4. INSTALLATION GUIDELINES

4.1. General Requirements

4.1.1 When required by the local jurisdiction, a building permit to replace the existing clothes dryer shall be obtained and finalized.

4.1.2 Sizing Limitations

4.1.2(a) Sizing limitations for replacement clothes dryers shall be in accordance with the size and capacity of the existing unit.

4.1.3 Lack of a clothes washer shall not affect the feasibility of the clothes dryer measure.

4.1.4 Accessibility

4.1.4(a) If a clothes dryer qualifies for installation, and a pedestal is needed to improve accessibility for a client or occupants with physical limitations, installation of a basic pedestal will be permitted.

4.1.4(a1) The cost of the installed pedestal shall be billed to LIHEAP Limited Home Repair.

4.1.5 Stackable Units and Stacked Laundry Centers

4.1.5(a) A stackable clothes washer and dryer, or a stacked laundry center may be installed when both the clothes washer and dryer are being replaced as standalone measures and adequate clearances/infrastructure (dryer moisture exhaust, water supply, etc.) are available to allow for installation, and

4.1.5(b) When accepted by the customer after the differences have been explained.

4.2. Installation Procedure

4.2.1 Installation Location

4.2.1(a) Installation location shall provide the clothes dryer manufacturer's minimum specified clearances on all sides.

4.2.1(b) Ample room shall be available to fully open the clothes dryer door (i.e., minimum 90° door swing) shall be available.

4.2.1(c) Gas clothes dryers – makeup air:

4.2.1(c1) Installation location shall provide the clothes dryer manufacturer's minimum specified makeup air.

4.2.1(c2) When installed in a closet, the closet shall have a minimum opening of 100 sq. in. for makeup air or as specified by the manufacturer.

4.2.2 Leveling

4.2.2(a) Individual feet shall be adjusted to properly level the clothes washer with all four feet resting on the floor (Fig. 44-1).

4.2.2(b) After leveling, the locking nuts shall be tightened to hold the feet in place.

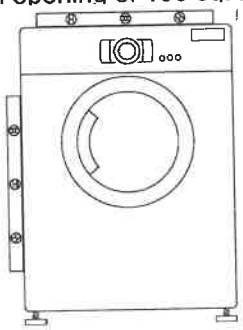


FIG. 44-1: CLOTHES DRYER IN LEVEL, STABLE POSITION

4.2.3 Pedestal

4.2.3(a) When an optional matching pedestal is utilized, it shall be installed as instructed and leveled as described above.

4.2.4 Electrical Requirements

4.2.4(a) Overcurrent protection and conductor size must be adequate.

4.2.4(b) Electrical supply shall be 220-volt (or 120-volt if appropriate for the dryer being installed) and shall meet manufacturer's specifications.

4.2.4(c) The clothes dryer must be plugged directly into a receptacle that is:

4.2.4(c1) A properly grounded three-prong receptacle with a functioning equipment grounding conductor (Fig. 44-2)

4.2.4(c2) GFCI-protected (when a grounding conductor is not present and will not be provided) unless otherwise specified by manufacturer's instructions or local code.

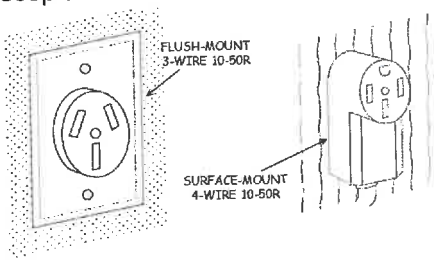


FIG. 44-2: 220-VOLT RECEPTACLE

4.2.4(d) If the receptacle cover plate is cracked, damaged, or missing, a new one shall be installed.

4.2.5 Extension Cords and Adapters

4.2.5(a) Gas dryers

4.2.5(a1) The grounding prong shall not be removed from the power cord

4.2.5(a2) An ungrounded three-prong adapter shall not be used

4.2.5(a3) An extension cord shall not be used

4.2.5(b) Electric dryers

4.2.5(b1) Permanent three-prong adapters and/or extensions cords are not allowed.

4.2.6 Gas Requirements (Gas Dryers Only)

4.2.6(a) Fuel gas supply line shall be no more than 6-feet from the dryer to the appliance valve.

4.2.6(b) New flexible connector with stainless-steel fitting and appliance valve shall be installed.

4.2.6(c) Threaded fittings shall be sealed with pipe thread compound or tape designed for use with gas lines.

4.2.6(d) All gas connections shall be tested for gas leaks in accordance with the Appendix A Combustion Appliance Safety Protocol.

4.2.7 Domestic Clothes Dryer Moisture Exhaust

4.2.7(a) Intake and exhaust air volume shall be compliant with the manufacturer's specifications.

4.2.7(b) Exhaust duct shall be a minimum of 4" in diameter.

4.2.7(c) Clothes dryer moisture exhaust shall not exceed 14' in total length unless otherwise specified by the clothes dryer manufacturer and local code.

4.2.7(c1) Subtract 2' from the total length (14' maximum) for each elbow, in excess of 2 elbows.

4.2.7(c2) The first 6' of pipe may be flexible duct to aid in alignment.

4.2.7(d) Moisture exhaust connections shall be secured with dryer hose clamps or aluminum tape.

4.2.7(d1) In addition to mechanical connectors, duct connections will be sealed with UL 181B or 181B-M material

4.2.7(d2) If a new dryer moisture exhaust will not be installed, the existing dryer moisture exhaust must meet the requirements above and be cleared of lint and other obstructions prior to the installation of the new clothes dryer.

4.2.8 Moisture Exhaust Termination

4.2.8(a) Moisture exhaust shall terminate on the exterior of the home and, unless otherwise specified by the manufacturer or local code, shall terminate in compliance with the following minimum clearances:

4.2.8(a1) 3' from an openable door or window

4.2.8(a2) 3' from the property line

4.2.8(a3) 10' from a window-mounted evaporative cooler or air conditioner (Fig. 44-3)

4.2.8(a4) 5' from a central air conditioner or heat pump condensing unit

4.2.8(b) Termination shall be equipped with a backdraft damper. Screens/mesh shall not be installed on the termination

4.2.8(c) Clothes dryer moisture exhaust duct shall not pass through an FAU plenum

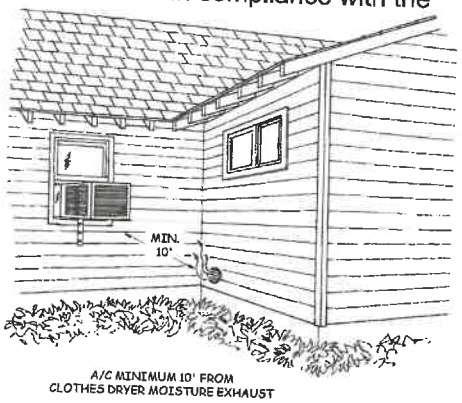


FIG. 44-3: MINIMUM CLEARANCE BETWEEN WINDOW AC AND TERMINATION

5. MOBILE HOME–SPECIFIC

5.1. Installation Requirements

5.1.1 Installation requirements for mobile homes are the same as those for conventional homes.

6. MULTI-FAMILY–SPECIFIC

6.1. Installation Requirements

6.1.1 Installation requirements for multi-family (individual unit and whole-building) are the same as those for conventional homes.

6.1.2 When the measure will be included in a multi-family whole-building project, the installation will apply only within the dwelling units.

6.1.2(a) Common area installation (e.g., shared laundry facility, utility room, etc.) is not allowed for this measure.

7. DOE-SPECIFIC

7.1. Assessment Requirements

7.1.1 This measure is not a DOE measure.

8. POST-INSTALLATION GUIDELINES

8.1. Quality Check

8.1.1 Manufacturer's start-up/test procedures shall be followed to ensure proper operation of the clothes dryer.

8.1.2 The test cycle shall determine if:

8.1.2(a) The dryer is stable

8.1.2(b) The heating element is working

8.1.3 Perform troubleshooting per the manufacturer's instructions as needed to correct problems.

8.1.4 Gas Clothes Dryers

8.1.4(a) Post-CAS appliance repair and replacement testing will be conducted in accordance with Appendix A Combustion Appliance Safety Protocol.

8.2. Client Education

8.2.1 Provide the occupant with both verbal and written instructions for: the operation manual(s), proper maintenance requirements, safety information, warranty, and agency installer contact information.

8.3. Clean-Up and Disposal Requirements

8.3.1 Replaced parts and materials will be recycled or disposed of in accordance with federal, state, or local regulations and Section 1 Decommissioning.

9. MATERIAL SPECIFICATIONS

9.1 Measure Effective Useful Life

9.1.1 LIHEAP: 11 years

9.1.2 DOE: Not applicable to this measure

9.2 Replacement Clothes Dryer

9.2.1 The replacement appliance shall:

9.2.1(a) Be ENERGY STAR®-certified

9.2.1(b) Have the following features:

9.2.1(b1) Moisture sensor

9.2.1(b2) Multiple temperature settings

9.2.1(b3) Maximum test cycle time of 80 minutes

9.2.2 When allowed to be installed, a Clothes Dryer Pedestal shall:

9.2.2(a) Meet manufacturer specifications

9.2.2(b) Be a basic model, without additional special features.

9.3 All Ducts

9.3.1 A gas or electric clothes dryer moisture exhaust shall:

9.3.1(a) Be of rigid metal and have a smooth interior surface

9.3.1(b) Be minimum 4" in diameter

9.3.1(c) Comply with clothes dryer manufacturer's specifications and applicable local codes

9.4 Rigid duct with smooth interior surface

9.4.1 Galvanized steel: Minimum 26 gauge

9.4.2 Aluminum: Minimum 24 gauge

9.4.3 Exception: UL-listed, flexible clothes dryer transition duct not more than 6' in length may be used to connect the dryer to a metal exhaust duct. Plastic venting material will not be used.

9.4.4 Flexible transition duct shall not be concealed within the contruction.

9.5 Moisture exhaust duct terminations

9.5.1 The termination shall be manufacturer for use with dryers and made of UL-listed aluminum, sheet metal, or ultraviolet (UV)-protected plastic with no mesh/screen.

9.6 Duct connections clamps and hangers

9.6.1 Duct connectors shall be listed stainless steel or impact-resistance plastic hose clamp style bands to be installed around a duct exterior

9.6.2 Duct hangers shall be rust- and corrison-resistant

9.7 Gas Piping and Valves

9.7.1 Gas valves

9.7.1(a) UL-listed, and

9.7.1(b) AGA- or CSA-certified

9.7.2 Flexible connectors

9.7.2(a) New, IAPMO-listed, and

9.7.2(b) Stainless steel or plastic- or epoxy-coated brass connectors

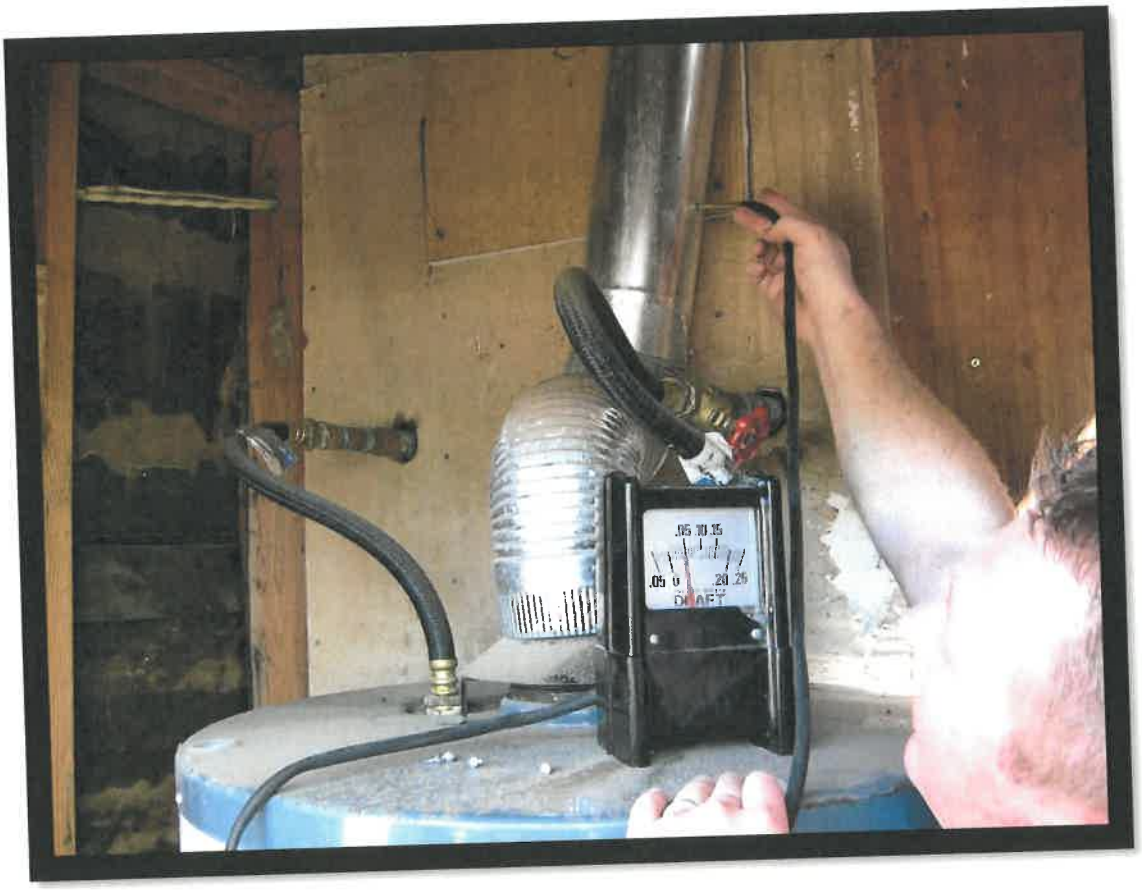
9.7.3 Fuel gas piping: Compliant with CMC, Chapter 13

10. WARRANTY

10.1 Manufacturer—1 year

10.2 Contractor—1 year

Appendix A: Combustion Appliance Safety Protocol



DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT

Effective 1/1/2025

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Table of Contents

1. What Is CAS Testing? 6
1.1 What Does CAS Achieve? 6
1.2 Appliances That Affect the Living Space 6
1.2.1 Appliances that Affect Living Space 6
1.2.2 Appliances Not Affecting the Living Space 6
1.3 CAS Testing Feasibility Criteria 7
1.4 Record-keeping for CAS Testing 8

2. Test Types and What Triggers Them 8
2.1 Pre-CAS Test (performed during Home Assessment) 8
2.2 Interim-CAS Test 9
2.3 Appliance R&R CAS Test 9
2.4 Post-CAS Test 10

3. Qualified Technicians 11

4. Required Test Equipment and Accessories 12
4.1 Probe Extensions 13
4.2 Acceptable Materials, Cutting, and Bending 13
4.3 Extenders for 1/4" OD Probes (e.g., for Monoxors) 13
4.4 Extenders for 5/16" OD Probes (e.g., on Fyrite Pro) 14
4.5 Calibration for CO Test Instruments 14
4.5.1 Calibration Timeline 14
4.5.2 Calibration Limitations 15
4.5.3 Calibration Requirements 15
4.6 NOx Filter and Condensate Trap 15

5. CAS Testing Policies 16
5.1 Required Actions for a CAS Hazard or CAS Fail 16
5.2 Timeline for Correction of CAS Hazards and CAS Fails 16
5.3 Appliance Repair vs. Replacement 17
5.3.1 Repair Exceptions 17
5.4 Resolution of CAS Hazards and Fails 17
5.5 Inaccessible Appliances 18
5.6 Inoperable ("Non-Op") Appliances 18
5.7 Appliance Abandonment 18
5.7.1 Partial Abandonment 19

6. Descriptions of Abnormal Findings (Fails) 20
6.1 CAS Conditions and Responses 20
6.2 Advisory Conditions 20
6.3 CAS Hazards 21
6.4 CAS Fails 22
6.4.1 Natural Gas CAS Fail 22
6.4.2 Propane CAS Fail 22

6.4.3 Examples of CAS Fails 23

7. Special CAS Considerations 24
7.1 Propane (LP GAS) Conditions 25
7.2 Kerosene Conditions 26
7.3 Unsafe Gas Connectors 27
7.3.1 Identifying soldered connectors 28
7.4 NOx Furnace Recalls 29

8. Basic CAS Testing Procedure 32
8.1 STEP ONE: Gas Leak Check 32
8.2 STEP TWO: Visual Inspection 32
8.3 STEP THREE: CVA (Combustion Ventilation Air) Evaluation 33
8.4 STEP FOUR: Living Space Ambient CO Reading 33
8.5 STEP FIVE: Appliance Ambient CO Reading 33
8.6 STEP SIX: Flue Gas CO Test 33
8.7 STEP SEVEN: Appliance Draft Test and Spillage Check 33
8.8 STEP EIGHT: Combustion Appliance Zone (CAZ) "Worst Case" Tests 33
8.9 Repeat Steps 2 – 8 34
8.10 CAS Protocol Flow Chart 35

9. Gas Leak Check 39
9.1 Test Methods 39
9.2 Gas Leak Found 39
9.3 Gas Leak Correction 42

10. Visual Inspection 44
10.1 Table: Visual Inspection– All Appliances—ALL Dwellings 45
10.2 Table: Visual Inspection– Fuel Lines 46
10.3 Table: Visual Inspection– Operational Conditions—All Dwellings 47
10.4 Table: Visual Inspection– Return System Analysis 53
10.5 Table: Visual Inspection – Mobile Homes 54
10.6 Table: Visual Inspection - Vent Systems 57
10.6.1 Table: Visual Inspection–Pre-Existing Vent Pipe—Evaluation and Correction Requirements† 64
10.6.2 Table: Visual Inspection–Vent Clearances (New Vents) 67

11. CVA Requirements 69
11.1 What Is the Purpose of CVA? 69
11.2 CVA Client Education 69
11.3 Identify Appliance Type 70
11.4 Sources of Combustion Air 70
11.5 Visual Examination of All Existing CVA Vents 71
11.6 Minimum Indoor CVA 71
11.6.1 How Much CVA Is Required? 71
11.6.2 Calculate Indoor Room Volume 72
11.6.3 Calculate Indoor CVA 73
11.6.4 "Known Air Infiltration Rate" Options for Indoor CVA Volume 74

11.6.5 When Additional Indoor Room Volume Is Needed 76
11.6.6 Mobile Home Indoor Cva Requirements 77
11.7 Minimum Outdoor CVA 77
11.7.1 Visual Examination of Outdoor CVA Vents 77
11.7.2 Table: Policies for Existing CVA Vents to Outdoors 78
11.7.3 How Much Outdoor CVA Is Required? 84
11.7.4 Calculate Existing Outdoor CVA 84
FIGURE 11.7.5 –Applying Reduction Factors 87
Figure 11.7.6 – NFVA for Non-Standard Vents 89
11.7.5 CVA Calculation Quick Reference Table 89
11.8 When Additional Outdoor CVA Is Required 91
11.8.1 Vent Opening Area for New CVA Vents 91
11.8.2 Mesh Requirements for CVA Vents and Ducts 91
11.8.3 Table: Installation Criteria for New CVA Vents 92
11.9 Combination-Indoor & Outdoor CVA 94

12. Living Space Ambient Procedure 96
12.1 CO Analyzer Operation 96
12.2 Test Protocol 96
12.3 Zeroing Outdoors 96
12.4 Testing Procedure 96
12.4.1 FIRST Living Space Ambient CO Measurement 97
12.4.2 SECOND Living Space Ambient CO 98

13. Appliance Ambient CO Procedure 101
13.1 CO Analyzer Operation 101
13.2 Test Protocol For Space Heating Systems 101

14. Flue Gas CO Test Conditions and Procedures 105
14.1 CO Analyzer Operation 105
14.2 Test Locations 105
14.3 Open and Closed Door Tests 106
14.4 Flue Gas CO Tests By Appliance Type 110
14.5 Appliance Ambient Procedure for Water Heaters when flue gas CO Test is not feasible 117
14.5.1 CO Analyzer Operation 117
14.5.2 Test Protocol 117

15. Draft and Spillage Checks 120
15.1 Open and Closed Door Draft Tests 120
15.2 Appliance Set-Up 120
15.3 Instrumented (Measured) Draft Test 121
15.4 Instrumented Draft Test Procedures 122
15.5 Visual Draft Check 127
15.6 Spillage Check 129

16. Summary of CAZ Test Procedures 131
16.1 Overview of Steps You Will Take To Perform the CAZ Procedure 131
16.2 WORKSHEET FOR RECORDING CAZ TESTING DATA 131

16.3 Set up the house for "Baseline" Testing 132
16.4 Measure Baseline Pressure in the CAZ 133
16.5 Summarizing the "Worst Case" procedure 134
16.6 Worst Case Test Condition A – Exhaust Fans Only 134
16.7 Worst Case Test Condition B – Air Handler & Exhaust Fans 135
16.8 Worst Case Test Condition C – Air Handler Only 136
16.9 Evaluate the "Worst Case" Condition 136
16.10 Pressure Balancing Procedure When FAU Is Present 137
16.11 Corrective Action To Reduce Imbalance 137

17. Appliance Default Values 140

18. CO Action Levels 141

19. CAS Tests Required, By Appliance Type 143
19.1 CO Test Locations 145

20. Special Policies for Gas Refrigerators 148
20.1 Visual Inspection 148
20.2 Required Testing Procedures 148

Step Two

VISUAL INSPECTION

REMEMBER: If any **CAS Hazard** or **CAS Fail** condition is identified that cannot be corrected:

- (DOE Program or dwelling leveraged with DOE) The dwelling shall be DEFERRED.
- (LIHEAP) The dwelling shall be NIM (non-infiltration reduction measures) only.

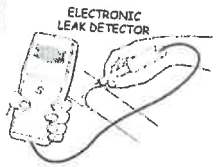
9.3 GAS LEAK CORRECTION

After mitigation of a fuel leak, if repair/replacement is required, it shall be performed in accordance with TRM Appendix E, item 9.4.

If the home is a mobile home, and the appliance is not one that can be repaired or replaced in the CSD WAP (a DOE job), client permission must be obtained to safely remove the malfunctioning appliance. If removal is not allowed by the client, the dwelling must be deferred. Appliance abandonment is not allowed.

Using CSD WAP Health & Safety funds for environmental testing of soil or water is prohibited.

TABLE 9.2: REQUIRED GAS LEAK CHECKS

Test Type	Application	Test Procedures	Precautions
Electronic Leak Detector  	Recommended method (easier for hard-to-reach locations, and doesn't rely on sense of smell). • Requires the technician to move the tester no faster than 1" per second to obtain a proper reading.	This is the best method when: • Appliance is difficult to move and/or may damage the floor, and/or • Flex connector is pre-1973 or older-style with soldered fittings. Check without moving the unit. • Check around fittings on valves, flexible gas connectors, and pipes (including caps on pipes and valves)	• Do <u>not</u> use an Electronic Leak Detector *after* applying a commercial leak detection liquid, because vapors from the liquid may produce a <u>false positive</u> result. • Always use the electronic leak detector <u>first</u>, and then use bubbles to locate any leak detected electronically.
Bubble Test 	Application of the commercial leak detection liquid or spray (or solution made with liquid detergent/soap and water), used to pinpoint the location of a leak found by smell or electronically.	Apply to fittings on valves, flexible gas connectors, and pipes (including caps on pipes and valves)—but <u>avoid</u> spraying into the internal parts of the appliance gas control valve.	Not feasible when: • Valves and fittings cannot be safely accessed, such as when an appliance is built-in. • Moving appliance is difficult and/or may damage the floor. In that case, dab or spray liquid onto any valves/fittings that can be reached without moving the unit.
Olfactory ("Sniff") Test *Graphics Credits: RHA, Inc.*	This is not a standard test; however, technicians may also use their nose to smell for the odor of gas in the following locations: • Within 2 feet <u>above</u> natural gas valves and fittings. • Within 3 inches <u>below</u> propane valves and fittings.	If leak is detected by smell, technician must follow up with a Bubble Test to pinpoint location of the leak.	This method is the least precise and is <u>not</u> feasible when a compromised sense of smell cannot properly detect odorant. Note: Aldehydes have an acrid odor and irritate the nose and throat. Aldehyde odor is a sign of improper burner operation and creation of CO—and a warning to look for other defects and test for high CO.

If the odor of leaking gas is strong inside the house:

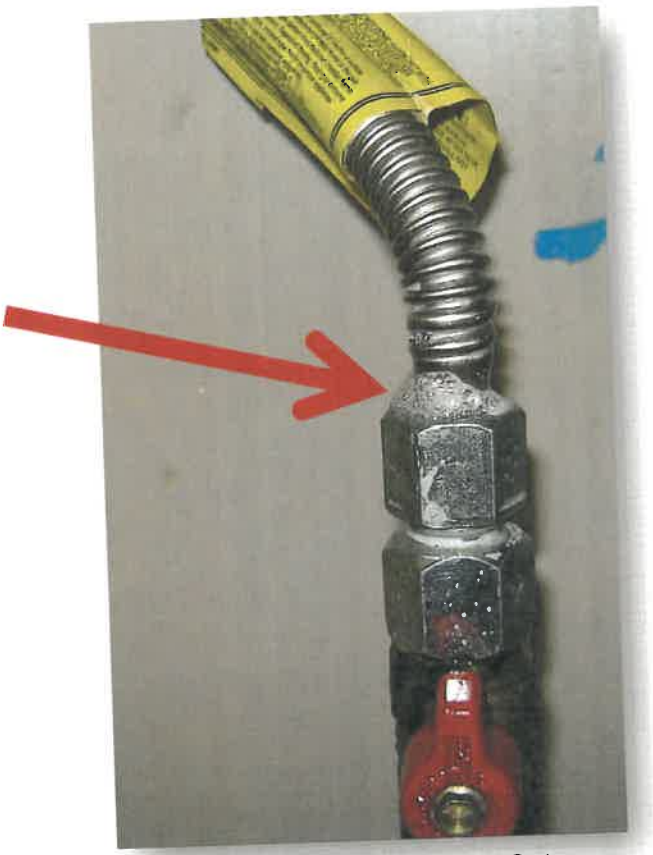
- Avoid using light switches, telephone, or flashlight (3-cell or larger), to prevent electric sparks that might ignite gas fumes.
- Telephone from outside the house (e.g., on a cell phone or a neighbor's phone).
- Wait outside for repair service, and do not turn off the gas at the meter (unless instructed to do so by the utility)—because:
  - Turning off the valve at the gas meter when the concentration is over 10% can allow dilution by air and return the mixture to a more dangerous state.

Gas leaks must be repaired only by qualified technicians (see Section 3).

- A *strong* gas leak shall be fully corrected by a qualified technician before:
  - Appliances are operated for further CAS tests, or
  - Any infiltration-reduction measures are installed.

Record any information about gas leaks and details about their repair in the CSD 700 series forms.

- Note: When there is presence of a "fuzz leak" (identified as a non-existent or faint gas odor detected approximately 1-foot above the location and *very small* bubbles), CAS testing may continue; however, the fuzz leak shall be noted in the CAS Form (CSD 700 Form series), and the appliance shall be checked by a qualified technician before weatherization is complete.



Graphic Credit: PG&E Energy Training Center

9. Gas Leak Check

Graphic Credit: RHA, Inc.

Assessors and crews must perform gas leak checks on ALL natural gas and propane-burning appliances, including gas log lighters, gas logs, and gas fireplaces/inserts.

9.1 TEST METHODS

Check for gas leaks shall be performed:

- Prior to conducting CO and Draft Tests.[2]
- With combustion appliances and exhaust fans/devices turned off.
- For all appliances affecting the living space, and when any part of a combustion appliance (appliance body or vent termination) is:
  - *Less* than 4' below or to the side of, or 1' above, an operable door or window into the living space, or
  - Clearances do not meet manufacturer's specifications, if different.
- Appliances shall be checked for gas leaks at fittings on valves, flexible gas connectors, and pipes (including caps on pipes and valves).
- One or more of the following methods shall be used to detect leaks. Additional detail about these tests is provided in Table 9.2.
  - Method (a): Air sampling with electronic leak detection equipment.
  - Method (b): Bubble Test with application of leak detection liquid.
  - Method (c): Olfactory ("Sniff"). This method is not an accepted "test", but may provide some indication that a leak is present.

9.2 GAS LEAK FOUND

A gas leak (natural gas or propane) is a CAS Hazard that must be corrected immediately upon identification of the hazard. Do not attempt to fix gas leaks, unless trained and specifically instructed by management to do so. Use this tool to remember what to do immediately:

STOP testing immediately. Postpone remaining CAS tests until after the leak is repaired.

TALK to the client. Warn him/her to not use the appliance or all other nearby combustion appliances (cook stove, clothes dryer, etc.) to avoid igniting leaking gas.

ORGANIZE. It may be necessary to help the client to contact the gas utility or propane dealer. If the leak is strong, evacuate the home before contacting the utility.

PHONE your supervisor to report the problem. Confirm with the client that the leak must be repaired immediately—within 18 hours.

[2] Gas control valves can start leaking *after* the burner lights, so an additional leak check should be done then.

Step 1

GAS LEAK CHECK

REMEMBER: If any CAS Hazard or CAS Fail condition is identified that cannot be corrected:

- (DOE Program or dwelling leveraged with DOE) The dwelling shall be DEFERRED.
- (LIHEAP) The dwelling shall be NIM (non-infiltration reduction measures) only.

CAS Test Procedures

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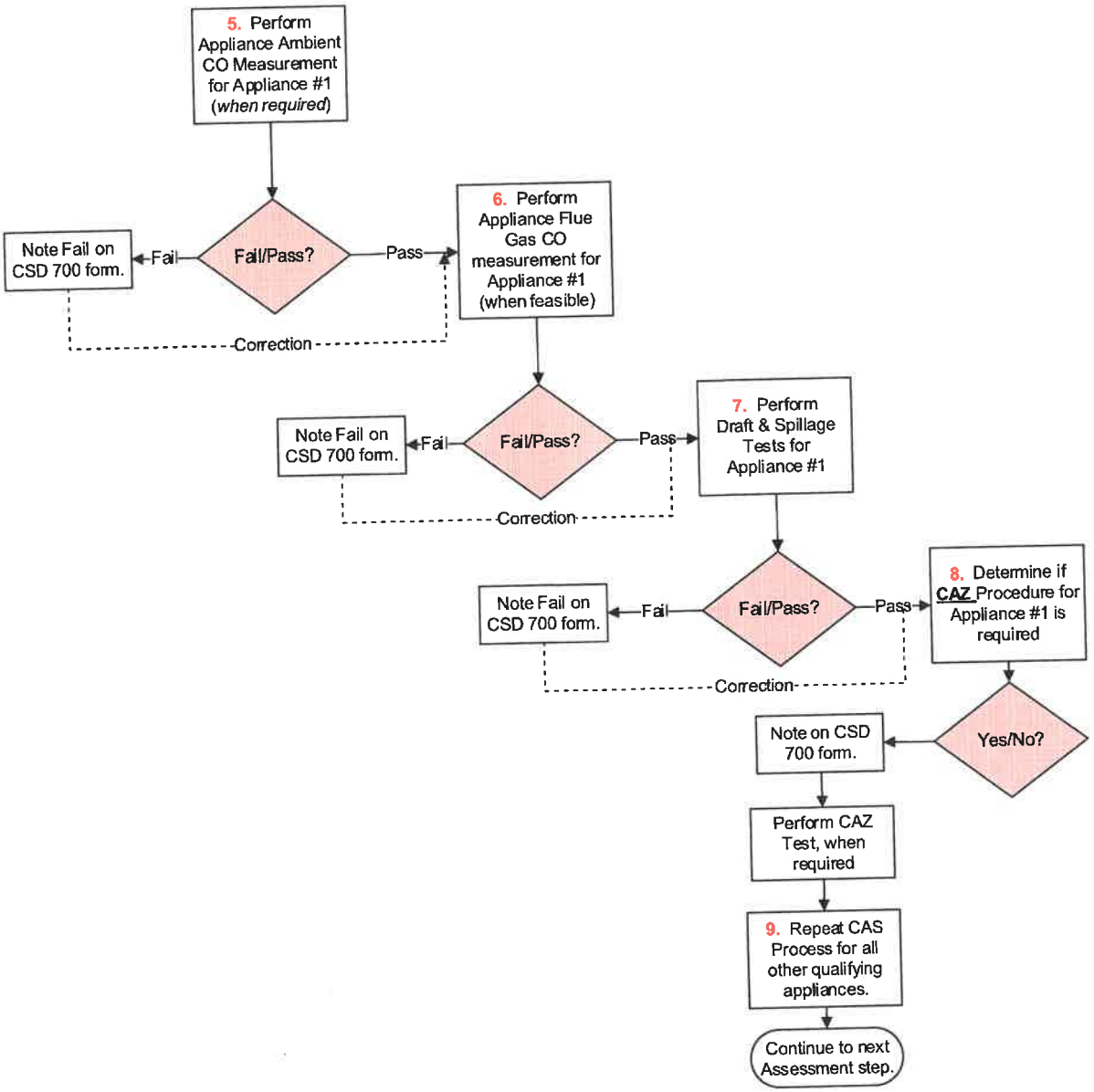
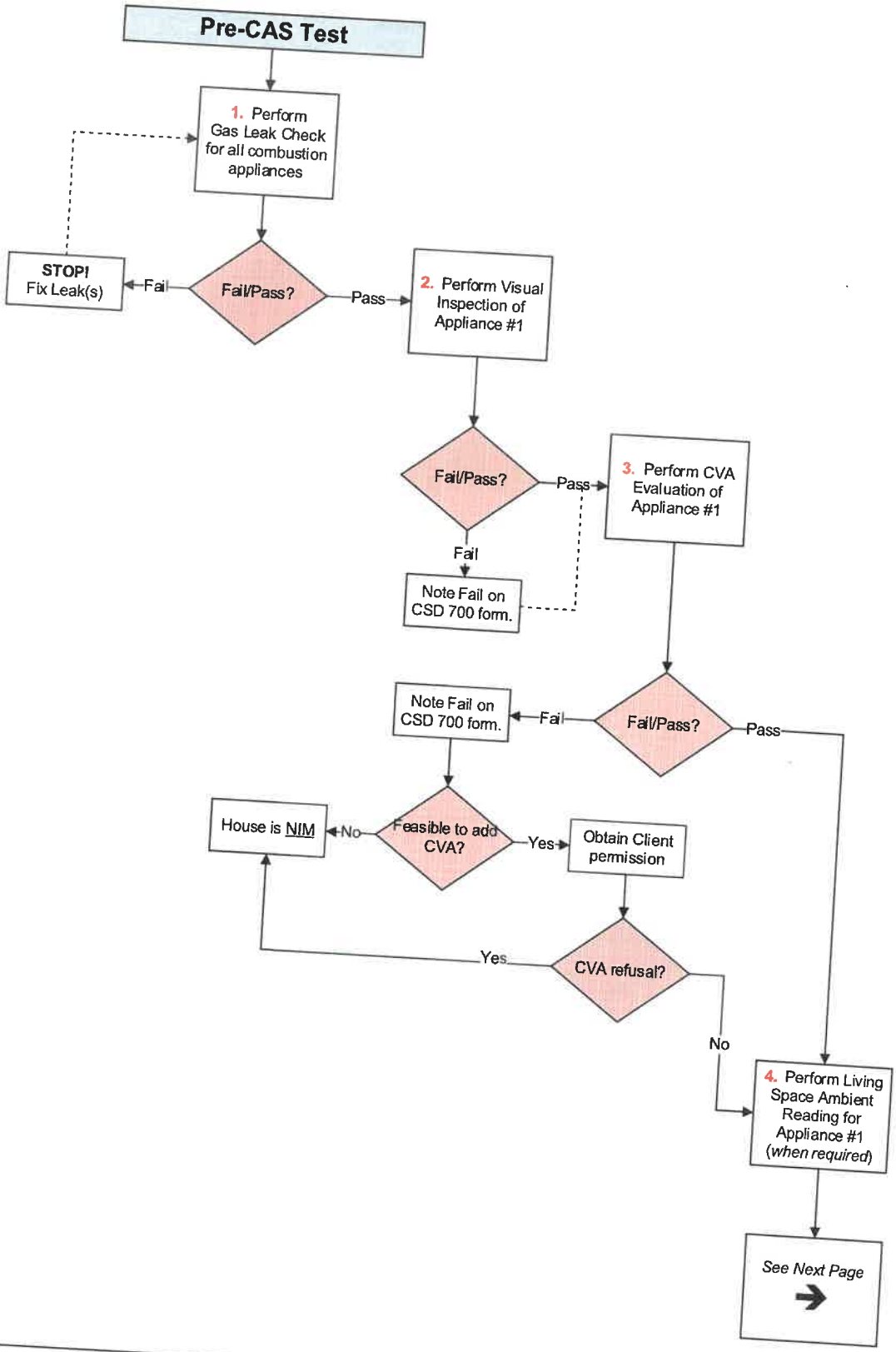

5. Perform Appliance Ambient CO Measurement for Appliance #1 (when required)
Fail/Pass?
Fail
Note Fail on CSD 700 form.
Pass
6. Perform Appliance Flue Gas CO measurement for Appliance #1 (when feasible)
Correction
Fail/Pass?
Fail
Note Fail on CSD 700 form.
Pass
7. Perform Draft & Spillage Tests for Appliance #1
Correction
Fail/Pass?
Fail
Note Fail on CSD 700 form.
Pass
8. Determine if CAZ Procedure for Appliance #1 is required
Correction
Yes/No?
Note on CSD 700 form.
Perform CAZ Test, when required
9. Repeat CAS Process for all other qualifying appliances.
Continue to next Assessment step.

8.10 CAS PROTOCOL FLOW CHART

The flow chart on the next two pages takes you through the whole CAS testing procedure. At each step, you will need to make a decision. The decision will take you to either the next CAS step—or to the correction that must be made, before the testing can continue.



- Mobile Homes: CAZ testing is required when combustion air is drawn from the living space by any of the following appliances:
  - an open combustion space heater, or
  - an open combustion water heater, or
  - a solid-fuel stove or insert (wood or pellet).

8.9 REPEAT STEPS 2 – 8

Now that you've used steps 2 through 8 to test one combustion appliance, all additional combustion appliances must be tested in the same way, by repeating the same steps.

8.3 STEP THREE: CVA (COMBUSTION VENTILATION AIR) EVALUATION

This step determines if each appliance has enough fresh air to operate properly in the room or enclosure where it is located. The assessor will evaluate CVA for each appliance and provide this information to crews on the CSD 700 or 702 Form when additional combustion and ventilation air is needed.

8.4 STEP FOUR: LIVING SPACE AMBIENT CO READING

Next, two ambient carbon monoxide (CO) readings are taken in the living space. This test is used to determine if the home, with the normal operating state of the space heating appliance(s), has excessive CO present in the living space.

8.5 STEP FIVE: APPLIANCE AMBIENT CO READING

Immediately after the second Living Space Ambient CO reading is taken, the Appliance Ambient CO reading is taken for the space heating and water heating appliances(s), to ensure that the appliances are not sending CO into the living space.

8.6 STEP SIX: FLUE GAS CO TEST

The flue gas CO test determines whether or not the amount of CO carried in the appliance vent is within acceptable limits.

Note: When a flue gas CO test is not feasible (i.e., test location is inaccessible) or is not possible because of the type of appliance, an Appliance Ambient CO test is substituted. Check Section 13 for a description of the required procedures.

8.7 STEP SEVEN: APPLIANCE DRAFT TEST AND SPILLAGE CHECK

The appliance Draft Test and Spillage Check is a two-stage process:

- First, a Draft Test is conducted to determine whether negative pressure in the vent pipe is adequate for proper exhaust of combustion gasses up through the vent system.
- Then, the appliance is checked at the draft hood for evidence of "spillage"—which is escape/outflow of combustion gases from the draft hood opening (because gasses are not exiting the vent pipe as they should).

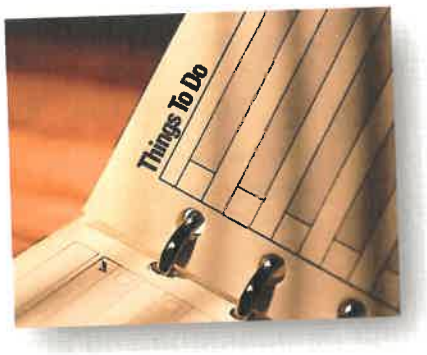
8.8 STEP EIGHT: COMBUSTION APPLIANCE ZONE (CAZ) "WORST CASE" TESTS

When an open combustion natural draft appliance is located inside a living space, a CAZ Test must be performed to determine whether exhaust devices or duct system imbalance are causing the combustion appliance zone to become overly depressurized. This can cause appliances to draft poorly or "backdraft", which is a dangerous condition.

CAZ testing is used to find and correct room-to-room imbalances, and make sure that a home is not brought below the House Depressurization Limit (HDL). CAZ testing is required for the following appliances and building types:

- Conventional Homes: A solid-fuel combustion appliance drawing combustion air from indoors.

8. Basic CAS Testing Procedure



For each combustion appliance affecting the living space, the following tests are required:

- Gas leak check.
- Visual inspection of appliance and vent system.
- CVA (combustion ventilation air) evaluation.
- Living space ambient carbon monoxide (CO) reading
- Appliance Ambient CO reading.
- Flue gas CO reading.
- Draft test of the appliance.
- Combustion appliance zone (CAZ) test, when applicable.

For each combustion appliance not affecting the living space, the following tests are required:

- Gas leak check.
- Visual inspection of appliance and vent system.

In CSD's weatherization program, the minimum CAS test procedure is made up of eight (8) steps, and is repeated for both pre- and post-tests. These 8 steps are repeated to test all types of combustion appliances.

8.1 STEP ONE: GAS LEAK CHECK

The gas leak check is the first test done during the home assessment, and it is the first step in all CAS testing to ensure that the combustion appliances in the home are not leaking gas. It is required that all combustion appliances be checked for leaks first, because if a leak is found, the CAS testing procedure must **STOP** immediately. Once the gas leak check is complete for all appliances, the additional steps (2-8) are repeated at each appliance.

8.2 STEP TWO: VISUAL INSPECTION

If no gas leaks are present (or identified leaks have been repaired), the CAS procedure continues with the 2nd step—the visual inspection, which includes identification of:

- Appliance inaccessibility;
- Unvented heating systems, including use of cooking appliances to warm the home;
- Unsafe gas connectors;
- Vent, draft hood, and vent system abnormalities;
- Heat exchanger defects; and
- Lack of appliance safety features (such as combustion chamber cover or shield) and improper alterations.

COMPANY NAME	TRADE NAME	"NOx Rod Furnace" MODEL NUMBERS
Goodman Manufacturing Company	**Franklin Electric, Goodman, GMC, Hamilton Electric, Janitrol, Johnstone, Liberty**	HBA040ND3(X, RX, XC or RXC), HBA060ND3(X, RX, XC or RXC), HBA080ND4(X, RX, XC or RXC), HBA100ND5(X, RX, XC or RXC), HBA120ND5(X, RX, XC or RXC), HCA040ND3(X, RX, XC or RXC), HCA060ND3(X, RX, XC or RXC), HCA080ND4(X, RX, XC or RXC), HCA100ND5(X, RX, XC or RXC), HCA120ND5(X, RX, XC or RXC), HCA140ND5(X, RX, XC or RXC), HCC040ND3(X, RX, XC or RXC), HCC050ND3(X, RX, XC or RXC), HCC060ND4(X, RX, XC or RXC), HCC075ND4(X, RX, XC or RXC), HCC080ND5(X, RX, XC or RXC), HCC100ND5(X, RX, XC or RXC)
Heat Controller, Inc.	**Comfort-Aire**	GSH40-T3N-X, GSH50-T3N-X, GSH60-T4N-X, GSH75-T4N-X, GSH80-T5N-X, GSH100-T5N-X
ICG/Keeprite	**Keeprite**	HAC/HCC, HBA
Johnson Supply	**Air Star**	SGH
Magic Chef Air Conditioning	**Magic Chef**	EG, ENG
MLX Refrigeration and Air Conditioning	**Heatmaster**	HAC/HCC, HBA
Premier Furnace Company	**Premier, Sunburst, Sun Glow, PFC, Carrier, Sunbelt**	HAC/HCC, HBA
Sears	**Kenmore**	735
Square D Company	**Sundial**	GH
The Trane Company	**Trane (XE60, XE70, XL80), American Standard**	THN050A936A, THN060A948A, THN075A948A, THN100A960A; also THS and THD
Westbrook Distributing, Inc.	**Heatmaster**	HAC/HCC
Any company	**Any brand**	HAC/HCC
Additional information may be obtained online at the following websites: • FAQ website: http://www.furnaceinspect.com/questions.shtml#1 • CPSC recall list: http://www.cpsc.gov/cpscpub/prerel/prhtml01/01189.html • Fire Marshal's recall list: http://www.furnaceinspect.com/includedmain.shtml		
If in doubt about whether a horizontal FAU is a NOx rod unit, call your supervisor for advice and assistance!		

TABLE 7.4.1: LIST OF NOX ROD FURNACES RECALLED MODELS

COMPANY NAME	TRADE NAME	"NOx Rod Furnace" MODEL NUMBERS
Addison Products Co.	**Weatherking**	GHC
Amana Company	**Amana**	GSE50DN3X, GSE75DN3X, GSE100DN5X
Arco Comfort Products	**ACP, Arcoaire, Northrup**	GHB
Bard Manufacturing	**Bard**	ESG040D36B, ESG040D36BC, ESG050D36B, ESG050D36BC, ESG060D36B, ESG060D36BC, ESG060D48B, ESG060D48BC, ESG080D60B, ESG080D60BC, ESG100D60B, ESG100D60BC, ESG120D60B, ESG120D60BC, ESG140D60B, ESG140D60BC, ESG050D36D, ESG060D48D, ESG075D48D, ESG080D60D, ESG100D60D, ISG060D36AX, ISG080D48AX, ISG100D60AX, ISG120D60AX
Carrier Corporation	**Sunburst by Carrier Southern California**	HAC040N(D,E, or F)3RXC, HAC050N(D,E, or F)5RXC, HAC050ND3RXD, HAC060N(D,E, or F)4RXC, HAC075N(D,E, or F)4RXC, HAC080N(D, E, or F)5RXC, HAC100N(D, E, or F)5RXC
Climate Control	**Climate Control**	GHC
Coleman Company (Evcon Industries)	**Coleman**	2505-25090B/ 2505-2509C, BGH
Consolidated Industries	**Consolidated**	HAC/HCC, HBA
DMO Industries	**Duomatic-Olsen, Olsen, Airco**	HCC, HBA
Goettl Air Conditioning, Inc.	**American Best, Goettl**	HAC040N(D, E, or F)3RCX, HAC050N(D, E, or F)3RCX, HAC040N(D, E, or F)3RXD, HAC050N(D, E, or F)3RXD, HAC040N(D, E, or F)3RXC, HAC050N(D, E, or F)3RXC, HAC060N(D, E, or F)4RXC, HAC075N(D, E, or F)4RXC, HAC080N(D, E, or F)5RXC, HAC100N(D, E, or F)5RXC, HCC040N(D, E, or F)3RX, HCC050N(D, E, or F)3RX, HCC060N(D, E, or F)4RX, HCC075N(D, E, or F)4RX, HCC100N(D, E, or F)5RX, HBA040N(D, E, or F)3RX, HBA060N(D, E, or F)3RX, HBA080N(D, E, or F)4RX, HBA100N(D, E, or F)5RX, HBA120N(D, E, or F)5RX

7.4 NOX FURNACE RECALLS

When performing CAS visual inspection of a horizontal furnace, it is important to determine whether it is one of the "NOx rod furnaces" subject to recall. These furnaces have potential fire hazards associated with the burner design. "NOx rod furnaces" were sold in California from January 1983 through December 1991.

- When checking horizontal furnaces:
  - Look for gas-fired horizontal units (like the pictures below) that are equipped with steel "NOx rods" installed above the burners. These units must be checked by a qualified technician.

Photo Credit: RHA, Inc.

Photo Credit: RHA, Inc.

These gas-fired horizontal furnaces have steel "NOx rods" installed above the burners. The picture on the right has more detail.

- If identified:
  - Check the nameplate on each horizontal furnace to determine if it was manufactured before 1992. If it was (or you can't tell), check to see if the model number is one listed in Table 7.4.1.
  - Schedule the furnace for examination by a qualified technician when:
    - The furnace is on the recall list, or
    - The model number cannot be determined (e.g., missing or illegible), or
    - Visual inspection reveals NOx rods in the combustion chamber.
  - If the furnace is determined to be a "NOx Rod Furnace" subject to recall, then:
    - The furnace is a **CAS Fail** and must be replaced before infiltration reduction measures are installed. If the appliance is on the recall list but replacement is not feasible, infiltration-reduction measures shall not be installed.
    - When an identified recalled FAU is replaced by the manufacturer at no cost, the weatherization contractor shall be reimbursed only for costs actually incurred, generally limited to ancillary components and installation labor. Costs for the unit itself shall not be billed to the weatherization program when the unit is replaced by the manufacturer.

- If it is clogged or leaking, it is a **CAS Hazard**. Document the issue in the CSD 700 and mitigate within 18 hours.

7.3.1 IDENTIFYING SOLDERED CONNECTORS

A flexible gas connector is considered unsafe and *must be replaced* with a new listed flexible gas connector when it is: **kinked, corroded, shows signs of visible wear, was manufactured before 1973** (per date ring near fitting), **or has any soldered connections.**

Protect your clients by correctly identifying and responding to soldered gas connectors:

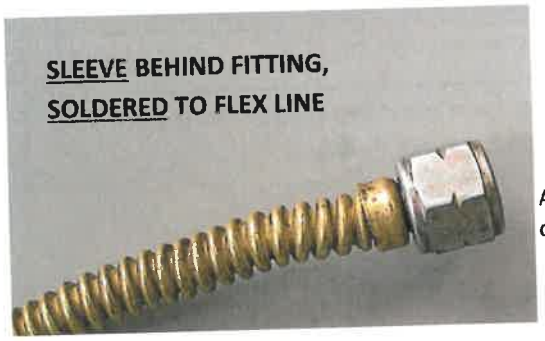
1. **All soldered** flexible gas connectors are made of **uncoated brass**, and **must** be replaced.
2. **Not all uncoated brass connectors are soldered**, and if not soldered, replacement is not required.

Learn to recognize connections that are soldered...

IMPROPER BRASS FLEX CONNECTORS WITH SOLDERED-ON FITTING AND NO COATING

At the right is a **soldered** connector with corrugations right up to the fitting (soldered joint location).

***Improper** (soldered) flex connectors:*
*(a) are always brass color, **and***
*(b) have corrugations right up to the fitting, **or***
(c) have a short sleeve covering the corrugations behind the fitting.



At the left is a **soldered** flex with a short sleeve covering the corrugations behind the fitting.

PROPER FLEX CONNECTOR WITH SMOOTH NECK AND GRAY COATING

Pictured to the right is an **acceptable** connector with a smooth neck entering the fitting (it may also be uncoated, plain brass).
Note that it has a *gray coating,* which soldered flex connectors do not have.

***Proper** flex connectors:*
*(a) may be brass without a gray or yellow coating, **or***
*(b) may be silver (stainless steel instead of brass), **and***
(c) have a smooth neck between the corrugations and the fitting.

Graphic Credit for all photographs on this page: RHA, Inc.

If in doubt about whether a flex connector is soldered, call your supervisor for advice and assistance!

7.3 UNSAFE GAS CONNECTORS

Soldered Flexible Gas Connectors

Until about 1986, uncoated brass flexible gas connectors were made with one or both threaded fittings soldered onto the flex tubing ("butt-soldered" joints). Solder may react with gas and become weakened, causing the soldered joint to break loose when the connector is disturbed, and creating a catastrophic gas leak and potential explosion of gas ranges or clothes dryers.

Photo Credit: CROBERTS.com

- When checking for gas leaks in older homes:
  - Look for uncoated brass flexible gas connectors with either or both fittings soldered onto the flex tubing.
  - Use information and procedures on the next page to help with the identification and correction of soldered flexible gas connectors.
  - Resource: Consumer Product Safety Commission at http://www.cpsc.gov.
- If identified:
  - It is leaking gas, list as a **CAS Hazard** in the CSD 700. If natural gas, the utility shall be notified immediately. Turn off the *appliance line valve*. Do not attempt to tighten fittings. Correction within 24 hours is required.
  - If not leaking gas, list the connector as a CAS Fail in the CSD 700 and replace with a new listed connector, if qualified and authorized to do so.[1]
  - Do not bend or disturb the connector or fittings—and do not move the appliance.

Copper Tubing Used as a Gas Connector

Copper is no longer used; however, in some older installations, copper tubing was used to bring gas from the appliance line valve to the appliance. Copper reacts with gas, causing deterioration of the metal and sometimes blockage of the line.

- Replace the unsafe copper connector with a new listed connector, if qualified and authorized to do so (or have it done by a qualified technician).
- When checking for gas leaks in older homes: a copper connector is not a **CAS Hazard**, unless it is clogged or leaking.
- If identified:
  - If it is not clogged or leaking, list it in the CSD 700 as a CAS Fail.

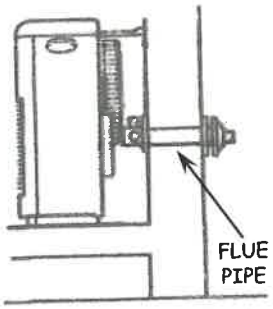
> ***When replacing an unsafe gas connector, it is best practice to replace the gas valve at the same time, especially "spring"-type gas valves.***

[1] Contact the gas supplier to determine if they have a replacement program for soldered or copper tubing gas connectors (some utilities replace unsafe connectors at no charge).

7.2 KEROSENE CONDITIONS

When a home is heated with a kerosene-burning appliance, check these conditions:

- Appliance Venting—does a flue pipe take combustion gases outdoors?
- Heater Location—is a heater located too close to combustibles? Is there scorching?
- Fuel Tank Location—is kerosene piped in from an unsafe outdoor storage tank?



EXAMPLE OF A DIRECT VENT KEROSENE HEATER

Graphic Credit: RHA, Inc.

Appliance Venting

- Some homes have code-conforming *vented* kerosene heaters (such as Monitor® and Toyotomi® models) that:
  - Are mounted on the floor near a wall, and
  - Have a "flue" pipe extending outdoors—usually through the wall (possibly through a window using a special window kit).
- These are usually direct vent (DV) appliances, with a double-chamber flue system that brings in combustion air through one chamber and exhausts combustion gases out through the other.
- A kerosene heater used for residential space heating must be vented outdoors. If not, it is an unvented heater, which is a **CAS Fail** and makes the home NIM.

Appliance Location

- Direct Vent kerosene space heaters can usually be located fairly close to combustibles. Clearances vary by make and model, so consult the installation manual. Check at the manufacturer's website, when possible.
- In the absense of instructions, the following default clearances from combustibles may be used (which may be greater than required by the manufacturer):
  - Front = 5', • Rear = 6", • Sides = 1', • Top = 2'
- Advise occupants when there is an inadequate clearance. If there is scorching of combustibles, see below.

Fuel Tank Location

- Manufacturer's Instructions: Manuals specify outdoor tank clearance from a "heat source"—which may be a combustion appliance burner, draft hood, or vent termination (including that of the kerosene heater).
  - Recommended clearances range from 3' (Monitor®) to 6' (Toyotomi®). Check the specific installation manual.
- National Standards: NFPA 31 allows location of a kerosene storage tank *adjacent to* a home, but it must not be too close to a heat source, and the tank and fuel line must not sag or leak.
- Local Code: The local building department and fire marshal interpret the safety codes regarding clearances, support, warning signs, etc.
  - A home is not NIM simply because an outdoor kerosene tank is adjacent to a wall.
  - When in doubt, the local jurisdiction can tell you if tank location or condition may be unsafe (or may be a code violation).

CHECK TANK AND PIPE FOR UNSAFE CONDITIONS

Photo Credit: © 2015 InspectAPedia.com

What to Do

- **Defer** the home when there is a known code violation or obvious unsafe condition and correction is outside the program scope, such as:
  - The storage tank is too close to a heat source.
  - The storage tank or fuel line is leaking.
  - The storage tank is sagging, or any other aspect of the tank/installation is unsafe.
  - There is scorching of combustibles due to inadequate indoor clearance from the heater.
- **Weatherize** the home. Install:
  - All measures, when the heater and storage tank do not appear to be unsafe or in violation of local code.
  - Non-infiltration measures, when storage tank against the wall is a violation of local code (home is NIM).

7.1 PROPANE (LP GAS) CONDITIONS

Regular propane tanks may not be within 10 feet of a building. Here is a summary of clearances typically applicable to weatherization situations:

Photo Credit: Public Domain

Tanks Under 125 Gallons

- Minimum 5' from doors, windows, and crawlspace vents.
- Minimum 10' from any combustion or ignition source, such as window/wall AC, central AC condenser, direct vent appliance terminal, open combustion appliance, or any open flame.

Tanks 125 to 500 Gallons

- Minimum 10' from doors, windows, and crawlspace vents.
- Minimum 10' from any combustion or ignition source, such as window/wall AC, central AC condenser, direct vent appliance terminal, open combustion appliance, or any open flame.

Tanks More Than 500 Gallons

- Minimum 25' from the building.

When a tank does not meet the correct clearance requirement, the property owner shall be notified of the nonconforming condition in writing as an Advisory Condition, but the home is not NIM.

IMPORTANT NOTE: Rubber tubing shall NEVER be used to connect the tank to the appliance. If rubber tubing is used, it is a **CAS Fail**.

PORTABLE PROPANE TANK WARNING

At the right is an example of a portable 5–10-gallon propane tank. Other types of portable tanks include smaller cylinders used for camping stoves.

Photo Credit: Public Domain

It is ***illegal and very unsafe*** to have a small propane cylinder inside a closed building (especially a dwelling). The regulator vents gas into the atmosphere, so indoors it would vent propane into the living space -- which, if ignited, could cause an explosion.

Therefore, when any propane tank is encountered *inside the home* to fuel an indoor appliance:

- CAS Testing shall NOT take place for any appliance.
- Raw propane fumes inside the home constitute an explosion hazard, and the weatherization contractor shall not install **ANY** measures.
- A Deferral Form must be completed to notify the occupants and owner that the condition is very unsafe and must be corrected before any weatherization services shall be provided. You must carefully list the conditions that have led to the home deferral on the Deferral Form and obtain the client's signature.

If a portable 5–10-gallon tank is properly set up outdoors (more than 5' from the building, doors, windows, and crawlspace vents), no gas leak exists, and the regulator and tubing are in good condition (also **NOT** rubber tubing), etc., then a CAS test may be conducted and weatherization work completed in accordance with programmatic policies.

If in doubt about whether a CAS test or weatherization work is feasible, call your supervisor for advice and assistance!

- Furnace roll-out shield missing (if manufactured with one).
- Air Handler door defective or missing (opening must be temporarily sealed for testing). Note: This is a CAS Hazard when the FAU is natural draft, or a natural draft water heater is in the same enclosure.

WATER HEATER CAS FAILS

- Flammable Vapor Ignition Resistant (FVIR) water heater system that has been activated. When identified, the water heater shall be replaced (it cannot be repaired).
- Closed combustion or FVIR water heater, with combustion chamber access not securely closed and sealed.
- Open combustion water heater with both combustion chamber inner shield and outer door missing.

OTHER APPLIANCE CAS FAILS

- Gas range with three or more defective burners. (Note: A cooktop with up to 2 non-operational burners, is not a CAS Fail.)
- Gas clothes dryer in the living space with moisture exhaust not ducted outdoors.

MOBILE HOME CAS FAILS

- Mobile Home that has one or more of the following conditions:
  - Gas cooking, but gravity or mechanical ventilation not present.
  - Space heater, water heater, or solid fuel appliance is drawing combustion air from the living space, unless the CAZ is less negative than the HDL.

7. Special CAS Considerations

There are some unique combustion appliance conditions that require additional information in order to determine if a CAS Hazard or a CAS Fail may be present. The following sections are intended to provide supplement the knowledge of field technicians, and help them make more informed decisions.

Specifically, this section provides information about:

- Propane Conditions
- Kerosene Conditions
- Unsafe Connectors
- NOx Furnace Recalls

6.4.3 EXAMPLES OF CAS FAILS

Examples of CAS Fails are provided below:

TABLE 6.4.3: EXAMPLES OF CAS FAIL CONDITIONS

CAS FAILS TO BE CHECKED BY A QUALIFIED TECHNICIAN AND CORRECTED WITHIN 20 BUSINESS DAYS

ALL COMBUSTION APPLIANCE CAS FAILS

- Appliance enclosure floor or platform that is deteriorated or unsafe.
- Appliance enclosure door missing, when CVA comes from outdoors.
- CVA is inadequate/incorrect/obstructed.
- Excessive amounts of carbon or rust deposits are present on the appliance.
- Flame Abnormalities.
  - Improper flame position.
  - Soft lazy flame or smothering flame (flame recirculation).
  - Large yellow flame (unless that is normal for the appliance). Note: Some burners (e.g., in space heaters, decorative fireplaces, and gas logs) are designed to burn with a yellow flame. Service is not required if (a) the burner is normal per manufacturer's specifications, and (b) it is not producing excessive CO or soot (e.g., carbon in the combustion chamber and/or draft hood).
- Ignition Abnormalities.
  - Delayed ignition (with a bang or whoosh) with CO PPM below Action Level.
  - Pilot defects, such as IID (intermittent ignition device) do not properly light pilot or the thermocouple/ pilot generator does not function properly.
  - Roll-out ignition and scorching (not continuous roll-out).
- Physical evidence of a defective heat exchanger (defects that do NOT create an high carbon monoxide condition, such as warping or metal fatigue, etc.).
- Primary gas appliance (e.g. space heater, water heater, range) that will not operate, and there is no gas leak.
- Propane tank is connected to appliance with rubber tubing.
- Kerosene storage tank is against the wall and is in violation of local code (the home is NIM).
- Unsafe connector (see Section 7.3 for additional information)., such as:
  - Gas flex line with soldered fittings but no gas leak.
  - Copper tubing used as gas appliance connector.
- Inadequate clearance to combustibles causing visible evidence of a fire danger, including charring of wood, melting of foam insulation, etc.
- Vent defects.
  - Loose joints or connections needing screws, missing or defective vent caps, etc.
  - Improperly positioned draft hood, multiple draft hoods, or missing draft hood. (Note: spillage or high CO created by this condition is a CAS Hazard and must be corrected within 18 hours).
  - Vent terminal is too close to a window, door, or gravity inlet into the home.
  - Gas vent pipe is connected to a solid fuel chimney.
  - Vent cap is damaged or missing.

HEAT SOURCE CAS FAILS

- FAU "short cycling" on the limit switch.
- Return leaks inside the FAU enclosure, or anywhere combustion products can be drawn in.
- Recalled NOx rod furnaces (see Section 7.4 for additional information).
- Improper appliance modification, or missing or defective parts, such as the following:
  - Furnace combustion chamber door is defective or missing.
  - Furnace roll-out shield is defective or missing (if unit was manufactured with one).
  - Wall furnace front cover/grille is missing or damaged enough to make furnace unsafe.

When performing CAS testing procedures and a CAS Hazard is discovered:

1. Turn off appliance—at the wall thermostat, gas control valve, and the appliance line (shutoff) valve. If applicable, also unplug unit or turn off power at the breaker/fuse.
2. Inform occupants of the unsafe (nonconforming) condition, and advise them to not use that appliance until service has been performed and the condition has been corrected.
3. Record the condition in the CSD 700.
4. Document client notification, using the CSD 540 Assessment Form.
5. Mark the "Service Required" box on the CSD 700 and notify the agency immediately. Once a hazard is identified, agencies may not exceed 18 hours to mitigate the issue.
6. No measures (including infiltration-reduction measures) shall be installed before all **CAS Hazards** are corrected.
7. If correction is beyond the scope of the weatherization program:
   - A CSD 542 Deferral Form shall be completed, and
   - The client shall be referred to a program that may have repair or replacement service available to the household, such as ECIP EHCS.

6.4 CAS FAILS

CAS Fails are combustion appliance safety conditions that must be corrected within 20 business days of discovery, but do not present an immediate threat to the occupants. During a home assessment, any **CAS Fails** that are discovered must be recorded in the CSD 700, and the client shall be advised of:

- The condition and plans for correcting it.
- Precautions they should take, if any, pending the correction.

Photo Credit: WAPTAC.org

6.4.1 NATURAL GAS CAS FAIL

For natural gas appliances, if correction of an unsafe CAS condition is not within the scope of CSD programs, the appliance must be referred to the utility Gas Service Department (who may red-tag the appliance and shut it off).

6.4.2 PROPANE CAS FAIL

For propane appliances, a CAS fail referral would be to the propane provider.

- If the propane supplier does not take action to protect the health and safety of the occupants, the weatherization contractor shall do the following:
  - Notify the owner or rental manager and, if applicable, complete the CSD 542 Deferral Form for partial deferral (house shall be NIM, unless abandonment is allowed).
  - Request permission of the owner/rental manager to abandon the appliance (as described in Section 5.7).
- The agency shall take action as requested by the owner or rental manager; document all actions in the CSD 700, and proceed.

6.3 CAS HAZARDS

CAS Hazards are conditions that cause immediate danger to the client. The hazardous condition(s) must be corrected within 18 hours, even if infiltration-reduction measures will not be installed for any reason. Clients must be informed of the unsafe condition and kept safe while it is being corrected. Some examples of **CAS Hazards** are provided in Table 6.3 below.

Photo Credit: WAPTAC.org

TABLE 6.3: EXAMPLES OF HAZARDOUS CONDITIONS

CAS HAZARDS MUST BE REMEDIED WITHIN 18 HOURS.

- Gas leak.
  - Note: If a gas leak is found in a location with a soldered or copper connector, the connector shall be replaced as part of the hazard correction.
- CO PPM above the "Action Level" (also called "high CO").
- Delayed ignition with high CO.
- Portable propane tank is used in a dwelling to fuel a dwelling appliance(s) such as a cooking appliance or water heater, or has inadequate clearance from dwelling (requires immediate home Deferral).
- There is a known code violation or obvious unsafe condition with a kerosene heater or kerosene storage tank (requires immediate home Deferral), such as:
  - The storage tank is too close to a heat source.
  - The storage tank or fuel line is leaking.
  - The storage tank is sagging, or any other aspect of the tank/installation is unsafe.
  - There is scorching of combustibles due to inadequate indoor clearance from the heater.
- Continuous roll-out: Fuel gas combustion process where flame extends outside the normal combustion area of a combustion appliance.
- Spillage or backdrafting: Continuous flow of combustion gases from a vented natural draft combustion appliance, where gases do not draft properly.
- Vent system obstructions that cause spillage.
- Flame interference (in a FAU): A change in flame pattern or color as the FAU blower comes on, usually indicates a defective heat exchanger. Look for evidence of a damaged exchanger with appliance off (crack or metal fatigue, visible with a mirror and strong light).
- Physical evidence of a defective heat exchanger (defects that create an actual high carbon monoxide condition, such as cracks, holes, warping, metal fatigue, etc.).
- Unsafe fuel modification (e.g., propane used in appliance with natural gas orifice).
- Damaged/disconnected vent pipe that allows CO to enter the home.
- Vent terminal is too close to an evaporative cooler during the cooling season.
- Return air system leaks that cause spillage and/or draw any combustion byproducts or toxic fumes into the duct system.
- Mobile home: Improper/failed isolation of return air in a mobile home (where a divided enclosure is shared by an FAU with non-ducted return intake and an open combustion water heater. This is referred to as improper isolation of return air, because the FAU return intake depressurizes the FAU side of the enclosure, and that can cause the water heater to backdraft and spill CO into the return air system.
- Any other condition that allows flue gas to enter a home.

6. Descriptions of Abnormal Findings (Fails)

The following section describes typical CAS-identified conditions that may be encountered in the field. Depending upon whether it is a CAS Hazard or a CAS Fail, CSD requires the correction of that condition. When other conditions are encountered, and there is uncertainty about how to handle a situation (i.e., whether it is a hazard or not), agencies and their subcontractors shall communicate with the CSD Technical Hotline at (877) 831-7596 or Wx.Hotline@csd.ca.gov.

6.1 CAS CONDITIONS AND RESPONSES

While assessing client homes, the discovery of any abnormal finding during the Pre-CAS test begins a timeline of correction for agencies or their subcontractors as defined in Section 5.2. These abnormal findings are most commonly called **CAS Hazards** and **CAS Fails**. When a non-conforming condition is found that does not prevent weatherization, it is now known as an **Advisory Condition**.

6.2 ADVISORY CONDITIONS

In a home assessment, certain non-conforming conditions do not create an immediate health and safety hazard, but are required to be brought to the attention of the client. Repair of these items shall not be performed. These conditions do not prevent duct or shell sealing.

TABLE 6.2: EXAMPLES OF ADVISORY CONDITIONS

ADVISORY CONDITIONS DO NOT IMPEDE WEATHERIZATION.

- Inadequate clearance of vent pipe to combustibles.
- When an appliance or vent system will not be replaced, and no charring is evident, a single-wall vent pipe where B-vent is required, and/or no firestop spacer, support box, or thimble at ceiling or wall penetration.
- Vent pipe is transite (asbestos-containing) material.
- Nonconforming appliances that do not affect the living space.
- Horizontal vent pipe run without adequate upward slope, but draft is satisfactory.
- Propane tank is inadequate distance from dwelling.
- Cook stove defects, as described below:
- A pilot does not work, but the burner can be lit with a match, it burns properly. CO must be below the Action Level.
- A burner knob is frozen.
- 1 or 2 cook top burners will not light, even with a match.
- The oven operates but has a separate broiler burner that does not work.

Photo Credit: Community Resource Project

APPLIANCE ABANDONMENT PROTOCOL

An appliance is considered abandoned only if the:

- The flexible gas connector is *removed*, and
- Appliance line (shutoff) valve is capped, or the valve is removed and the gas line is capped.
- Turn off power to the unit when applicable, by unplugging it or turning off the source (breaker or fuse).
- When a cooktop or oven burner is abandoned, the burner valve must be capped when possible.

In order for an appliance to be properly "abandoned", agencies or their subcontractors shall ensure that:

- Owners shall be informed of the reason for abandonment, options available, and the consequences of abandoning the appliance. Written permission must be obtained before an appliance is abandoned and documented in the CSD 540.
- If an appliance was removed from use by the owner or occupant prior to weatherization, the contractor shall ensure that the appliance has been "properly" abandoned (as described above), with documented written permission from the owner before any further weatherization activity is allowed.

5.7.1 PARTIAL ABANDONMENT

Partial abandonment may be an acceptable option for a malfunctioning cooktop so that a home is not NIM unnecessarily. For a cooktop or freestanding range, partial abandonment of up to 2 burner(s) or separate built-in oven is allowed when necessary and feasible.

- To abandon a burner, the burner valve must be capped. *Exception*: Capping is not required, and the burner is considered "properly abandoned", when:
  - The burner is non-operational (valve is frozen and the burner cannot be turned on and lit with a match), and
  - Capping the valve is not feasible/possible, and
  - There is no gas leak associated with the burner.

  Note: Only a check for gas leaks is required for abandoned burners—however, a complete CAS inspection and test is required for the working cooking appliance components (e.g., other burners, oven, and broiler).

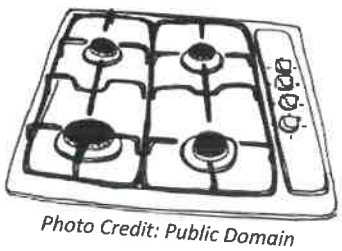


Photo Credit: Public Domain

- Once identified by field personnel, the policies in the CSD TRM that regulate timelines for correction and feasibility of measures shall apply.

5.5 INACCESSIBLE APPLIANCES

When a gas appliance affects the living space, but cannot be tested because it is not accessible, the unit is considered a **CAS Fail**. The home shall remain deferred (DOE) or NIM (LIHEAP) unless it can and will be abandoned with owner permission on the CSD 542 Deferral Form.

5.6 INOPERABLE ("NON-OP") APPLIANCES

When the inoperable unit is a primary Health and Safety appliance, the unit is considered a **CAS Fail**. When a gas appliance potentially affects the living space, but is inoperable, a qualified technician shall attempt repair of the appliance when allowed under the program. If the technician documents that full repair or replacement is unfeasible, the home remains deferred (DOE) or NIM (LIHEAP) and the condition shall be documented on the CSD 542 Deferral Form.

5.7 APPLIANCE ABANDONMENT

For the CSD Weatherization Assistance Program (where DOE funding is used), appliance abandonment is not allowed for primary heat sources. The appliance must be repaired/replaced, or the dwelling must be deferred. Unsafe secondary heat sources must be repaired (except for portable heat sources) or removed. In mobile homes, any other type of combustion appliance that is unsafe must be removed from the dwelling with client permission on the CSD 540 Dwelling Assessment Form. If the client does not allow removal, the dwelling must be deferred.

When allowed under the LIHEAP weatherization program only, an appliance abandonment may be performed when a CAS Hazard or CAS Fail cannot be corrected within the scope of the program (i.e., appliances cannot be repaired or replaced, or for appliances the owner or occupant prefers to stop using). Abandonment may only be performed by a qualified crew person who is trained and authorized to do this work with permission from the owner and signature documented on the CSD 540. Abandonment shall be:

- When an essential appliance (e.g., primary heat source, water heater) is properly abandoned in accordance with the CSD TRM Appendix A, the dwelling shall no longer be NIM because the appliance shall no longer be considered an unresolvable CAS Hazard or CAS Fail.
- If a non-essential appliance has a Hazard or Fail condition that cannot be corrected under the program scope (e.g., a gas dryer, secondary heat source, portable heater, etc.), then the appliance may be abandoned with client permission. Once abandoned, the dwelling is no longer NIM.
- Abandonment, and the rationale for it, shall be documented on the CSD 542 Deferral Form, and a note made on the CSD 700.
- When prescribed, abandonment shall be completed before any infiltration or non-infiltration measures are installed.

Appliances shall not be abandoned solely to install infiltration-reduction measures. Every effort shall be made to repair or replace the defective appliance as a "Health and Safety" or "Energy Efficiency Upgrade" measure, when allowed by contract.

Client refusal to have a functioning primary heat and/or cooling source shall disallow installation of all infiltration-reduction measures in a dwelling.

CAS Fails: Fails are combustion appliance safety conditions that must be corrected, but do not present an immediate threat to the occupants. All non-hazardous conditions noted field personnel shall be corrected within 20 working days of written notification by the Assessor/Auditor in the CSD 540 form. When a **CAS Fail** is found, the client must be advised of the issue, and provided with a timeline for correction. No infiltration-reduction measures shall be installed until after the fail is corrected.

The time periods for correction may be extended for circumstances beyond the agency's control; however, a waiver must be approved in writing by CSD prior to the expiration of the original timeline.

CAS Hazards and CAS Fails are sometimes referred to as "hazardous or dangerous conditions" while talking in the office. However, the term "hazard" should never be used when speaking with clients or occupants. Tell them the appliance "does not meet program safety standards, and an immediate follow-up service call is being requested".

5.3 APPLIANCE REPAIR VS. REPLACEMENT

A malfunctioning combustion appliance shall be examined by a qualified technician to determine Repair feasibility. Repair by a qualified technician shall be made, if feasible. Appliance replacements shall be made in conformance with the measure-specific policies of the CSD TRM and when repairs would equal more than 50% of the replacement cost. When appliance replacement is specified, and Manual J sizing documentation is required by Title 24, copies of the Manual J documents are required to be kept in the client file.

- To be replaced, an appliance must be documented to be unsafe and non-repairable (repair not feasible or not possible). That includes:
  - Evidence of unsafe condition(s) recorded in the CSD 700, and
  - Documented information from the qualified technician describing the issues and why the appliance cannot feasibly be repaired (such as defects too extensive to repair, or required parts are not available).

5.3.1 REPAIR EXCEPTIONS

- FVIR (Flammable Vapor Ignition Resistant) Water Heaters: If the FVIR System has been activated, the entire water heater must be replaced (cannot be repaired).
- Other repair exceptions will be considered by CSD on a case-by-case basis.

5.4 RESOLUTION OF CAS HAZARDS AND FAILS

By CSD policy, every effort shall be made (and documented) to correct an appliance Hazard or Fail that is within the program scope. When a CAS Hazard or Fail exists that is correctable, these policies shall apply:

- All CAS Hazards, CAS Fails, and IAQ Fails must be correctable and remedied before infiltration-reduction measures will be installed. If correction is NOT feasible within the program scope, see Section 5.1.
- Agencies and subcontractors shall not install infiltration-reduction measures when there is a possibility that a CAS Hazard, CAS Fail, or IAQ Fail cannot be corrected.

5. CAS Testing Policies

5.1 REQUIRED ACTIONS FOR A CAS HAZARD OR CAS FAIL

CSD believes that Combustion Appliance Safety is the most critical of procedures that is undertaken by weatherization field personnel to ensure the safety of dwelling occupants. When an appliance does not operate properly, it can create a life-threatening condition such as Carbon Monoxide (CO). For this reason, whenever a CAS Hazard or CAS Fail is found for an appliance affecting the living space, corrective action by a qualified technician is required.

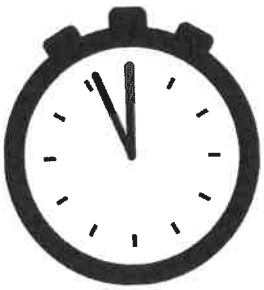
Agencies and subcontractors must mitigate and correct CAS Hazards, CAS Fails, and IAQ Fails that are within program scope before any other measures are installed. For DOE jobs, the client shall be notified in writing the results of fuel leak testing and the specific location(s) where the fuel leak is detected.

When a **CAS Hazard** or **CAS Fail** cannot be corrected, or correction would be outside of the scope of the program, CSD requires the following actions:

1. A program waiver shall be sought to bring the issue to CSD's attention.
2. The client must be notified, in writing, on the CSD 542 Deferral Form, a client signature obtained to confirm understanding of the issue, and a copy of the form shall be maintained in the client file.
3. (DOE) When the dwelling is served under DOE, or is leveraged with DOE, if a combustion appliance cannot be repaired or replaced within the program scope, written permission will be obtained from the client for the removal of the appliance. If removal is not allowed, the dwelling shall be a full deferral.
4. (LIHEAP) The issue shall be mitigated (appliance abandonment), a limited deferral is required, and the dwelling shall be NIM until the issue can be completely resolved.

5.2 TIMELINE FOR CORRECTION OF CAS HAZARDS AND CAS FAILS

Agencies are under a strict timeline to mitigate all CAS Hazards and CAS Fails as soon as they are identified.



CAS Hazards: Immediate hazards must be mitigated within 18 hours, even if infiltration-reduction measures will *not* be installed for any reason. Clients must be informed of the unsafe condition, the immediate plan to correct the issue, and precautions they must take, pending correction. If the CAS Hazard is corrected through temporary abandonment to mitigate the immediate hazard and a portable heating or cooling appliance was offered (as applicable), CSD considers the issue from that point on to be non-hazardous, and subject to the CAS Fail timeline described in the bullet below.

- Exception: If a water heater is temporarily abandoned to mitigate a hazard, the appliance condition must be completely resolved within five working days.

4.5.2 CALIBRATION LIMITATIONS

When dropped or otherwise damaged, an instrument must be calibrated and checked by an in-house qualified technician. (Note: When in-house calibration does not resolve all performance issues, instruments must be sent to a factory-authorized service center and replaced when recommended by the manufacturer.)

4.5.3 CALIBRATION REQUIREMENTS

- When the weatherization contractor has a calibration kit CO sensor calibration may be performed in-house, but only by qualified personnel trained to do so.
  - Calibration gas shall be maximum 500 PPM CO.
  - Instruments with an O2 sensor (e.g., those capable of "air-free" CO readings) must be calibrated by a factory-authorized facility.
  - A calibration label shall be applied to the instrument showing the technician's name, date, and PPM of calibration gas used.
  - Calibration information must be documented in the company's Calibration Logs (CSD 785 for "Carbon Monoxide Analyzers" and CSD 786 for "Manometers").

4.6 NOX FILTER AND CONDENSATE TRAP

A NOx filter and condensate trap are required to filter nitrogen oxides (NOx) from the flue gas, because NOx affects the CO sensor the same as CO does (it looks like CO). The NOx filter can be on-board (common in newer CO testers), or in-line (required for most older instruments). The condensate trap, usually clear plastic, is normally installed in-line.

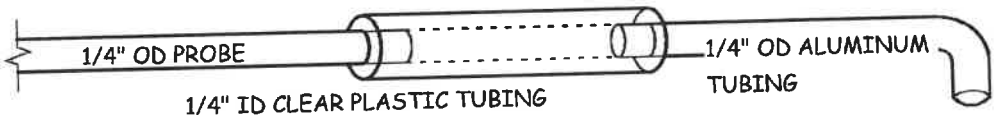
Agencies and their subcontractors are required to obtain and install NOx Filters and condensate traps for older equipment, and to ensure that all new equipment contains these components for the following reasons:

- By removing NOx from the flue gases drawn into the CO tester, measurement accuracy is improved 50% to 75% or more. For example, the tester might read 120 ppm CO without a filter (appliance fails), but might more accurately read 60 ppm CO with a NOx filter (appliance passes).
- Without the filter, the appliance appears to need service. With the NOx filter, the appliance would Pass, and an unnecessary service call would be avoided.
- The condensate trap collects moisture from the flue gases, and prevents it from damaging the NOx filter and CO sensor.
- NOx filters shall be replaced in accordance with manufacturer's recommendations.

Graphic Credit: Bacharach, Inc.

Generally, the clear plastic tubing will be 1/4" ID (Inside Diameter). When selecting plastic tubing, have available both the aluminum tubing and CO Tester Probe. 1/4" ID plastic tubing should fit, but check because brands vary.

- Slide the plastic tubing over both the Tester Probe and aluminum extender. Plastic tubing must fit snugly but easily be twisted on/off the CO Tester Probe.
- Note: Some older CO Testers (e.g., early Monoxor II) have a *removable* metal Probe. The 1/4" OD aluminum extender can fit directly into the handle (plastic tubing not needed).
- Be careful to not lose or damage the small plastic ferrule inside, when installing and removing the aluminum extender directly into the CO Tester probe handle.

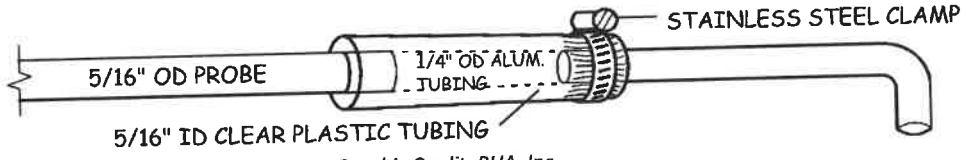


Graphic Credit: RHA, Inc.

4.4 EXTENDERS FOR 5/16" OD PROBES (E.G., ON FYRITE PRO)

Some CO testers have a 5/16" OD metal Probe, so larger ID clear plastic tubing is required. When selecting tubing, slip it over the probe to find a diameter that is removable but not loose.

- Keep aluminum extender tubing at 1/4" OD, so it will fit into a standard 5/16" sampling hole (eliminating the need for larger holes and larger plug buttons).
- Because the plastic tubing ID is larger than the OD of the aluminum extender, use a small stainless steel worm-drive clamp to secure the plastic tubing to the extender. (Do not clamp plastic tubing to the CO tester so it can be easily removed from the probe.



Graphic Credit: RHA, Inc.

4.5 CALIBRATION FOR CO TEST INSTRUMENTS

Carbon monoxide test instruments shall be equipped with a NOx filter (and condensate trap) and shall be properly maintained and calibrated in accordance with manufacturer's specifications and the following policies:

4.5.1 CALIBRATION TIMELINE

Each CO test instrument shall be calibrated:

- Every 6 months, or at intervals recommended by the manufacturer, if more stringent.
- After the instrument has been dropped or otherwise damaged.
- After the instrument has been subjected to several doses of high CO (1,000 PPM or higher), or
- Readings appear to be abnormal.

Materials	*Requirements*
SAFETY TEST TOOLS	– Safety Test Tools • Battery-powered nut driver, heavy duty, with 1/4" and 5/16" Magnetic Hex Nut Driver Bits • 5/16" and 3/8" Drill Bits: Metal drills sized to match plug buttons • Inspection Mirror: Small round or rectangular mirror on telescoping handle • Propane Lighter: "Gas Match" type trigger-operated, long-nose lighter (flexible nose is best)

The following guidelines for the creation of "probe extensions" used to measure CO in difficult-to-access locations. **THESE EXTENDERS SHALL BE ALLOWED UNLESS PROHIBITED BY THE MANUFACTURER OF THE TEST EQUIPMENT.**

4.1 PROBE EXTENSIONS

A probe extension ("extender") shall be used as needed to take "Air-Free" CO measurements in locations where a straight probe cannot achieve that result, such as:

- Natural draft water heater, to reach down into the center tube to measure CO on each side of the baffle.
- Natural draft wall furnace, to reach down into the flue (exhaust port) to measure CO on each side of the baffle.
- Closed combustion/direct vent units, to reach inside the flue to measure CO inside the exhaust stream.

4.2 ACCEPTABLE MATERIALS, CUTTING, AND BENDING

Extenders are made with aluminum tubing and clear plastic tubing. (Do not use copper tubing, because it may react chemically when exposed to flue gases). The extender is connected to the tester probe with clear plastic tubing, approx. 1 foot long.

- Required materials are found in hardware and auto parts stores (e.g., clear plastic tubing, aluminum tubing, and worm-drive clamps), and at gas appliance parts houses (e.g., 1/4" pilot tubing).
- The end of the extender shall be bent sufficiently to reach inside the flue to measure CO free of outside air:
  - A "standard" extender is about 1 foot long. For mobile homes, a 4' to 8' long extension may be needed to reach FAU flue terminations (usually several feet from the roof edge).
  - For aluminum extensions, 1" to 2" of tubing is bent at one end approximately 90° to form an "L" shape.

4.3 EXTENDERS FOR 1/4" OD PROBES (E.G., FOR MONOXORS)

To make an extender, use aluminum tubing, 1/4" OD (Outside Diameter). OD of the aluminum extender should match the OD of the CO Tester rigid metal probe, and the clear plastic tubing should fit securely onto both of them without clamps.

- The extender is made with 1/4" OD tubing, so it will fit into a standard 5/16" sampling hole.

4. Required Test Equipment and Accessories

For specifications on test equipment, accessories, and tools, see the table below.

Materials	*Requirements*
CO ANALYZERS	– Carbon Monoxide Testers • Shall be manufactured under an ISO 9001 quality management system or be ISO 9001–certified • Shall, at a minimum, measure CO levels from zero ppm to 999 ppm • New Units: Capable of providing air-free CO readings • New and Existing Units: On-board or in-line NOx filter and condensate trap *Overall Photo Credit:*
CO ANALYZER SAFETY TEST ACCESSORIES	– Safety Test Accessories • Monoxor Probe Extension materials: – 1/4" OD aluminum tubing (e.g., pilot tubing), cut in 1' & 2' (or longer) lengths (do not buy copper tubing) – 1/4" ID and 5/16" ID plastic tubing – Small stainless worm-drive clamp to fit over 5/16" ID plastic tubing • High-temperature caulk: Non-hardening sealant (e.g., RTV silicone) with a minimum service temperature of 450°F • Aluminum foil tape: UL-listed, with minimum service temperature of 265°F (e.g., 181A-P duct tape) • Liquid gas leak detection compound with spray bottle: can be "neutral" leak detection soap (not dishwashing detergent) • Incense sticks: mildest scent available • Smoke Sticks, Puffers, Pens to create smoke for diagnostic testing: commercially available • Match Extender: Alligator clip on telescoping handle
OTHER TEST EQUIPMENT	– Draft Gauges • Draft gauges shall have a range of –0.25 to +0.05 inches of water column (IWC), or –62.5 to +12.5 Pascals (Pa) – Thermometers • Thermometers shall have a range from 0°F to 250°F – Gas Leak Detectors • Gas Leak Detectors shall be listed to UL 913
PLUG BUTTONS	– Vent "Plug Buttons" • Metal and non-corrosive (e.g., nickel plated snap-in hole caps), sized to match drill bit(s) used to drill sampling holes (e.g., 5/16" and 3/8")

3. Qualified Technicians

CAS Testing shall only be performed by technicians and service professionals who have successfully completed the required Combustion Appliance Safety training at a CSD-approved training center, or who have been provided equivalent permission by CSD. Testing shall be performed in accordance with the following policies:

- **Pre-CAS testing** shall be performed by the weatherization agency's technicians who have successfully completed Combustion Appliance Safety Training only.
- **Interim, Post Repair/Replacement, and Post-CAS tests** shall be performed by agency or subcontractor technicians who have successfully completed Combustion Appliance Safety Training or are trained HVAC subcontractors.
- **Fuel Oil Appliance Testing** shall consist of living space ambient testing by a qualified CAS testing technician. Further testing of the appliance and verification of the presence and operability of a draft regulator shall only be performed by a licensed professional contractor with appropriate training, or by a fuel oil supplier-qualified contractor.
- **CAS Hazards** (including gas leaks) shall be corrected by a qualified person, which in most cases is:
  - A utility gas service representative, when the appliance fuel is natural gas;
  - A licensed HVAC contractor (C-20) or licensed contractor-supervised technician;
  - A licensed plumbing contractor (C-36) or licensed contractor-supervised technician for water heaters;
  - A propane dealer's technician, for propane appliances.

> ***Weatherization crews shall not make adjustments to the gas pressure, air-gas mixture, and other technical adjustments (unless fully licensed, trained, and authorized).***

- Crews shall make only those CAS Fail repairs for which they are trained and qualified, which usually include:
  - Appliance abandonment, in compliance with CSD procedures.
  - Correction of draft hood abnormalities (e.g., improperly positioned, multiple, missing).
  - Vent pipe repairs (e.g., replacement, minor adjustments, securing single-wall metal vent pipe joints and connections with screws, vent caps, etc.).
  - Replacement of minor components (water heater burner access cover or inner shield, or furnace rollout shield). Component shall be factory-made, not field fabricated.
  - Clean greasy accumulations from gas cooking appliances, without affecting the combustion air adjustment.
  - Install additional, or correct nonconforming, CVA venting.
  - Install a clothes dryer moisture exhaust.

> ***If any CAS testing reveals a CAS Hazard or a CAS Fail, correction timelines and procedures shall be followed in Section 5.2.***

2.4 POST-CAS TEST

Post-CAS testing shall be performed to prove that weatherization activities have not caused unsafe operation of natural draft appliances. Post-CAS testing is required the same day infiltration-reduction measures (including duct sealing) are completed, *and at least* one item in each of the next two "Conditions" exists (see blue box below):

POST-CAS TESTING *Condition 1:*

- The home has at least one open combustion natural or induced draft appliance that can be affected by changes to house pressure, including:
  - A FAU in any location, OR
  - A non-ducted heater or water heater that draws combustion air from the living space, or is located in an attached garage with or without a walk-through door into the living space.

POST-CAS TESTING *Condition 2:*

- Duct repair/sealing was performed.
- Mechanical ventilation was installed.
- Blower door was used and any shell sealing was performed.
- Blower door was not used, and installation of one or more of the following measures occurred:
  - Door or window replacement.
  - Storm windows.
  - Glass replacement.
  - Shell sealing, which eliminates holes totaling 10 sq. in. or more.
  - Door repair/modification (includes replacement of threshold or shoe, and repair/replacement of frame or stop).
  - Caulking that applied one or more tubes of caulk.
  - Range hood vent damper, fireplace chimney damper, or fireplace glass doors.
  - Interior vent cover(s).
  - Weatherstripping (door or non-door), including any of the following: entrance door, furnace enclosure door, patio door, attic or crawl space access, or windows.

If infiltration reduction measures were not installed, or if shell leakage was not reduced enough to justify a Post- CAS test, a Post-CAS test is not required.

2.2 INTERIM-CAS TEST

"Interim"-CAS testing shall be performed each day that "significant" air sealing (as described in the sidebar above) is performed but is not completed. Minimal testing is performed for each natural draft appliance that draws combustion air from the living space.

- Interim-CAS tests shall consist of <u>all</u> of the following:
  - Visual draft test ("Smoke" test), and
  - Tactile test for spillage

Interim-CAS testing shall be conducted with the house set up for appliance-on testing (exhaust devices on, and doors set properly), and the results shall be recorded on the CSD 700B or 702B Form.

INTERIM-CAS TESTING
is required when:

Blower Door <u>is</u> used, and:

- Any shell sealing was performed and the job was not completed the same day, OR
- Any amount of duct repair/sealing was performed.
- Mechanical Ventilation is installed.

Blower Door is <u>not</u> used, but one or more of these was installed:

- Duct repair/sealing.
- Any infiltration-reduction measures were installed and at least 10 sq. in. or more of leakage area was eliminated (total for all measures).
- Storm windows.

2.3 APPLIANCE R&R CAS TEST

All gas appliances that are repaired or replaced shall be checked for safe operation, following completion of any combustion appliance repair/replacement. This test shall be performed:

- The same day repair/replacement is finished, if feasible, but no later than 5 calendar days later.
- Before infiltration-reduction measures are installed.
- When appliance repair/replacement occurs as the target appliance for an ECIP EHCS job. When repair or replacement occurs after completion of infiltration-reduction measures, this test shall be attached to the CSD 57 ECIP Assessment Form.

1.4 RECORD-KEEPING FOR CAS TESTING

Diagnostic test results and incremental work performed shall be accurately recorded on the CSD 700 series forms, unless a home has no combustion appliances present (this is known as an "all-electric" home):

As applicable, these CSD forms shall be completed and stored in each client's file:

- CSD 700 Combustion Appliance Safety Inspection Form
- CSD 700B Interim-CAS Tests
- CSD 700C CAS Post Repair/Replacement Safety Checks

Copies of the most up-to-date forms are always available on CSD's Providers' Website, to be accessed by network weatherization agencies only. (On the "Energy" tab, click on "Forms".) Agencies shall be responsible for distributing the current forms to their subcontractors.

2. Test Types and What Triggers Them

The following categories of Combustion Appliance Safety (CAS) testing are required:

- Pre-CAS Testing: As part of the home assessment, before any measure installation work is performed. The pre-CAS test procedure is required to be performed by the Assessor.
- Appliance R&R-CAS Testing: After combustion appliances are repaired or replaced.
- Interim CAS Testing: During installation of infiltration-reduction measures when work is not completed at the end of the day, an "interim" test is performed before the crew leaves the job site.
- Post-CAS Testing: As a final step to weatherization, after installation of infiltration-reduction measures is complete, to ensure that the appliances are left in safe condition.

All CAS testing and documentation of results shall be in accordance with the CSD 700 form series and this appendix.

2.1 PRE-CAS TEST (PERFORMED DURING HOME ASSESSMENT)

Pre-CAS testing shall be performed by qualified weatherization Agency technicians. Pre-CAS tests are valid for 60 days. After that, the test shall be repeated before any installation of infiltration-reduction measures.

When contacted by a client for ECIP EHCS services, the appliance must be pre-combustion appliance safety-tested to determine the scope of the appliance issue(s) and identify all hazardous and non-hazardous conditions pertaining to the appliance before any repair or replacement work will be completed.

1.3 CAS TESTING FEASIBILITY CRITERIA

CAS testing of combustion appliances shall occur when...

- A dwelling unit to be weatherized is equipped with one or more qualifying fuel-burning appliance(s) that affects the living space. Qualifying appliances include:
  a. Open or closed combustion;
  b. Natural gas, propane, fuel oil, kerosene
  c. Solid-fuel burning appliances (require a visual inspection only).
- Appliance is accessible.
- Repair or replacement of a fuel-burning appliance is contemplated.
- Infiltration-reduction measures shall be installed.

Combustion appliances shall NOT be CAS tested when...

- Appliance is properly abandoned (the flexible gas connector is removed, and the gas valve is capped, or the valve is removed and the line is capped).
- Performance of the CAS test would violate the CSD Asbestos Policy or Lead-Safe Weatherization Policy.
- Client refuses (see warning below).

WEATHERIZATION FEASIBILITY

In the LIHEAP, ECIP, and DOE contracts, if a client refuses Combustion Appliance Safety or CAS testing (which includes Combustion Appliance Zone or CAZ testing when required by program policy), the:

- Dwelling is deferred and shall not receive weatherization services.
- Refusal shall be documented in the CSD 542 Deferral Form by the Assessor, with client signature and date collected from the client.

1. What Is CAS Testing?

Combustion appliance safety (CAS) testing is a critical requirement that protects residents from the effects of CO gas and other combustion products before, during and after weatherizing a home.

1.1 WHAT DOES CAS ACHIEVE?

Technicians, who work in income-qualified homes, must be able to test houses and combustion appliances properly, to ensure that everything is safe. By creating "worst case" situations with the tests, we are able to catch...and correct...many potentially harmful conditions.

The purpose of CAS testing is to:

- Detect defects and hazards with specific combustion appliances that may jeopardize the health and safety of occupants, and
- Correct defects and hazards, when feasible.

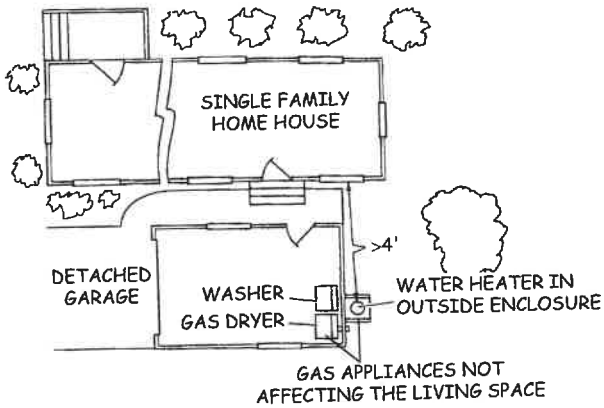
1.2 APPLIANCES THAT AFFECT THE LIVING SPACE

CAS testing shall be conducted when the home has one or more combustion appliances that "affect the living space".

1.2.1 APPLIANCES THAT AFFECT LIVING SPACE

Combustion appliances that affect the living space are:

- All space heating appliances.
- Other appliances located:
  - Partially or entirely within the living space (including closets located within the envelope but accessed from outdoors).
  - An outdoor location where any part of the appliance is within 4' of an operable door or window, or air inlet, leading directly into the living space.
  - In the attic or basement, or in an enclosure communicating with the attic or basement.
  - In an attached garage with *or without* a walk-thru door into the house.
  - A location where combustion products from the appliance could infiltrate a forced air duct system (e.g., in a garage or room containing supply or return plenum/ductwork).



Graphic Credit: RHA, Inc.

1.2.2 APPLIANCES NOT AFFECTING THE LIVING SPACE

Appliances in all *other* locations do not affect the living space.

10. Visual Inspection

Assessors shall utilize the visual inspection process to identify and document the following CAS conditions on the CSD 700 (or 702) form.

- Appliance inaccessibility;
- Unvented heating systems, including use of cooking appliances to warm the home;
- Unsafe gas connectors;
- Vent, draft hood, and vent system abnormalities;
- Heat exchanger defects; and
- Lack of appliance safety features (such as combustion chamber cover or shield) and improper alterations.

What Do I Do When...? CSD Policies Related to CAS Visual Inspections
When **visual inspection** identifies a repair issue (i.e., draft hood/vent pipe defects, nonconforming T&P, lack of enclosure, etc.) with an appliance that ***does not*** *affect the living space* • The appliance must be confirmed as belonging to the dwelling being served. • The repair issue must be identified and documented with photographs. • If "minor" correction is possible (such as CO, draft hood/vent pipe defect, non-conforming T&P, etc.), agency shall perform CAS test on the appliance and correct identified issues. • If "major" correction is required (i.e., heat exchanger replacement, relocation and/or construction of an appliance enclosure), full documentation is required, and a waiver must be sought in order to repair and relocate/enclose the appliance.
When **visual inspection** identifies a replacement issue with an appliance that *does **not** affect the living space* (i.e., leaking water heater, sediment build-up, etc.): • The appliance must be confirmed as belonging to the dwelling being served. • The replacement issue must be identified and documented with photographs. • The appliance shall be replaced and CAS tested as required by the CSD policy. • If the dwelling is tenant-occupied, the owner shall be notified in writing of the non-conforming condition, using a certified letter.
When **CAS inspection** identifies a non-conforming issue with a nonconforming appliance that ***does** affect the living space*: • The appliance must be confirmed as belonging to the dwelling being served. • The repair issue must be identified and documented with photographs. • If "minor" correction is possible (correction of draft hood/vent pipe defect, CO issue, non-conforming T&P, etc.), agency shall make correction and continue with weatherization. • CSD policies for repair or replacement in the measure-specific policies shall be followed.

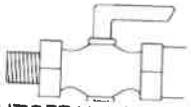
10.1 TABLE: VISUAL INSPECTION– ALL APPLIANCES—ALL DWELLINGS

Assessors shall check for each of the following additional defect types in all combustion appliances. Each of the conditions below is considered a **CAS Fail**, except where noted as a **CAS Hazard**. Infiltration-reduction measures shall not be installed until ***the Fail or Hazard is first repaired by the client or by the weatherization program***.

APPLIANCE Fail

VISUAL INSPECTION—ALL DWELLINGS	
ALL COMBUSTION APPLIANCES	**INSPECTION REQUIREMENTS**
Appliance Accessibility 	CAS testing is required for all combustion appliances that affect the living space. When an appliance affecting the living space cannot be tested because it is inaccessible, the home shall be deferred (DOE) or NIM/no infiltration measures (LIHEAP). Inaccessible appliances must be noted on the CSD 700. Examples include: • Water heater in locked room/enclosure for which a key is not available or entry is not possible. • Attic-mount combustion appliance in a multi-family apartment unit that requires entry through an inaccessible unit. • Floor furnace in a crawl space with inadequate crawl clearance. • Floor furnace that has gas line still connected and has been turned off and covered over by plywood or attached floor covering (e.g., wall-to-wall carpet or vinyl). Note: Such an appliance should be "abandoned", so installation of infiltration–reduction measures is allowed. • Floor or wall furnace that has been turned off and blocked by heavy furniture (e.g., a hutch or cabinet). Under LIHEAP, all other appliances affecting the living space *in addition to* the inaccessible appliance shall be tested and repaired or replaced as appropriate.
Appliance Components Defective, Missing, or Improperly Modified	The following appliance components shall be present in order for an appliance to meet minimum safety considerations: • Appliance door(s), including air handler compartment door. • Combustion chamber access door(s). Note: Gas water heaters shall have at least an access cover or roll-out shield. • Wall furnace front cover/grille (Cover/grille shall not be missing or damaged enough to make the unit unsafe to occupants). • On closed combustion appliances, and FVIR-compliant water heaters, the combustion chamber access panel/cover must be properly secured in place and sealed.

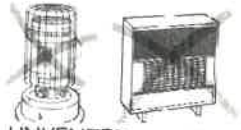
10.2 TABLE: VISUAL INSPECTION– FUEL LINES

VISUAL INSPECTION—ALL DWELLINGS	
APPLIANCE FUEL LINES	**INSPECTION REQUIREMENTS**
Appliance Line (Shutoff) Valves Not In Use  UNUSED SHUTOFF VALES MUST BE CAPPED *Graphic Credit: RHA, Inc.*	Appliance line (shut-off) valves that are not being used shall be capped with brass caps for flare fittings (not standard iron caps), or shall be removed and the pipe capped. The appliance line valve shall be temporarily capped, when a defective appliance was removed for repair/replacement, and the appliance will not be reinstalled and reconnected to the gas line before weatherization is complete.
Butt-Soldered Flexible Gas Connectors	Soldered flexible connectors shall be replaced as described in Section 7.3.1. Any connector that is *leaking* is a **CAS Hazard** that requires immediate correction. *Photo Credit: CROBERTS.com*
Gas Connector Replacement: SMOOTH NECK BEHIND FITTING, AND NOT SOLDERED THIS DESIGN WITHOUT COATING (PLAIN BRASS) IS ACCEPTABLE *Photo Credit: RHA, Inc.*	An existing flexible gas connector is considered unsafe and must be replaced with a new, listed flexible gas connector when it is kinked, corroded, shows signs of visible wear, was manufactured before 1973, or has any soldered connections. Copper tubing used to connect a gas appliance is also considered unsafe. Replacement of a defective flexible gas connector, or of a copper tubing connector, is a standard procedure that must be performed, whether or not the appliance is repaired or replaced. If the local jurisdiction requires additional replacements (e.g., installation of hard pipe from the gas control valve to outside the housing of an FAU), agencies shall seek a program waiver. Also, it is the intent of CSD to always replace the flexible gas connector when a gas appliance (FAU, water heater, range, etc.) is replaced. This policy is effective as of the date of this CSD TRM.

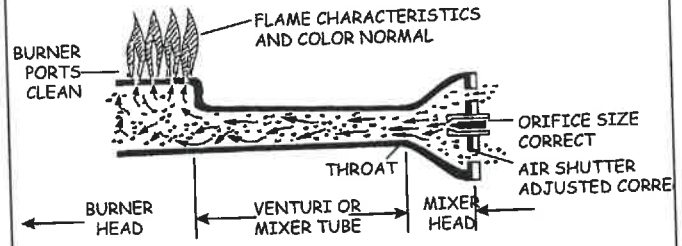
10.3 TABLE: VISUAL INSPECTION– OPERATIONAL CONDITIONS—ALL DWELLINGS

Operational Fail

VISUAL INSPECTION—ALL DWELLINGS	
APPLIANCE OPERATIONAL CONDITIONS	**INSPECTION REQUIREMENTS**
Existing Wall Furnace in a Bedroom	Repair or replacement of a wall furnace is not prohibited in a bedroom location. • For replacement of a unit in this location, a permit is required from the local jurisdiction and the replacement unit cannot have a manufacturer's restriction prohibiting installation in a bedroom.
Existing FAU or Open Combustion Water Heater Located within a Sleeping Area or Bathroom (Conventional Homes)	When an existing open combustion water heater or FAU is present in a sleeping area (including an attached garage converted to living space) or bathroom, it is a CAS Fail and corrective action by a qualified tech is required. • To correct the fail, a program waiver request must be submitted to 1) build an enclosure with a weatherstripped, self-closing door, and all CVA obtained from outdoors, or 2) replace the appliance with a direct vent, closed combustion unit. • If correction is not feasible, Section 5.1 of this appendix shall apply.
Existing Open Combustion Appliance Located in Any Room Other Than a Bedroom or Bathroom (Conventional Homes)	When an existing open combustion appliance is present in any room *other than* a bedroom or bathroom and takes air from the living space, the home is not NIM as long as there is adequate CVA (at least 50 cu. ft. per 1,000 BTU) in the combustion zone of that appliance.
Existing Open Combustion Appliances Located within a Manufactured Housing (Mobile Home)	Cooking appliances, ovens, illuminating appliances, solid fuel burning fireplaces or stoves, or clothes dryers are the *only* open combustion appliances that are allowed to draw combustion air from a living space in mobile homes. • All other combustion appliances must be installed to provide for the complete separation of the combustion system from the interior atmosphere of the mobile home (i.e., to draw their combustion air from outside), and be vented to outside the dwelling. ▪ A gas or solid fuel appliance that draws combustion air from a sleeping room or bathroom is a CAS Hazard. ▪ To correct the fail, a program waiver request must be submitted to 1) build an enclosure with a weatherstripped, self-closing door, and all CVA obtained from outdoors, or 2) replace the appliance with a direct vent, closed combustion unit. ▪ Any other combustion appliance (gas or solid fuel) drawing air from the living space **is a** CAS Hazard, **except** as allowed by the following provision. ▪ Exception: If a natural draft wall furnace is present (but not in a sleeping room), shell sealing is allowed as long as pressure in the CAZ if no more negative than –1 Pa. (Note: If sealing activities do cause the zone to become more negative, supply mechanical ventilation shall be installed).

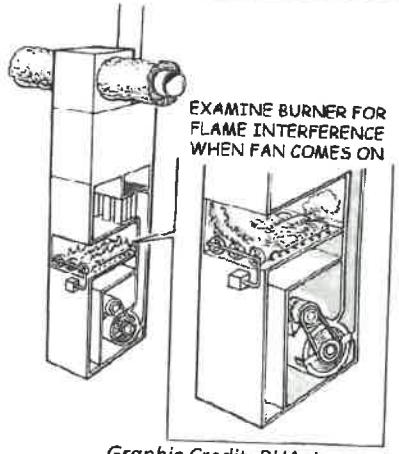
VISUAL INSPECTION—ALL DWELLINGS	
Existing Gas Log or Wood-Burning Fireplace within the Living Space (DOE Only)	Where a woodstove or fireplace insert is present within the living space, it is required to meet safety requirements. • Conduct a visual inspection of the entire system, including verification of adequate floor protection, code-compliant clearances to walls and other combustible materials, etc. • Perform visual draft testing to ensure proper operation of the appliance (see Table 15.5.1). • Fireplace or woodstove venting that is left operational after weatherization must meet current California Mechanical Code (i.e., the vent shall extend 3 feet above any part of the roof within 10 feet) and all local and national standards. • If it is unfeasible to make safe, dwelling deferral is required.
Existing Gas Log or Wood-Burning Fireplace Located within a Bedroom (All Housing Types)	When a gas log or wood-burning fireplace is present in a bedroom: • If there is a gas log in the fireplace, the damper must be blocked partially open with a damper clamp, or it is a CAS Hazard. Client education shall be provided regarding the safety considerations. ▪ Clients with a gas log or wood-burning fireplace located in a bedroom shall receive special client education, warning them of the dangers of sleeping with these heat sources operating, and also highlighting the importance of not blocking the gap under the bedroom door to prevent drafts. ▪ Client signature to document this education shall be obtained and kept in the client file. • If an existing woodstove or fireplace has sealed doors and takes all air from outdoors, or if a nonconforming woodstove can be replaced with a listed mobile home woodstove that draws all combustion air from outdoors, shell sealing is allowed.
Appliance(s) Not Properly Vented *Graphic Credit: RHA, Inc.*  UNVENTED HEATERS	Checks shall be made for lack of proper venting/exhaust, such as: • Any combustion appliance <u>not</u> properly vented to the outdoors (except cooktops and unvented ranges). • Gas range present which has a space heater or incinerator that is <u>not</u> vented outdoors. • Gas clothes dryer located in the living space <u>not</u> exhausted outdoors. • Clothes dryer (gas or electric) moisture exhaust that terminates in an open combustion appliance enclosure/closet. • Corrective action is required, or Section 5.1 of this appendix shall apply.

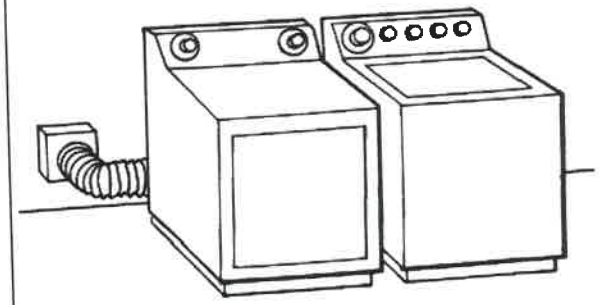
VISUAL INSPECTION—ALL DWELLINGS	

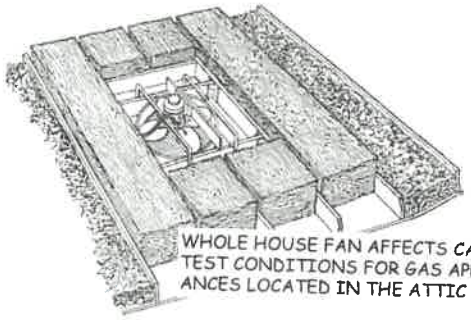
Burner Abnormalities
 
 	
Graphic Credit: RHA, Inc.
	• When the burner(s) ignite, inspections shall be made for:
	  - Delayed ignition.
	  - Excessive roll-out.
	• Burner(s) shall be examined for flame abnormalities, including:
	  - Soft lazy flame or smothering flame (flame recirculation); and
	  - Large yellow flame (more than 50% yellow).
	  ▪ Note: Service is not required if (a) yellow flame is normal per manufacturer's specifications, and (b) it is not producing excessive CO or soot (e.g., carbon in the combustion chamber).
	  ▪ If dust has settled on the burner, dust should be removed and the burner re-checked.
	• Corrective action is required, or Section 5.1 of this appendix shall apply.

Carbon and Rust Deposits	• Burner(s), heat exchanger, draft hood, and vent pipe shall be examined for carbon and/or rust. • The presence of carbon or rust may indicate that an appliance is malfunctioning and shall be checked by a qualified technician. • Corrective action is required, or Section 5.1 of this appendix shall apply.

Damper Requirements for Fireplace with Gas Log
 	
	• When a CAS fail is identified with a fireplace with a gas log, or when a replacement damper will be installed, a spark arrestor must be in place or installed. The spark arrestor shall meet all of the following requirements:
	  – The net-free area of the arrestor shall not be less than four times the net-free area of the chimney flue.
	  – The arrestor screen shall be equivalent to 12-gauge wire, 19-gauge galvanized steel, or 24-gauge stainless steel.
	  – The arrestor shall not allow sparks with more than 1/2" diameter to enter the chimney, nor shall it block sparks with less than 3/8" diameter.
	  – The spark arrestor shall be installed to allow access for cleaning of the flue.
	• When a gas log is in a fireplace, the fireplace damper shall be blocked open with a permanently installed damper clip that is open a sufficient amount to prevent spillage of combustion products into the room. For damper blocking, the CSD program does not distinguish between a fireplace/gas log that is a primary or secondary heat source.
	• Occupants shall be advised of the nonconforming condition and the importance of making sure the damper is at least partially open when the gas log is operating.
	• If a damper clamp is unfeasible, or refused by the client, Section 5.1 of this appendix shall apply.

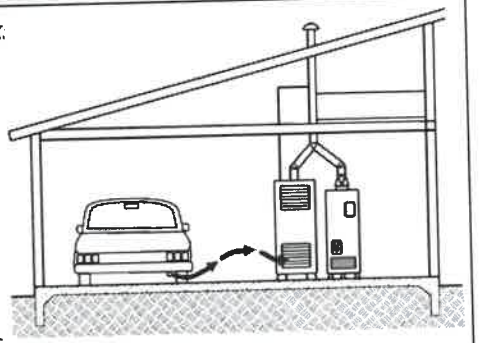
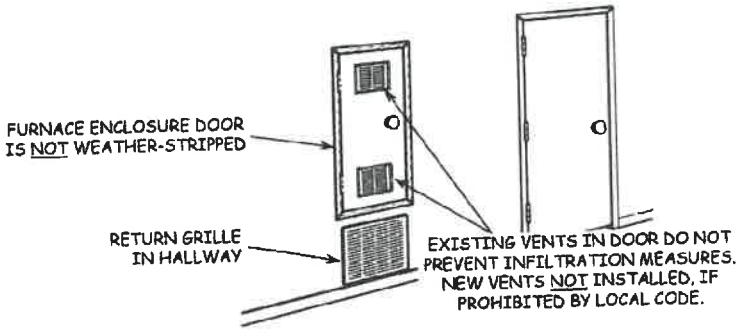
VISUAL INSPECTION—ALL DWELLINGS	
APPLIANCE OPERATIONAL CONDITIONS (CONTINUED)	**INSPECTION REQUIREMENTS**
Gas Water Heater Compartment Floor/Platform	The compartment floor or appliance platform shall be checked for structural integrity and strength. • It must be secure, stable, and level enough to properly and safely support the water heater. • The floor must be repaired or replaced (under the Limited Home Repair measure) when: 1) the appliance is leaning in an unsafe position, or 2) flooring is deteriorated to the extent that it is not safely supporting the tank. • Corrective action is required, or Section 5.1 of this appendix shall apply.
Space Heating Heat Exchanger Defects Example of a cracked heat exchanger *Graphic Credit: WAPTAC.org*	• When accessible, the heat exchanger of each space heating appliance shall be inspected for cracks with a mirror and strong light. • The unit shall be further examined/serviced by a qualified technician if any of the following **CAS Hazard** conditions is present: - "Flame interference" occurs in an FAU when he air handler comes on, or - A visually-detected crack or other evidence of a defective heat exchanger, or - Appliance Ambient CO exceeds the second Living Space Ambient CO by *more* than 2 PPM. • If a defect exists, the condition shall be corrected *within 18 hours* of identification. • Corrective action is required, or Section 5.1 of this appendix shall apply.  *Graphic Credit: RHA, Inc.*
Clothes Dryer Moisture Exhaust System Visual Inspection	A gas clothes dryer located in the living space, or an attached garage used as living space, must be exhausted outdoors in conformance with the Limited Home Repair measure policies in CSD TRM Section 1. **Corrective action(s) is/are required or Section 5.1 of this appendix shall apply if the following Fails are not correctable.** • An existing moisture exhaust shall not: - Have leaks, obstructions, or improper termination (must terminate outdoors in a location where moist air will re-enter the living space). - Terminate in an open combustion appliance enclosure/closet. - Pass through an FAU plenum (unless material is hard pipe and sealed). • An installed moisture exhaust shall not: - Terminate less than 3' from an opening into the home, - Terminate less than 10' from the intake of a forced air (fan-driven) inlet.

VISUAL INSPECTION—ALL DWELLINGS	
Clothes Dryer Moisture Exhaust System Visual Inspection (cont.)  GAS CLOTHES DRYER IN THE LIVING SPACE AND EXHAUSTED OUTDOORS *Graphic Credit: RHA, Inc.*	- Terminate in an open combustion appliance enclosure/closet. - Pass through an FAU plenum. - Terminate within the living space or have no moisture exhaust that extends to the outdoors, • When an existing dryer moisture exhaust cannot be extended outdoors, the following shall result: - Dryer located in the Living Space: ▪ DOE Program, or when leveraged with DOE: Dwelling shall be deferred. ▪ LIHEAP: Home is NIM and mechanical ventilation shall be assessed. - If a dryer is located in an unconditioned dwelling area (i.e., an enclosed porch, attached garage, etc.), *not used as a living space,* the moisture exhaust shall be ducted to the outdoors and the home is <u>not</u> NIM. (Note: If the presence of lint creates a dangerous CAS or fire condition due to proximity to an open combustion appliance, it shall be handled as a CAS Hazard). ▪ Mechanical ventilation shall be assessed when required by program.
Improper Appliance <u>Location</u>	• When a combustion appliance draft hood, or any appliance vent termination, is located *within 4 feet* of an openable door or window, the appliance shall be fully inspected for all CAS Fails, including: - Gas leak; - Draft hood abnormalities; - Vent deficiencies or termination defects; - Burner abnormalities; - Carbon and rust deposits; - Excessive CO; and - Inadequate draft or spillage. • If *none* of these operational issues is present, the home is <u>not</u> NIM. • If *any* CAS Hazard or CAS Fail condition is present corrective action is required or Section 5.1 of this appendix shall apply.

VISUAL INSPECTION—ALL DWELLINGS	
APPLIANCE OPERATIONAL CONDITIONS (CONTINUED)	**INSPECTION REQUIREMENTS**
Improper Appliance Modification	Improper modifications to an appliance may include the following: • **CAS Hazard**: Incorrect burner orifice (e.g., propane gas used with natural gas orifice). This hazard requires installation of the correct orifice and removal of excess carbon/soot to correct the condition. • **CAS Fail**: Alteration of the gas control valve (correctable). • **CAS Fail**: Jumper installed to override a thermostat/control (correctable). Corrective action is required as described above, or Section 5.1 of this appendix shall apply.
Presence of a Whole House Fan  *Graphic Credit: RHA, Inc.*	• If a whole house fan vented into attic causes a natural draft water heater or FAU to fail the appliance CO or draft tests (see "Appliance CO Testing" section), the following steps shall be taken: - Calculate NFVA of the existing attic venting. - Determine outlet venting NFVA recommended by the whole house fan manufacturer. - Subtract existing attic venting NFVA from the recommended outlet venting NFVA to determine additional venting NFVA needed (if any) to meet or exceed manufacturer's recommendation. - Install additional attic venting, as needed. • If attic insulation will not be installed, a waiver is required to install additional attic venting. • If needed additional NFVA cannot be installed, corrective action is required, or Section 5.1 of this appendix shall apply.

10.4 TABLE: VISUAL INSPECTION– RETURN SYSTEM ANALYSIS

Return System Fail

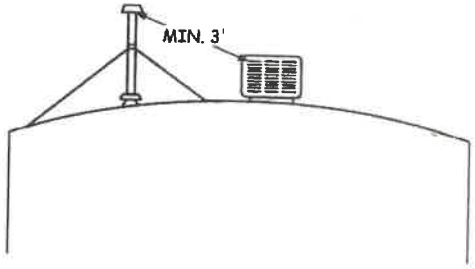
VISUAL INSPECTION—CONVENTIONAL HOMES	
RETURN SYSTEM ANALYSIS	**INSPECTION REQUIREMENTS**
Return System Leak.  *Graphic Credit: RHA, Inc.*	• The return system shall not have leaks that can cause any of the following problems: - Depressurize any open combustion enclosure; - Draw in combustion air or combustion byproducts from any open combustion appliance (e.g., from the furnace itself or the nearby combustion appliance); - Depressurize or draw air from a garage or other space where hazardous chemicals are stored or toxic fumes may be present (e.g., where a car may be idling). • If correction or addition of an isolation barrier is not feasible, corrective action is required or Section 5.1 of this appendix shall apply.
Return Grille Adjacent to Appliance Enclosure Door	• The enclosure door shall be weatherstripped, if it does not seal tightly. - *Exception:* Not required when combustion air is taken from the living space. • Existing vents in the enclosure door do not NIM the home. • Unless prohibited by local code, it is acceptable to install new combustion air vents in the enclosure door, when there is no better CVA option.  *Graphic Credit: RHA, Inc.*
Prohibited Sources of Return Air	• Return air shall not be taken from a closet, bathroom, or kitchen. • When return air comes from any of those locations, replace the non-conforming return with a ducted central return that originates in an approved location. • Corrective action is required, or Section 5.1 of this appendix shall apply.

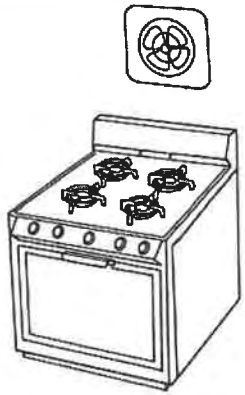
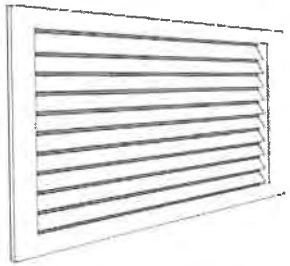
10.5 TABLE: VISUAL INSPECTION – MOBILE HOMES

Assessors shall check for each of the following additional defect types in all MOBILE HOMES. Each of the conditions below is considered a **CAS Fail**, unless noted as a **CAS Hazard**. Infiltration-reduction measures shall not be installed until ***the Fail or Hazard is repaired by the client or by the wx program***.

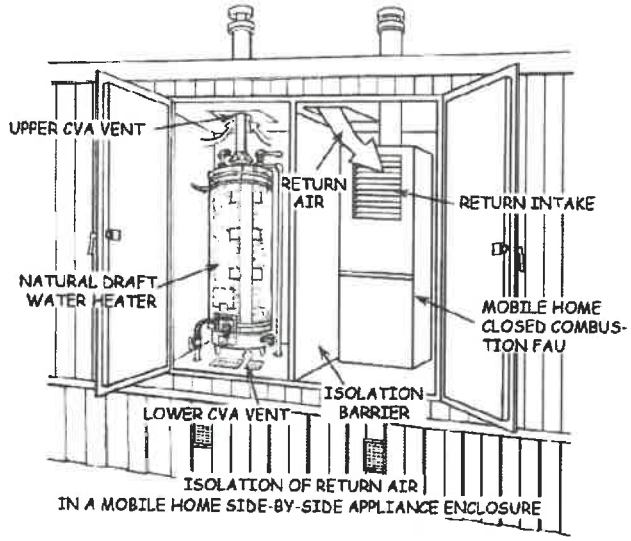
VISUAL INSPECTION – MOBILE HOMES	
MOBILE HOME NON-CONFORMING CONDITIONS	**INSPECTION REQUIREMENTS**

All Mobile Homes (DOE Only)
 	
	Combustion appliances in mobile homes must comply with the US Department of Housing and Urban Development (HUD) *Manufactured Home Construction and Safety Standards*.
	• All combustion appliances installed by or left in place after weatherization in mobile homes must meet these HUD standards, including secondary heating sources.
	• Malfunctioning combustion appliances shall be repaired or replaced before weatherization, or they must be removed.
	  - Note: Not all combustion appliances are served within the CSD WAP, but still would require removal.
	• If an occupant will not allow the removal of any unsafe combustion appliance from the home (includes all combustion appliance types), deferral is required.
	• All fuel-burning appliances must be installed with complete separation of the combustion system from the interior atmosphere of the home (i.e., drawing combustion air from outdoors) and be vented to the outdoors.
	  - Exception: Ranges, ovens, illuminating appliances, clothes dryers, solid fuel-burning stoves, and fireplaces
	• If complete separation cannot be achieved, the appliance must be removed from the dwelling or deferral is required.

Gas Vent Terminals
 
Graphic Credit: RHA,
	• Undercarriage Area: Vent pipes shall not terminate underneath a mobile home.
	• Evaporative Cooler: Water heater and furnace vent pipes located near an evaporative cooler shall terminate at least 3' from the cooler intake.
	• *Exception* for an Inoperable Cooler:
	  - When an evaporative cooler is inoperable, or the property owner wants it abandoned, the vent terminal clearances do *not* apply, if the cooler is removed and the roof opening is sealed.
	• *Exception* for Furnace Vent Pipe Near Cooler: Vent terminal clearance is not required under the following conditions:
	  - All cooler discharge openings are equipped with a vent cover, and
	  - The client is informed of the non-conforming vent termination and advised to keep cover(s) in place during the heating season, and

VISUAL INSPECTION – MOBILE HOMES	
MOBILE HOME NON-CONFORMING CONDITIONS	**INSPECTION REQUIREMENTS**
	- Occupant notification of non-conforming vent is documented in the CSD 700. • If clearance requirements are not met, or corrections cannot be made, Section 5.1 of this appendix shall apply.
Gas Cooking Appliances—Kitchen Ventilation for Mobile Homes  *Graphic Credit: RHA, Inc.*	• A functional kitchen exhaust system and vent to outdoors must be present or feasible to install above or near gas cooking appliances, or Section 5.1 of this appendix shall apply. • Requirement can be met with: - an exhaust fan, or - a passive ventilation duct. • See CSD TRM Section 11 *Kitchen Exhaust* for additional installation details.
Transfer Grille Is Required in Wall or Enclosure Door Separating FAU from the Living Space	• A transfer grille with sufficient NFVA shall be present in the enclosure door/wall that separates the FAU return intake from the living space, as described in **the** CSD TRM Section 8 *Ducting Repair, Sealing, and Insulation*. • If the existing grille is too small, or none is present, corrective action is required or Section 5.1 of this appendix shall apply.  EXAMPLE OF TRANSFER GRILLE REQUIRED TO PROVIDE ADEQUATE RETURN AIR PATH IN THE WALL OR DOOR SEPARATING THE FAU FROM THE LIVING SPACE *Graphic Credit: RHA, Inc.*

VISUAL INSPECTION – MOBILE HOMES

MOBILE HOME NON-CONFORMING CONDITIONS	INSPECTION REQUIREMENTS
Isolation of Return Air  *Graphic Credit: RHA, Inc.*	When a gas water heater and FAU are in adjacent enclosures: • The water heater enclosure shall not be depressurized by an adjacent FAU enclosure that serves as the return plenum. • The "isolation barrier" (partition between the two enclosures) must be complete and intact and must totally isolate the two appliances. • When the enclosure partition is not complete and intact, that is a CAS Hazard. • Corrective action is required, or Section 5.1 of this appendix shall apply. - Any condition (e.g., a defective isolation barrier) that allows pollutants to be drawn into the FAU return shall be corrected, including for duct sealing. - Air leaks between the living space and the FAU and water heater enclosures shall be sealed via an intact, complete isolation barrier. - If complete isolation cannot be achieved (is unfeasible and beyond the scope of the program), Section 5.1 of this appendix shall apply, and a CSD 542 Deferral Form" shall be completed

10.6 TABLE: VISUAL INSPECTION - VENT SYSTEMS

Assessors shall check for each of the following additional defect conditions in all vent systems. Each of the conditions below is considered a **CAS Fail**, unless noted as being a **CAS Hazard**. Infiltration-reduction measures shall not be installed until ***the Fail or Hazard is first repaired by the client or by the weatherization program***.

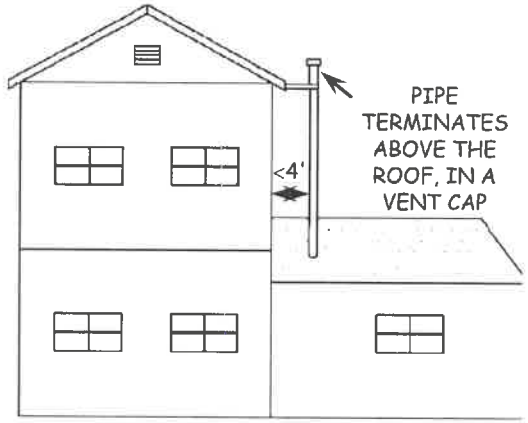
VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS	
VENT SYSTEM AND DRAFT HOOD ABNORMALITIES	**INSPECTION REQUIREMENTS**
All Appliances *Photo Credit: RHA, Inc.*	• Non-conforming vent systems shall be corrected before infiltration-reduction measures will be installed. Corrective action is required or Section 5.1 of this appendix shall apply. - Visual inspection includes checks for vent system defects in both fail categories. - Note: A vent system Fail is a "non-conforming" condition that does not cause CO to enter the home, and a Hazard is a condition that does cause CO to enter the home. **CAS Hazards**, *which requires correction within 18 hours,* include the following: • A vent system with a section missing, disconnected joint, hole, crush/obstruction, draft hood defect, or any other condition that adversely affects draft and causes combustion byproducts to enter the home. • A vent termination (most commonly that of a water heater) that is too close to an evaporative cooler intake. **CAS Fails**, *which require correction within 20 business days*, include the following non-hazardous vent defects, when they do not cause CO to enter the home: • Misaligned draft hood, multiple draft hoods, or no draft hood, *without* spillage. • Vent pipe needing screws due to loose/unsafe joint, or a defective/missing vent cap. • Single-wall pipe installed where double-wall pipe is required (e.g., in an attic or outdoors). • Damper in fireplace with gas log not blocked partially open, when the gas log is the home's primary heat source. • Inadequate clearance to combustibles causing visible evidence of a fire danger, including charring of wood, melting of foam insulation, etc. • Connection to a solid-fuel appliance chimney.
Clearance to Combustibles 	Corrective action is required or Section 5.1 of this appendix shall apply. • Newly installed single-wall pipe shall have 6" clearance to combustibles (wood framing, drywall, etc.). • Newly installed double-wall pipe clearance is as specified by the manufacturer, usually at least 1". • When clearance is less in *existing* vents, agencies or their subcontractors shall deem this an Advisory Condition. • Code-specified clearances are required for newly-installed vent system components.

VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS	
Combustion Appliance Vented to a Masonry Chimney	• (DOE only) If weatherization installs an appliance where the existing appliance was vented into a masonry chimney, the chimney must be lined in compliance with the International Fuel Gas Code (IFGC), California Mechanical Code, and local code (if more stringent).

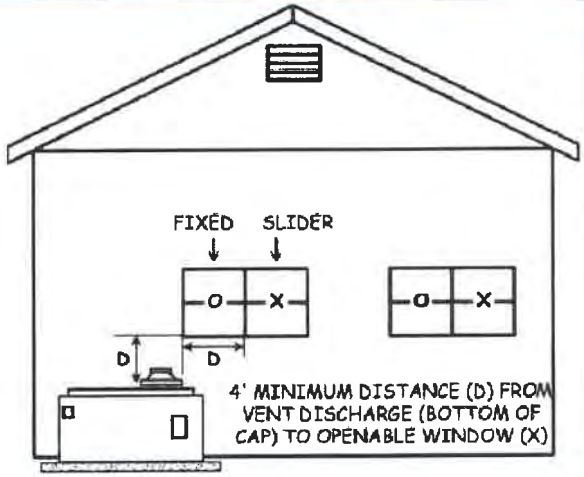
VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS

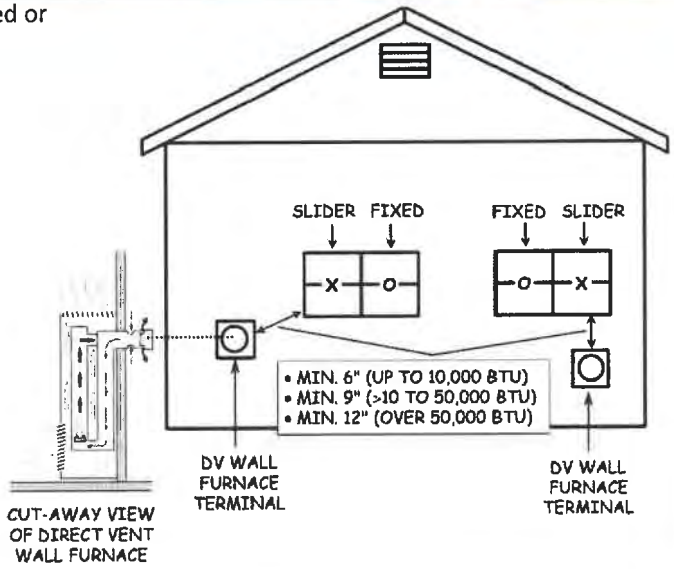
VENT SYSTEM AND DRAFT HOOD ABNORMALITIES (CONT.)	INSPECTION REQUIREMENTS
Vent System Materials and Repairs DOUBLE-WALL (TYPE B) PIPE SINGLE-WALL VENT PIPE *Graphic and Photo Credit: RHA, Inc.*	• Single-wall pipe is called a "vent connector". It is used to connect a vented appliance to a double-wall pipe, known as "Type B" vent pipe. • A single-wall pipe vent connector is allowed only up to the ceiling or over to a wall, where it connects to a Type B vent pipe. The connection at a ceiling is usually in a "support box", and at a wall in a "thimble". • Double-wall pipe must extend: - Beyond the ceiling and through the attic to outdoors, and - Beyond a wall and up to a vent termination above the roof. • All-single wall vent pipe joints and connections shall be secured with 3 sheet metal screws (spaced as evenly as possible) where 1) existing connections are loose and unsafe, or 2) new components are installed. • Type B-vent pipe connections/joints shall not be drilled or have screws installed, unless allowed by the pipe manufacturer. • New vent system installations shall conform to local code. • Vent pipe material used/located incorrectly is an **Advisory Condition**, *unless* the vent pipe requires correction for a **CAS Fail** condition. Corrective action for the CAS Fail is required or Section 5.1 of this appendix shall apply.
Draft Hood Defects *Photo Credit: Long Beach CAP*	All natural draft appliances have a draft hood. One purpose is to introduce "dilution air" into the vent system to help create and maintain proper drafting. Commonly-found draft hood defects include the following: • Misaligned (usually on a water heater). - The draft hood "feet" are not where they belong, and the draft hood is not centered over the flue. - This can usually be corrected by moving the draft hood into its correct position, and securing one or more feet with a sheet metal screw. - If the vent pipe does not line up with the draft hood, it may be necessary to install an offset (adjustable elbow) in the vent pipe (or on top of the draft hood). • Missing or doubled (stacked) draft hoods. - The draft hood being missing is usually because a new tank was installed that is taller than the old one. Rather than shortening the vent pipe, the draft hood was eliminated. - The draft hood being doubled is usually because a new tank was installed that is shorter than the old one. Rather than lengthening the vent pipe, the new draft hood was installed on top of the old one. • These conditions are all CAS Fails. If spillage is occurring, that is a CAS Hazard. Corrective action is required or Section 5.1 of this appendix shall apply.

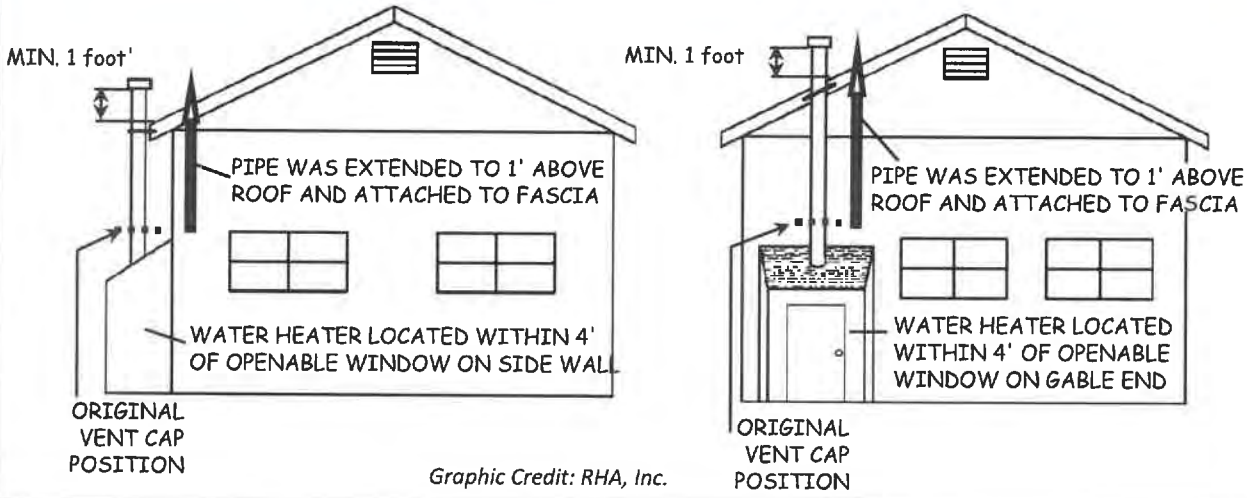
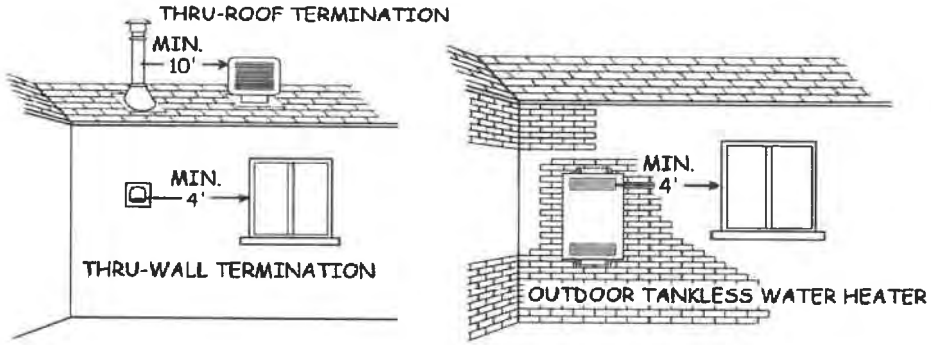
VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS	
VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS	
PROPER (CORRECT) VENT TERMINATIONS	
Vent Terminations— Existing and Newly-Installed	• See an overview of program criteria, based on CMC requirements, in Table 10.6.1. Note that requirements differ by appliance type, location of the vent pipe, and type of home (conventional or mobile).
Correct Positioning— EXISTING Standard Vent Pipe	***Existing Vents that Penetrate a Roof:*** • The existing vent pipe may terminate less than 1 foot above the roof, as long as it extends through the roof and the appliance passes draft test and spillage check. • It is a **CAS Fail** if the appliance does not pass draft test and spillage check (regardless of vent terminal location). ***Existing Vents Near a Wall*** • A vent pipe located *at least* 4 feet way from a wall is not required to terminate above the wall. • A vent pipe located *less than* 4 feet away from a wall must terminate above the roof. If it does not, that is a CAS Fail. • It is also a CAS Fail when any vent pipe terminates less than: ▪ 4-feet below or to the side of, or 1-foot above, an operable door or window. • Corrective actions are required or Section 5.1 of this appendix shall apply.



Graphic Credit: RHA, Inc.

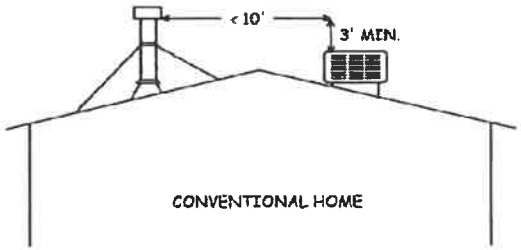
VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS	
Gas Vent Terminals—Below a Door or Window (Clearances in Feet)	Corrective action if clearance is not met when required or Section 5.1 of this appendix shall apply. *Graphic Credit: RHA, Inc.* 

VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS	
Gas Vent Terminals—Direct Vent Appliances (Clearances in Inches)	Corrective action if clearance is not met when required or Section 5.1 of this appendix shall apply. *Graphic Credit: RHA, Inc.* 

VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS	
Gas Vent Terminals— Outdoor Water Heaters	Corrective action if clearance is not met when required or Section 5.1 of this appendix shall apply.  *Graphic Credit: RHA, Inc.*
Clearances for— Gas Tankless Water Heaters	Corrective action if clearance is not met when required or Section 5.1 of this appendix shall apply.  *Graphic Credit: RHA, Inc.*

VISUAL INSPECTION OF VENT SYSTEMS—ALL DWELLINGS

Gas Vent Terminals—
Near A Cooler or Mechanical Vent Inlet



Graphic Credit: RHA, Inc.

Water Heater Vent Terminals—CONVENTIONAL HOMES

- Vent terminal located within 10' of a forced air (fan-driven) or mechanical vent inlet shall terminate at least 3'above it—unless the cooler is removed and roof opening is sealed.
- Corrective action if clearance is not met when required or Section 5.1 of this appendix shall apply.

Furnace Vent Terminals

- Applies to all open and closed combustion appliances, *except* direct vent wall furnaces.
- A furnace vent terminal located within 10' of an inlet shall terminate at least 3' above the inlet.
- Corrective action if clearance is not met when required or Section 5.1 of this appendix shall apply.
- *Exceptions*: Clearances not required when:
  - All cooler discharge openings are equipped with a vent cover, or
  - The cooler shares the duct system with the FAU, and there is present a functional damper that isolates the cooler from the duct system during the heating season, or
  - The cooler is removed and the roof opening is sealed (e.g., when cooler is inoperable).
- When the exception applies, occupants shall be informed of it and advised that, during the heating season, they should do whichever of the following applies:
  - Keep the vent cover(s) in place, or
  - Keep the damper completely closed to isolate the cooler.
- Non-conforming vent termination shall be documented in the CSD 700 and occupant shall be notified.

10.6.1 TABLE: VISUAL INSPECTION–PRE-EXISTING VENT PIPE—EVALUATION AND CORRECTION REQUIREMENTS†

***REMINDER**: Corrective action is required if clearance is not met when required, or Section 5.1 of this appendix shall apply.

Appliance Type	Vent Location	Applies to	CAS FAIL Condition*	Termination Requirement	Additional Requirements
Natural Draft	Vertical pipe terminates **at least 4'** from a wall/ obstruction^.	Vent pipes that pass through the **roof**.	CAS Fail*, if vent pipe terminates less than 1 foot above the roof and the appliance fails draft and spillage checks.	• Not required to extend a full foot above the roof, IF the appliance passes draft and spillage checks.	• Vent cap required*.
	Vertical pipe terminates **<4'** from a wall.	Vent pipes that pass through a **wall** or terminates <4' from a wall.	CAS Fail*, if vent pipe terminates below roof.	• Shall extend vertically and terminate above the roof. • Note: Vent terminals <4' from an openable door, window, or gravity air inlet into the building must extend above roof.	• Vent cap required*.
	Vertical pipe terminates **<4'** from a wall/obstruction^ (e.g., 2nd story wall).	Vent pipes that pass through a **roof** (e.g., garage roof) near a wall.	CAS Fail*, if vent pipe terminates less than 2-feet above the roof and the appliance fails draft and spillage checks.	• Vent pipe is not required to extend 2' above the roof, IF the appliance passes draft and spillage checks.	• Vent cap must be present and located higher than the adjacent roof*.
	Horizontal pipe in sidewall.	Vent pipe passes through a **wall**.	CAS Fail*, if outdoor pipe is single-wall or vent pipe terminates below roof.	• Double-wall pipe or thimble shall extend through the wall and terminate in vent cap. • Outside the wall, double-wall pipe must turn 90° and extend above the roof.	• If single-wall is *corrected**, it must be replaced with double-wall pipe that extends upward to 2' higher than any portion of the building within 10'.
Other Combustion Types	Terminates **<4'** from a wall	• Package units (integral vent). • Induce draft. • Power vent. • Outdoor tankless water heater (no vent pipe).	CAS Fail*, if termination is nonconforming and not corrected.	Gas vents shall terminate no closer to a door, window, or gravity air inlet into the building, than the following minimum distances: • 4' below, or 4' horizontally from, or • 1' above.	• Vent cap required on induced draft and power vent units*. • Note: Package FAU and outdoor tankless units—correction requires moving the appliance or eliminating the opening/inlet into the building.
	Vent Pipe (horizontal) extending through sidewall.	• Power vent. • 90+ closed combustion (condensing furnace).	CAS Fail*, if termination is nonconforming and not corrected.	• If so designed, may terminate directly outside the wall (upward extension not required). • Must have 4'/4'/1' clearances from door, window, or gravity inlet (see criteria above).	• Vent must terminate in accordance with manufacturer's instructions. • May be directed downward and have no vent cap.
		• Direct vent wall furnace.	CAS Fail*, if terminal requirement is not met and not corrected.	Direct vent wall furnace terminal shall be at least the following minimum distances for any air opening into the building: • 6″ for inputs up to 10 kBtu. • 9″ for inputs up to >10 kBtu up to 50 kBtu. • 12″ for inputs over 50 kBtu.	• Listed vent terminal must be in place*. • Note: Clearance *exceptions* for direct vent wall furnace terminals near an evaporative cooler are illustrated in Table 10.6.

Appliance Type	Vent Location	Applies to	CAS FAIL Condition*	Termination Requirement	Additional Requirements
Outdoor Storage Water Heater Vent	Vent pipe terminates below the roof, in a location that affects the living space.	• Storage water heater located adjacent to a dwelling wall (e.g., in a small enclosure near or against a side/end wall).	• Outdoor vent is single-wall pipe*. • Vent is less than 1' above roof or within 4' of an operable door or window*. • Vent cap is missing*.	Must terminate at least 1' above the roof and be: • Secured to the fascia or penetrate the roof and flashing. • In conformance with local code. • If offsets are used, offsets shall not exceed 45°, except one 60° offset is allowed.	• Vent cap required*. • Type-B vent pipe (double-wall) is required*. • If offsets are used, offsets shall not exceed 45°, except one 60° offset is allowed.
Outdoor Tankless Water Heaters	Vent pipe terminates below the roof, in a location that affects the living space.	• All outdoor tankless water heaters with vent pipe.	• Outdoor vent is single-wall*. • Vent terminal less than 1' above roof or within 4' or an operable door or window*. • Vent cap is missing*.	• More than 4' below or to the side of, or 1' above, operable door or window, or • Manufacturer's specifications, if different.	• Vent cap required*. • When correction to the existing vent is required, the vent type shall be in accordance with the manufacturer's requirements.
	Outlet at top of outdoor tankless water heater.	• All outdoor tankless water heaters with NO vent pipe.	• Unit is within 4' of an operable door or window*. • Unit is within 10' of, and less than 3' above, a forced air (fan-driven) intake*.	• Unit is at least 10' away from, or at least 3' above, a forced air (fan-driven) intake. • More than 4' below or to the side of, or 1' above, operable door or window, or • Manufacturer's specifications, if different.	• N/A (Correction requires moving the appliance.)
Indoor Tankless Water Heaters	Vent pipe terminates below the roof in a location that affects the living space.	• Indoor tankless water heater with a vertical vent.	• Outdoor vent is single-wall pipe*. • Vent terminal less than 1' above roof or within 4' or an operable door or window*. • Vent cap is missing*.	• Vent must extend through roof and terminate in a listed vent cap or roof assembly. • When vent is located less than 4' from a wall, must terminate in a vent cap located higher than the adjacent roof.	• Vent cap required*. • When correction to the existing vent is required, the vent type shall be in accordance with the manufacturer's specifications.
		• Indoor tankless water heater with a horizontal vent.	• Outdoor vent is single-wall pipe. • Vent terminal < 1' above roof or within 4' of operable door/window*. • Natural draft vent does not slope upward at least 1/4" per foot of horizontal run*. • Vent cap is missing*.	• More than 4' below or to the side of, or 1' above, operable door or window into the living space, or • Manufacturer's specifications, if different.	• Vent cap required*. • When correction to the existing vent is required, the vent type shall be in accordance with the manufacturer's requirements.
Gas Vent Terminals Near a Forced Air (Fan-Driven) Inlet	• Too close to an **evaporative cooler** or mechanical vent inlet.	• Water heater vent terminals.	Home is NIM* ***except*** when: • Inoperable cooler is removed and roof opening is sealed.	• A water heater vent pipe located within 10' of a forced air (fan-driven) air inlet shall terminate at least 3' above it. For Mobile Homes, see table in Section 10.5.	• N/A
	• Near a forced air inlet (mechanical vent).	• Space heater vent terminals. • Applies to all open and closed combustion appliances, **except** direct	Home is NIM* ***except*** when: • All cooler discharge openings are equipped with a vent cover, or • Cooler shares duct system with the FAU, and there is a functional damper	• A space heater vent pipe located within 10' of a forced air (fan-driven) inlet shall terminate at least 3' above it. For Mobile Homes, see table in Section 10.5.	When a space heater vent termination does not meet 10'/3' clearances, inform client of non-conforming condition and advise that, during the heating season, they should (as applicable): • Keep the vent cover(s) in place, or

Appliance Type	Vent Location	Applies to	CAS FAIL Condition*	Termination Requirement	Additional Requirements
		vent wall furnaces. (See "Direct Vent" section.	that isolates the cooler from the duct system during the heating season, or • Inoperable forced air unit is removed and the roof opening is sealed.		• Keep the damper completely closed to isolate the cooler. • Document client notice in CSD 700.

† When correction includes installation of new vent pipe, the pipe type, vent cap, and terminal location must comply with local code. A permit must be obtained, when required by the local jurisdiction.
^ An "obstruction" is any surface angled more than 45 degrees above horizontal (e.g., wall, dormer, etc.).

10.6.2 TABLE: VISUAL INSPECTION–VENT CLEARANCES (NEW VENTS)

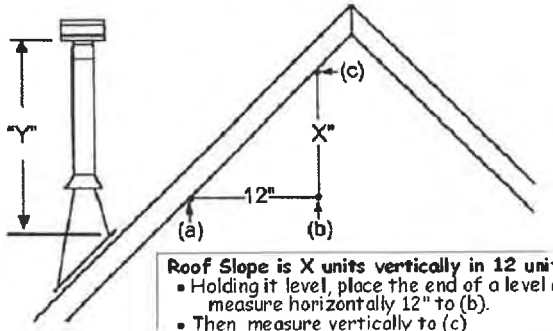
NEWLY-INSTALLED VENT PIPES FOR NATURAL DRAFT APPLIANCES—INSTALLATION REQUIREMENTS†

Type of Vent	Vent Location	Applies To	Installation Requirement	Additional Requirement
Natural Draft Vent	• As required by code and the local jurisdiction.	• For slopes up to 6/12.	• Must extend at least 1' above roof.	• Must be installed in conformance with manufacturer's instructions and local code.
		• For slopes greater than 6/12.	• Extension above the roof must comply with CMC Chapter 8, part of which is illustrated in the table below. • Height above roof is measured from the roof on the high side to the bottom of the exhaust opening (see below).	

† When correction includes installation of new vent pipe, the pipe type, vent cap, and terminal location must comply with local code. A permit must be obtained, when required by the local jurisdiction.

VENT HEIGHT FOR SOME ROOF SLOPES

ROOF SLOPE ("X" IN 12)	MIN. HT. ABOVE ROOF (DISTANCE "Y")	ROOF SLOPE ("X" IN 12)	MIN. HT. ABOVE ROOF (DISTANCE "Y")
Flat to 6/12	1'-0" (12")	>9/12 to 10/12	2'-6" (30")
>6/12 to 7/12	1'-3" (15")	>10/12 to 11/12	3'-3" (39")
>7/12 to 8/12	1'-6" (18")	>11/12 to 12/12	4'-0" (48")
>8/12 to 9/12	2'-0" (24")	>12/12 to 14/12	5'-0" (60")



Roof Slope is X units vertically in 12 units *horizontally*
- Holding it level, place the end of a level at (a), and measure horizontally 12" to (b).
- Then, measure vertically to (c)
- The vertical distance from (b) to (c), which is X, determines roof slope
- If X is 4", roof slope is 4/12 if X is 6", roof slope is 6/12, and so on.

Step 3

CVA EVALUATION

REMEMBER: If any CAS Hazard or CAS Fail condition is identified that cannot be corrected:

- (DOE Program or dwelling leveraged with DOE) The dwelling shall be DEFERRED.
- (LIHEAP) The dwelling shall be NIM (non-infiltration reduction measures) only.

11. CVA Requirements

Photo Credit: RHA, Inc.

Assessors and field crews must evaluate existing combustion and ventilation air (CVA) to ensure safe operation of open combustion appliances. CVA shall:

- Comply with CSD guidelines (unless superseded by manufacturer's instructions or local code).
- Be corrected, if non-conforming or inadequate.

There are five (5) steps to evaluate an appliance for CVA:

1. Identify all open combustion appliances at a dwelling.
2. Verify CVA source for each appliance. Does the air come from indoors, outdoors, or a combination?
3. Determine the minimum CVA required for each existing appliance.
4. Measure and calculate how much CVA is pre-existing.
5. Determine when additional CVA is needed; and if so, how much?

11.1 WHAT IS THE PURPOSE OF CVA?

CVA is needed in the appliance burner and combustion chamber ("combustion air") for a proper flame, and in the vent pipe ("dilution air") for proper drafting of combustion gasses.

- When there are both "upper" and "lower" CVA vents, combustion air enters the appliance enclosure primarily through the lower vent. Ventilation air vents heat and combustion gases out of the enclosure through the upper CVA vent.
- When there is "upper-only" CVA venting, that vent provides both combustion and ventilation air.
- The higher the Btuh Input rating is for an appliance, the greater the amount of CVA that is needed.

11.2 CVA CLIENT EDUCATION

In addition to understanding how to evaluate CVA and determine what corrections must be made, weatherization workers must also be able to explain CVA corrections to clients.

Photo Credit: WAPTAC.org

- Explain that gas appliances need "combustion air" to operate properly (to "breathe")—and that their appliance(s) do not presently have enough.
- Describe what must be done to correct the deficiency, such as:
  - For outside air, install larger vents to outdoors, or
  - For indoor room volume, install vents into an adjacent room (or install a louvered door, or permanently remove the solid door).
  - If the client resists taking feasible corrective action—or if correction is not possible—explain that infiltration-reduction measures shall not be installed.

- Always get agreement from the occupants, and written permission from the owner (or rental agent), before installing CVA vents or changing/removing a door.

Note: Because of the potential danger to occupants from CO poisoning, air sealing measures shall not be installed when CVA is not sufficient. Corrective action is required, or Section 5.1 of this appendix shall apply.

11.3 IDENTIFY APPLIANCE TYPE

CVA requirements apply to open combustion appliances that draw combustion air from the room/enclosure/space in which they are located. For each appliance in the living space listed below, you must perform a CVA evaluation:

- Open combustion furnace/heater
- Open combustion water heater
- Cooking appliances (for homes constructed from 2008 to the present time).

Open combustion appliances include "Natural Draft" (with a draft hood) or "Induced Draft" (with an inducer fan instead of a draft hood).

Figure 11.3.1 Natural Draft Furnace

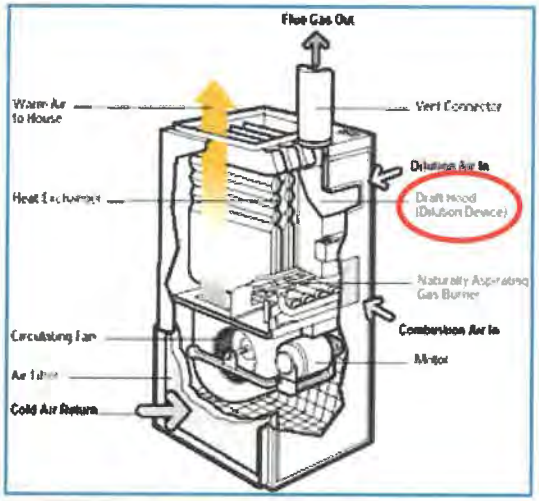
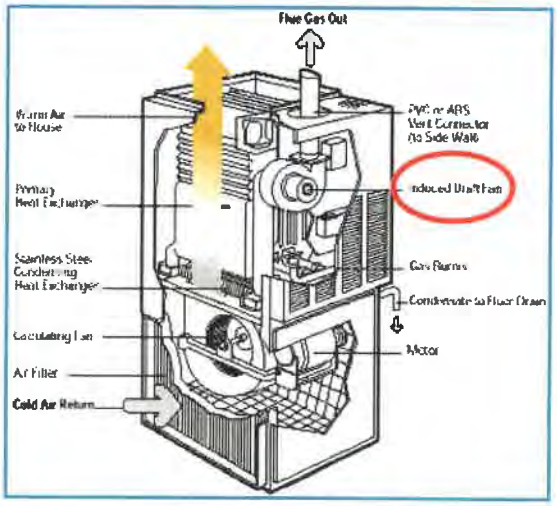


Figure 11.3.2 Induced Draft Furnace



11.4 SOURCES OF COMBUSTION AIR

The following are combustion air sources:

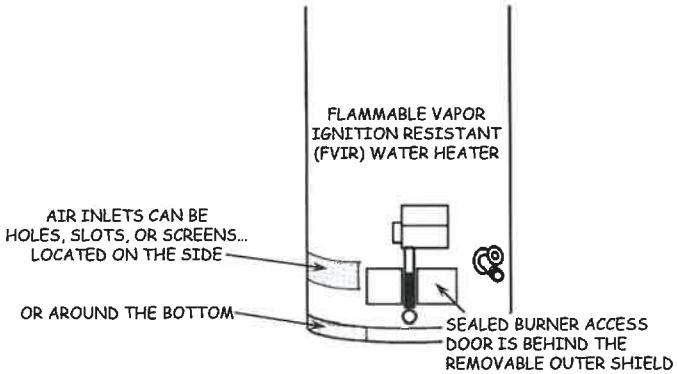
- Indoors—combustion air is based on *room volume* where the appliance is located.
- Outdoors—combustion ventilation air is supplied through CVA vents/grilles and ducts, which are sized to have the correct amount of "net free venting area" (NFVA). Where applicable and an appliance is replaced, combustion air shall be provided from the outdoors and installed in accordance with the 2012 IRC, manufacturer specifications, and additional applicable codes for the type of appliance installed.

- Both indoors and outdoors. This is a very undesirable condition when the appliance is in the living space, because a vent/duct to outdoors is actually a large shell leak. When possible within the scope of the program, CVA must be corrected to make all combustion air come from indoors or all from outdoors, for appliances located within the thermal envelope.

11.5 VISUAL EXAMINATION OF ALL EXISTING CVA VENTS

During the initial CVA evaluation, make sure to check and clear vents (or ducts) of obstructions like insulation, lint, animal hair, etc.

- Any obstructions must be removed during the home's assessment to ensure that combustion appliances are functioning properly during the CAS tests.
- Existing CVA vents to outdoors must also be evaluated to determine if they meet the requirements listed in Section 11.7 or require correction.
- Note: FVIR water heaters are very sensitive to obstruction to combustion air inlet vents. Check and clean inlets during the CVA evaluation. Occupants must be educated by the Assessor about how to clean the intakes and why it is important to clean them regularly.



Graphic Credit: RHA, Inc.

11.6 MINIMUM INDOOR CVA

11.6.1 HOW MUCH CVA IS REQUIRED?

Each room, enclosure, or space containing one or more open combustion appliance must provide a minimum room volume of 50 cu. ft. per 1,000 Btuh total input. The space where the appliance is located is called the "combustion appliance zone" or just "zone".

MINIMUM CVA	INSUFFICIENT CVA
At least 50 cu. ft. of room volume per 1,000 Btuh input	Less than 50 cu. ft. of room volume per 1,000 Btuh input

- When a zone has *at least* the minimum room volume, combustion air is adequate, and nothing needs to be done.
- When room volume of a zone is *less than* 50 cu. ft. per 1,000 Btuh total input, there is *insufficient* CVA volume
- If a client refuses to allow CVA to be corrected or added, Section 5.1 of this appendix shall apply.

To calculate indoor CVA, use the Sections 11.6.2 through 11.6.6 below.

11.6.2 CALCULATE INDOOR ROOM VOLUME

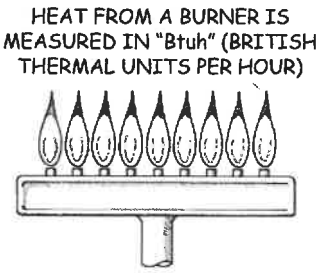
Indoor CVA is based on cubic feet of volume of the *indoor* room (zone) containing one or more appliances. To calculate room volume, multiply floor area times ceiling height.

- A 10'x 10' room with 8-foot ceiling has a volume of 800 cu. ft. (10 x 10 x 8 = 800).

If the CVA is insufficient, more room volume must be added—by venting into adjacent room(s).

11.6.3 CALCULATE INDOOR CVA

The minimum CVA requirement is based on the total Btu per Hour Input or "Btuh" of the appliance(s) inside an enclosure, room, or space. The Btuh Input can be read on the manufacturer's nameplate.



Graphic Credit: RHA, Inc.

- To calculate the existing indoor CVA, divide the Btuh input by 1,000. (Example: an 80,000 Btuh furnace ÷ 1,000 = 80 KBtuh); then multiply the KBtuh by 50 to determine the minimum amount of room volume that is required for the appliance(s).

Using the equation below, 80 (kBtuh) X 50 = 4,000 cu. ft.

TABLE 11.6.3.1—CVA FROM INDOORS

Application	CVA Requirement
All air from **indoors**, based on **room volume**	**Minimum Room Volume = KBtuh x 50**

There is a method called the "Known Air Infiltration Rate Method", which may be used when shell leakage is high. This method may reduce acceptable room volume to as little as 35 cu. ft. per 1,000 Btuh. Shell leakage CFM_{50} is used in the calculation, so a blower door test is required. More information is provided in Section 11.6.4.

When the nameplate is missing or illegible for an appliance, use the *default* Btuh values provided below. This table also appears in Section 17.

TABLE 11.6.3.2—DEFAULT BTUH VALUES

Appliance Type	Default Btuh Input Rating
Forced Air Furnace	• 25,000 Btuh per burner
Wall Furnace	• Single Sided: 35,000 Btuh • Double Sided with two burners: 60,000 Btuh
Floor Furnace	• Standard: 30,000 Btuh (usually 22" wide) • Large: 60,000 Btuh (usually wider than a single floor-joist bay)
Free-Standing (Room) Heater	• Small (up to 25" wide): 25,000 Btuh • Standard (26" to 32" wide): 50,000 Btuh • Large (34" or wider): 60,000Btuh
Gas Fireplace Unit	• 40,000 Btuh
Water Heater	• 1,000 Btuh per gallon
Cooktop Burners and Griddle	• 10,000 Btuh per burner
Oven	• 20,000 Btuh per burner

11.6.4 "KNOWN AIR INFILTRATION RATE" OPTIONS FOR INDOOR CVA VOLUME

When indoor CVA room volume is less than 50 cu. ft. per 1,000 Btuh, and installing CVA vents into adjacent spaces is not an option, it may be possible that a *smaller* room volume is acceptable.

- You must perform a blower door test, and then convert CFM_{50} shell leakage to "air changes per hour" (ACH), which is at natural pressure.
- The following table takes you step-by-step through the process.

TABLE 11.6.4: KNOWN AIR INFILTRATION RATE METHOD TO REDUCE CVA ROOM VOLUME

STEP #1: Calculate Actual ACH

Convert CFM50 to ACH at natural pressure.

1. Calculate "Interior Volume" of the dwelling.
   a. Use interior dimensions, or measure outdoor dimensions and subtract for wall thickness.
   b. Interior Volume (cu. ft.) = (floor area in sq. ft.) x (ceiling height in feet).

2. Use a Blower Door to measure CFM_{50} shell leakage, and calculate ACH to two decimal points. Use only one of the following equations:

Equation 1 for a **1-Story** Dwelling:

$$\textbf{ACH} = \frac{\textbf{(CFM}_{50}\textbf{) x 2.61}}{\textbf{cu. ft.}} = \frac{(CFM_{50}) \times (\text{1-story factor})}{\text{Interior Volume}}$$

Equation 2 for a **2-Story** Dwelling:

$$\textbf{ACH} = \frac{\textbf{(CFM}_{50}\textbf{) x 3.26}}{\textbf{cu. ft.}} = \frac{(CFM_{50}) \times (\text{2-story factor})}{\text{Interior Volume}}$$

Equation 3 for **3 Stories** or higher:

$$\textbf{ACH} = \frac{\textbf{(CFM}_{50}\textbf{) x 3.73}}{\textbf{cu. ft.}} = \frac{(CFM_{50}) \times (\text{3-story factor})}{\text{Interior Volume}}$$

Example for 1-story dwelling: Assume 1,000 sq. ft. of floor space, 8' ceilings, and 1,200 CFM_{50} shell leakage.

$$\text{ACH} = \frac{1{,}200 \times 2.61}{(1{,}000 \text{ sq. ft.}) \times (8 \text{ ft.})} = \frac{3{,}132}{8{,}000} = 0.3915 = \textbf{0.39 ACH}$$

Definitions for "Known Air Infiltration Rate Method" Equations 4 and 5

In the nest two equations, the following abbreviations are used:

I_{Nat}	= Input in Btuh* for Natural Draft appliances.
I_{Fan}	= Input in Btuh* for Induced Draft appliances (with inducer fan).
ACH	= air changes per hour** *Maximum 0.60 ACH may be used in volume calculations.*

* When using these equations, "Input in Btuh" is the total for the gas appliances drawing combustion air from the room/space, which include: **space heater(s), water heater(s), cooktop, and oven.**

** The volume of indoor air changed in an hour compared to the total volume of air in the building, expressed as a decimal.

Continued on next page.

STEP #2(A): Known Air Infiltration Rate Method—Natural Draft Appliances

1. For Natural Draft appliances, use the equation below to calculate the required volume for CVA.

Equation 4:

$$\textbf{Required Volume}_{Nat} = \frac{\textbf{21 cu. ft.}}{\textbf{ACH}} \times \frac{\textbf{I}_{Nat}}{\textbf{1,000 Btuh}}$$

2. Note: 0.60 ACH is the maximum infiltration rate allowed in the calculation, and ***35*** *cu. ft. per 1,000 Btuh Input is the smallest acceptable volume for* ***Natural*** *Draft appliances,* regardless of calculation result.

3. Example: Assume infiltration is 0.50 ACH and total Natural Draft Input is 100,000 Btuh.

$$\text{Required Volume}_{Nat} = \frac{21 \text{ cu. ft.}}{0.50} \times \frac{100{,}000 \text{ Btuh}}{1{,}000 \text{ Btuh}} = 4{,}200 \text{ cu. ft.}$$

By knowing the infiltration rate from a Blower Door test and using Equation 4, the required volume is *reduced* 16% to just 4,200 cu. ft. for this sample natural draft appliance.

STEP #2(B): Known Air Infiltration Rate Method—Induced Draft Appliances

1. For Induced Draft appliances, use the equation below to calculate the required volume for CVA.

Equation 5:

$$\textbf{Required Volume}_{Fan} = \frac{\textbf{15 cu. ft.}}{\textbf{ACH}} \times \frac{\textbf{I}_{Fan}}{\textbf{1,000 Btuh}}$$

2. Note: 0.60 ACH is the maximum infiltration rate allowed, and **25** cu. ft. per 1,000 Btuh Input is the smallest required volume allowed for **Induced** Draft appliances, regardless of calculation result.

3. Example: Again assume infiltration is 0.50 ACH and total Input is 100,000 Btuh.

$$\text{Required Volume}_{Nat} = \frac{15 \text{ cu. ft.}}{0.50} \times \frac{100{,}000 \text{ Btuh}}{1{,}000 \text{ Btuh}} = 3{,}000 \text{ cu. ft.}$$

By knowing the infiltration rate from a Blower Door test and using Equation 5, required volume is *reduced* 20% to just 3,000 cu. ft. for this sample induced draft appliance.

STEP #2(C): Both Natural Draft and Induced Draft Appliances In the Same Space

When both a Natural Draft appliance and an Induced Draft appliance draw combustion air from the same room or space, do the following:

1. Calculate required volume for the Natural Draft appliance.
2. Calculate required volume for the Induced Draft appliance.
3. Add the two volumes together to determine the total Required Volume for both appliances.

11.6.5 WHEN ADDITIONAL INDOOR ROOM VOLUME IS NEEDED

When existing indoor room volume is not sufficient—less than 50 cu. ft. per 1,000 Btuh—additional room volume must be added—or the condition is a CAS Fail. Corrective action is required, or Section 5.1 of this appendix shall apply.

First, use this equation:

(Required CVA Volume) – (Existing CVA Volume) = Additional CVA Volume Needed.

Then, the Equation below tells you how to properly size upper and lower CVA vents into adjacent space(s). The volume of the additional room(s) is then added to the volume of the room containing the appliance.

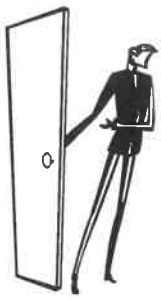
TABLE 11.6.5.1— MINIMUM CVA FROM INDOORS

Application	CVA Requirement
All air from **indoors**, with 1 Upper vent and 1 Lower vent venting to another interior room/space	When volume of a room/space containing an appliance is insufficient: • An Upper and a Lower vent shall be installed into adjacent space with sufficient volume. • Each vent must provide **1 sq. in. NFVA per 1,000 Btuh input**, with a *minimum size* of **100 sq. in.** per vent. **NFVA = 100 + # of KBtuh above 100**

Example: Required CVA room volume is 2,500 cu. ft., and existing (open area) room volume is 2,000 cu. ft.

- Using the equation above: (2,500) – (2,000) = 500 cu. ft., the amount of additional CVA volume required.
- If feasible, correct the condition by installing upper and lower 100 sq. in. NFVA CVA vents ("transfer grilles") into an adjacent room (or rooms) that can provide at least 500 cu. ft. of additional volume.

TABLE 11.6.5.2— CORRECTIVE ACTIONS FOR OBTAINING ADDITIONAL INDOOR CVA



To increase the amount of available CVA, it is required to do one of the following:

- Enlarge existing vents, or add additional upper and lower vents.
  - Minimum dimension of indoor CVA vents and ducts shall be no less than 3 inches. For example:
    - For a vent size of 30 sq. in., you can install a 3" x 10" vent or duct, but not a 2" x 15".
    - Round vents or ducts must have a minimum diameter of 3".
- Replace the solid door with a louvered door.
- Permanently remove the solid door (in accordance with quality standards).

When removing a door to provide additional indoor CVA, the following requirements shall be met:

- All hinges shall be removed from the jamb.
- Mortise holes left by hinge removal shall be patched neatly.
- When touch-up paint is available from the client, at least one coat shall be applied.

When written permission is obtained from the owner (landlord or agent, if a rental), the removed door shall be taken away from the premises, and the client permission stored in the client file.

11.6.6 MOBILE HOME INDOOR CVA REQUIREMENTS

CVA requirements for mobile homes depend upon the types and locations of the appliances. Here is one specific standard related to indoor combustion air that applies to mobile homes for Space and Water Heating Appliances Drawing CVA from the Living Space:

- Infiltration-reduction measures shall not be installed, *unless* all of the following requirements are met for the mobile home:
  - Volume of the space supplying combustion air shall be at least 50 cu. ft. for each 1,000 Btuh input, and
  - The combustion appliance zone (CAZ) for each appliance is tested according to this protocol; and
  - Negative pressure in CAZ does not exceed the House Depressurization Limit (HDL).

11.7 MINIMUM OUTDOOR CVA

Many appliances are in small enclosures, garages, or other spaces, so they must get sufficient CVA from outdoors. Assessors must ensure that pre-existing vents provide the required net free venting area (NFVA). Minimum amount of CVA depends upon whether the existing vent(s) are:

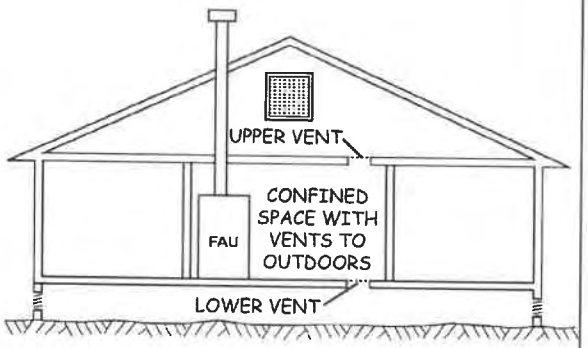
- Upper only
- Upper and lower vents or vertical ducts; or
- Upper and lower horizontal ducts.

If the existing vents do not meet the minimum of 50 cu. ft. per 1,000 Btu, the vents must be enlarged, or additional NFVA vents shall be installed, in accordance with the Table 11.7.2.

11.7.1 VISUAL EXAMINATION OF OUTDOOR CVA VENTS

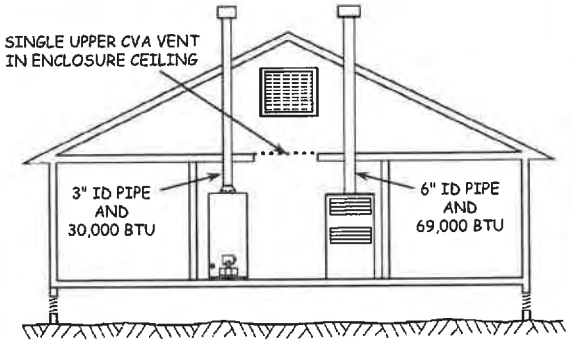
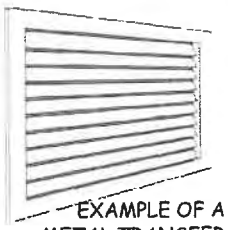
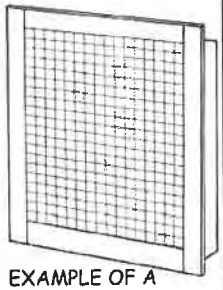
Since many appliances are in small enclosures, they must get CVA from outdoors. Combustion air reaches the appliance(s) through CVA vents or ducts to outdoors. Tables on the following pages summarize the minimum requirements for existing CVA vents from outdoors.

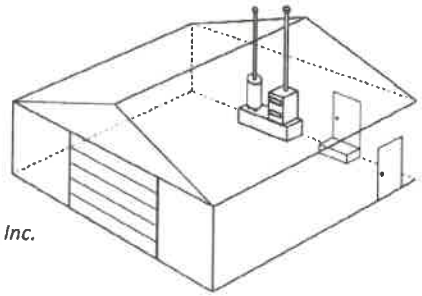
11.7.2 TABLE: POLICIES FOR EXISTING CVA VENTS TO OUTDOORS

<table>
<tr><th colspan="2">EVALUATION OF EXISTING CVA VENTS TO OUTDOORS</th></tr>
<tr><th>TOPIC</th><th>EVALUATION REQUIREMENTS</th></tr>
<tr><td><u>All</u> CVA Conditions</td><td>Corrective action is required when additional CVA is needed, or Section 5.1 of this appendix shall apply</td></tr>
<tr><td><u>All</u> CVA Vents and Ducts to <u>Outdoors</u> from the Living Space
 

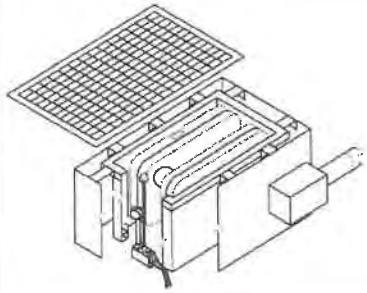
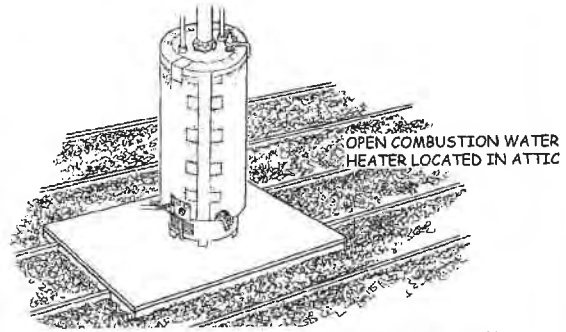
Graphic Credit: RHA, Inc.</td><td>CVA from outdoors must be obtained by one or more of the following methods:
• Permanent openings (with no damper) directly to outdoors through an enclosure floor, walls, or ceiling.
• Continuous vertical or horizontal ducts that extend from the enclosure to outdoors.
• It is acceptable to obtain CVA from attic and/or crawlspace when the attic or crawlspace vents conform with the following requirements:
<table><tr><th>AIR FROM ATTIC</th><th>AIR FROM UNDER FLOOR</th></tr><tr><td>Attic must have unobstructed cross ventilation, with NFVA that exceeds the CVA requirement.</td><td>• Crawlspace must have unobstructed cross ventilation, with NFVA that exceeds the CVA requirement.
• Crawlspace vents with closable louvers shall <u>not</u> be included in the NFVA calculation.</td></tr></table><u>Existing</u> CVA from outdoors can be supplied by:
• A combination of “upper” and “lower” vents or ducts, or
• Upper-only venting (when proper clearances are present in the enclosure.
- Note: If existing CVA is nonconforming, CVA must be brought to code and be upper-only, or upper and lower, in compliance with Table 11.7.3.</td></tr>
<tr><td>Existing CVA Vent Requirements – Ducts and Sleeves</td><td><u>Existing</u> CVA Ducts and Sleeves
• Minimum dimension of CVA vents and ducts to outdoors shall be no less than 3 inches. For example:
- For a vent size of 30 sq. in., you must install a 3″ x 10″ vent or duct, but <u>not</u> a 2″ x 15″.
- Round vents and ducts must have a minimum diameter of 3″.
• Ducts shall terminate in an unobstructed location that allows the free flow of combustion air to the appliance.
• Horizontal combustion air ducts must be level or have an upward slope. They must <u>not</u> slope downward toward the source of combustion air.
• For CVA Supplied by Ducts:</td></tr>
</table>

EVALUATION OF EXISTING CVA VENTS TO OUTDOORS

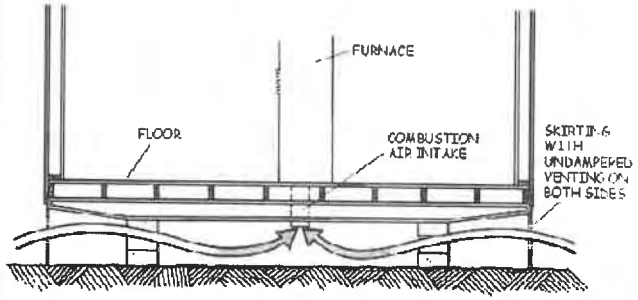
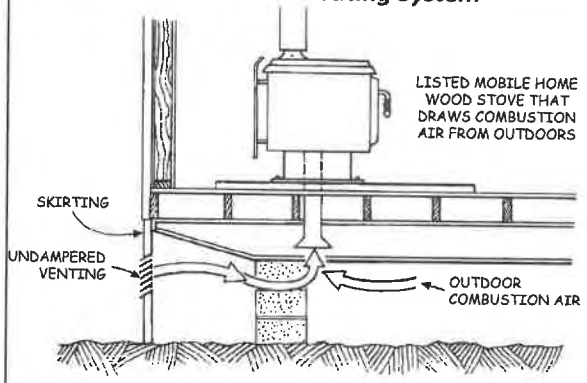
TOPIC	EVALUATION REQUIREMENTS
Existing CVA Vent Requirements – Ducts and Sleeves (continued)	- Separate ducts shall be used for upper and lower CVA (a single duct cannot be used for both). - When wall stud bays are used as CVA ducts, a separate stud bay is required for each (both upper and lower vent screens must not be installed in the same stud bay).
Existing CVA Vent or Duct Positions— Upper or Lower  *Graphic Credit: RHA, Inc.*	**Examine all existing CVA Vents and Ducts.** • A *pre-existing* upper vent or duct at *any height above the draft hood opening* is acceptable during CVA evaluation of existing CVA only, but not when a new vent is installed. • A *pre-existing* lower vent at *any height above the floor* is acceptable during CVA evaluation of existing CVA only, but not when a new vent is installed. • For CVA Supplied by Upper Venting: Upper CVA venting shall not be provided by a duct extending up from the crawlspace. If this condition exists, it must be corrected. • For CVA Supplied by Lower Venting: When lower CVA is provided via a duct *from the attic,* the duct must begin above the ceiling insulation and extend down to within 12" of the floor, and the duct shall not have mesh at either end. If this condition exists, it must be corrected. • Enclosure with No Ceiling - When an interior appliance enclosure has no ceiling, equipment in the enclosure is treated as though it is located in the attic. - The open top of the enclosure is like a large upper-only CVA vent, so a lower vent is not required. - CVA for the enclosure is adequate if: (a) attic volume is at least 50 cu. ft. per 1,000 Btuh Input, or (b) attic venting provides the required amount of NFVA venting.
Louvers, Grilles, and Screens for Existing Vents  EXAMPLE OF A METAL TRANSFER GRILLE: *Graphic Credit: RHA,*  EXAMPLE OF A SCREEN-ONLY VENT	**CVA Vent or Duct Screens** • 1/4" mesh is acceptable on standard vents to outdoors. When mesh is present that reduces NFVA too much, it can be replaced with a larger weave up to 1/4" mesh to increase NFVA without enlarging the vent. • 1/16" mesh shall always be replaced with 1/4" mesh. • Note: A CVA duct that terminates in the attic shall not be screened on either end. The upper end of the duct shall extend above ceiling insulation, or must be extended with a sleeve when insulation will be installed. **Net Free Ventilation Area (NFVA)** • Vents with louvers, grilles, and screens do not allow full transfer of air, and must use a reduction factor when calculating the NFVA of an opening. • There are different "reduction factors" for each mesh weave, for metal louvers (with and without mesh), and for wooden louvers (with and without mesh). The rules and calculations are covered in detail in Section 11.7.5.

EVALUATION OF EXISTING CVA VENTS TO OUTDOORS	
TOPIC	**EVALUATION REQUIREMENTS**
Louvers, Grilles, and Screens for Existing Vents (continued)	• When NFVA of an existing CVA vent is too small, it may be possible to increase NFVA by removing existing mesh. - On screened vents to outdoors, remove 1/16" mesh and replace it with 1/8" hardware cloth (1/8" mesh is required on all CVA vents to outdoors). - On screened vents to indoors, just remove the mesh (because mesh is *not* required).
Open Combustion Appliances Located In a Garage (or Enclosed Porch) with No Sleeping Area  *Graphic Credit: RHA, Inc.*	**When the Garage/Porch Is Not Living Space** A special rule applies to the CVA evaluation for *existing* open combustion appliances located in an attached garage or enclosed porch. *This rule does not apply to CVA requirements for new appliances installed in those locations, which must conform to current code.* • When a garage is (a) unfinished or (b) finished but not living space: - Existing room volume must be at least 50 cu. ft. per 1,000 Btuh, - When garage or porch has insufficient room volume, venting to outdoors is required. • Permanent unblocked CVA vent(s) shall provide a total of at least 1 sq. in. NFVA per 4,000 Btuh total Input. (Note: Vents with a damper do not qualify). • It is acceptable for venting to be *upper only*, or *lower only*, or *upper and lower* vent(s). (It is *not* necessary to have both upper and lower vents in this special circumstance)
Open Combustion Appliances Located In a Garage (or Enclosed Porch) with a sleeping area 	**When the Garage/Porch Is Living Space** • A garage is considered a living space under the following conditions: - The drive-through door is permanently closed, - The interior is finished (e.g., with sheetrock or paneling), - There are no vents to outdoors/attic (ventilation or CVA vents), and - The room has the appearance of being used as living space. • A garage is considered a sleeping area if it also contains sleeping furniture or appears to be used for sleeping. • It is *conditioned* space, if a heating and/or cooling source is present (i.e., appliance or FAU supply register). **When the Garage Is Living Space with a Sleeping Area** • When an open combustion FAU and/or water heater is in a garage *that is used as a sleeping area*: - Section 5.1 of this appendix shall apply, even if room volume is equal to, or more than, 50 cu. ft. per 1,000 Btuh.

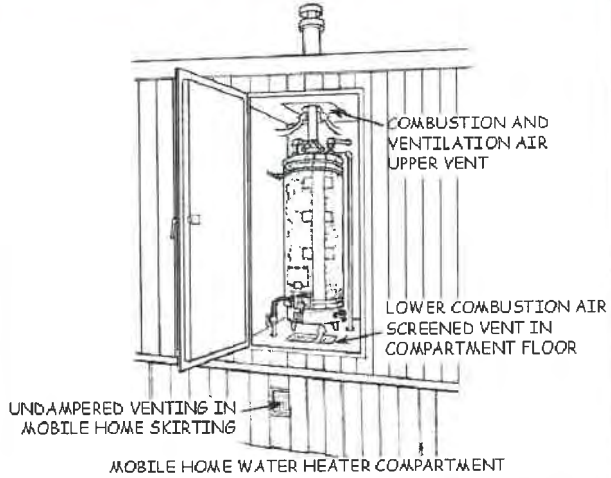
EVALUATION OF EXISTING CVA VENTS TO OUTDOORS

TOPIC	EVALUATION REQUIREMENTS
Open Combustion Appliances Located In a Garage (or Enclosed Porch) with a sleeping area (continued)	- *Exception*: Correction of the condition shall be made by isolation of the appliance(s) by: (a) Building an enclosure to isolate the appliance(s) from the sleeping area that is adequately vented to the outdoors *and* has a weatherstripped self-closing door, or (b) sleeping facilities are removed from the living space.
Appliances Located in a Crawlspace, Basement, or Partial Basement  FLOOR FURNACES ARE IN THE CRAWLSPACE, BASEMENT, OR PARTIAL BASEMENT *Graphic Credit: RHA, Inc.*	**When an existing open combustion appliance is located in a crawlspace, basement, or partial basement** • When volume is *less than* 50 cu. ft. per 1,000 Btuh input, permanent CVA venting to outdoors is required. - Vent(s) shall provide a total of at least 1 sq. in. NFVA per 4,000 Btuh total Input. - Added venting may be *upper only* (it is *not* necessary to have both upper and lower vents in this special circumstance). - The under-floor space shall be have free flow of outdoor air (i.e., cross-ventilation), provided by unobstructed openings to outdoors (e.g., foundation vents). Vents with a damper do not qualify. *This rule does not apply to CVA for new appliances installed in those locations, which must conform to current code.*
Appliances Located in an Attic  OPEN COMBUSTION WATER HEATER LOCATED IN ATTIC UPPER AND/OR LOWER ATTIC VENTS WITH CROSS VENTILATION REQUIRED WHEN ATTIC IS A CONFINED SPACE CONTAINING AN OPEN COMBUSTION WATER HEATER AND/OR FAU *Graphic Credit: RHA, Inc.*	**CVA evaluation for existing open combustion appliances located in an attic** • When volume is *less than* 50 cu. ft. per 1,000 Btuh input, permanent CVA venting to outdoors is required. - Vent(s) shall provide a total of at least 1 sq. in. NFVA per 4,000 Btuh total Input. - Added venting may be *upper only*, or *lower only*, or *upper and lower* vent(s). (It is *not* necessary to have both upper and lower vents in this special circumstance). • The attic shall be have free flow of outdoor air (i.e., cross-ventilation), provided by unobstructed openings to outdoors (attic vents). Vents with a damper do not qualify. Note: *This rule does not apply to CVA requirements for new appliances installed in those locations, which must conform to current code (see Table 11.8.3 with information on installing a new appliance in this location).*

EVALUATION OF EXISTING CVA VENTS TO OUTDOORS

TOPIC	EVALUATION REQUIREMENTS
MOBILE HOME CVA TO OUTDOORS REQUIREMENTS CVA requirements for mobile homes depend upon the types and locations of the appliances. Corrective action is required when additional CVA is required, or Section 5.1 of this appendix shall apply. Below are three specific standards related to combustion air from outdoors that apply to mobile homes:	
Appliance Drawing Combustion Air from Under the Mobile Home  *Graphic Credit: RHA, Inc.*	• Un-dampered venting shall be present in the skirting. • Cross-ventilation shall be present, with venting located on at least two different sides of the Mobile Home (as illustrated at left). • Skirting vents shall provide a total of at least 1.5 sq. ft. NFVA for each 25 lineal feet of the Mobile Home.
Mobile Home Solid Fuel Heating System  *Graphic Credit: RHA, Inc.*	• When a mobile home has a wood-burning stove, it is acceptable to install shell sealing measures if the stove: - Is labeled for use in a mobile home, and - Draws combustion air ducted in from outdoors. • When a stove is present that is *not* labeled for use in a mobile home, shell sealing measures shall not be installed *unless* one of the following conditions is met: - Option 1: The stove is designed to operate with doors closed, and outside combustion air is ducted to the combustion chamber. - Option 2: When combustion air cannot be ducted directly to the combustion chamber, but the stove operates with doors closed: ▪ The CAZ is tested as prescribed, and ▪ Negative pressure in the CAZ does not exceed the applicable HDL.

EVALUATION OF EXISTING CVA VENTS TO OUTDOORS

TOPIC	EVALUATION REQUIREMENTS
Open Combustion Water Heater CVA  *Graphic Credit: RHA, Inc.*	• An *upper* combustion air vent shall be present, which may consist of one of the following: - A round pipe-within-a-pipe vent assembly in the ceiling. This is when an appliance vent pipe surrounded by air space and a larger-diameter outer pipe. NFVA is cross-sectional area of the larger pipe minus cross-sectional area of the smaller pipe. - An undampered vent (screen or grille) installed in the door or outer wall and located higher than the draft hood. • A *lower* combustion air vent shall be present, which may be an undampered vent (screen or grille) to the outdoors, located in: - The enclosure floor, or - The door or wall, with the bottom beginning not *more* than 1' above the floor.

11.7.3 HOW MUCH OUTDOOR CVA IS REQUIRED?

The minimum CVA requirement is based on the total Btu per Hour Input or "Btuh" of the appliance(s). Find the Btuh Input on the appliance nameplate.

- To calculate existing CVA, divide the Btuh input by 1,000.
  For example, an 80,000 Btuh furnace ÷ 1,000 = 80 KBtuh.
- Then divide the KBtuh according to the appropriate formula below to determine the minimum amount of NFVA that is necessary for the appliance(s).

Table 11.7.3 shows how to determine the CVA vent size required based on the location of the existing CVA vents. The table provides 3 options (Note: When the nameplate is missing or illegible for an appliance, use the *default* Btuh values already provided in Section 17):

TABLE 11.7.3: MINIMUM CVA FROM OUTDOORS

Equation	Application	NFVA Requirements
3	All air from **outdoors**, using an *Upper-only* vent or duct	When **1 *Upper* opening** (or vertical or horizontal duct) provides the CVA: • The vent/duct must provide 1 sq. in. NFVA per 3,000 Btuh input. **NFVA in sq. in. = KBtuh ÷ 3** Note: The appliance must have clearances of 1" on sides and back and 6" in front. If non-conforming, this condition will need to be remedied by the addition of a conforming upper and lower duct.
4	All air from **outdoors**, using 1 Upper vent or *vertical* duct and 1 Lower vent or *vertical* duct	When **Upper & Lower vertical vents/ducts** provides CVA: • Each *vertical* (upper and lower) duct must provide **1 sq. in. NFVA per 4,000 Btuh input.** **NFVA in sq. in. = KBtuh ÷ 4**
5	All air from **outdoors**, using 1 Upper *horizontal* duct and 1 Lower *horizontal* duct	When **Upper & Lower horizontal ducts** provide CVA: • Each *horizontal* duct must provide 1 sq. in. NFVA per 2,000 Btuh input. **NFVA in sq. in. = KBtuh ÷ 2**
Note: Crawlspace vents with closable louvers shall not be included in the NFVA calculation.		

To calculate outdoor NFVA, use the Sections 11.7.4 through 11.7.5 below.

11.7.4 CALCULATE EXISTING OUTDOOR CVA

To calculate vent NFVA in sq. in., multiply Width X Height of the existing vent(s) in inches and apply the appropriate reduction factor from Figure 11.7.5. Compare the measured NFVA with how much NFVA is needed, to determine if the existing vent meets the requirement.

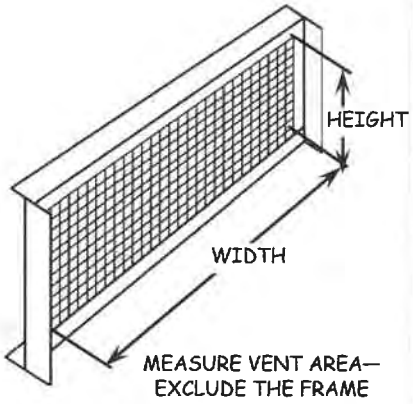
Use this equation:

(Required NFVA) – (Existing NFVA) = Additional NFVA Needed.

For upper-only vents or ducts, the NFVA must equal or exceed the sum of the vent connector cross-sectional areas.

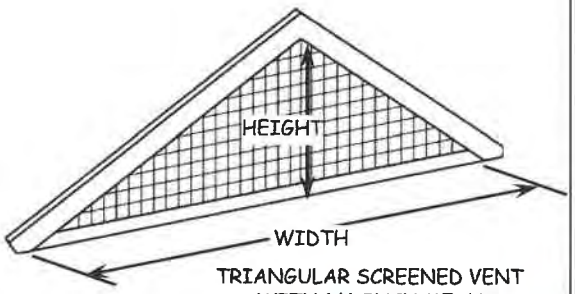
FIGURE 11.7.4 – MEASURING VENTS

1. **Rectangular Vents:** When measuring a vent, include only the louvered or screened area—the actual vent opening. Do not include any area occupied by solid frame material.



   - Measure the size of the vent opening (width and height in inches). For a louvered vent, that's the size of just the louvered part. For a screen-only vent, it's the open screen area (as shown in the graphic to the right).
   - Calculate the vent area using the equation: **(width in.) x (height in.) = vent area sq. in.**
     - Example: If the louvered or screened part of a vent is 10" wide and 6" high, it has a 60 sq. in. vent area.
     - Calculate NFVA, using the equation and Reduction Factor from Figure 11.7.5: **(vent area sq. in.) x (Reduction Factor) = NFVA sq. in.**
   - Note: If you ever need to convert sq. *in.* into sq. *ft.*, divide sq. in. by 144 (because there are 144 sq. in. in a sq. ft.).
     - Example 1: a 12" x 12" vent opening is 144 sq. in. (144 sq. in.) / (144) = 1 sq. ft.
     - Example 2: a 12" x 6" vent opening is 72 sq. in. (72 sq. in.) / (144) = 0.5 sq. ft.

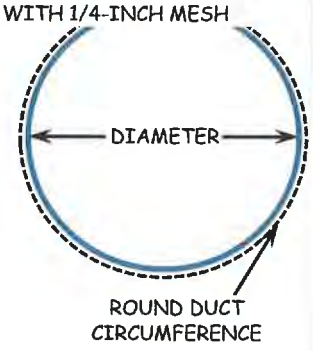
2. **Triangular Vents:** Measure the actual vent opening (exclude the solid frame), using the equation below:



TRIANGULAR SCREENED VENT
WITH 1/4-INCH MESH

   - Calculate the triangular vent area using the equation: **(width in.) x (height in.) x (0.5) = vent area sq. in.**
   - Example: In the triangular vent to the right, the open part of a vent is 10" wide and 6" high, so it has a 30 sq. in. vent area (10" x 6" x 0.5 = 30 sq. in).
   - Calculate NFVA using the equation below and the Reduction Factor from Figure 11.7.5: **(vent area sq. in.) x (Reduction Factor) = NFVA sq. in.** With 1/4-inch mesh, the Reduction Factor is 0.90, so (30 sq. in. x 0.90) = **27 sq. in. NFVA.**

3. **Round Ducts and Vents:** The actual open area is also what is measured on round ducts and vents. Looking at the end of a *round duct or vent*, the area of the *opening* you see is the "round duct area".



   - For *round ducts*, begin by measuring the diameter (or circumference) of the duct.
     - The diameter is the distance across the open duct end.
     - The circumference is the distance around the outside of the duct.
   - On a *round vent*, measure the diameter of just the round vent opening, not the surrounding frame.
   - Use the diameter or the circumference in the table below to find the "round duct area" for common ducts sizes.
     - On the top row, find diameter of the duct (or vent opening on a round vent). Then move directly down to the center row to find the "round duct area"; or
     - On the bottom row, find circumference the duct, and then move directly up to the center row to find the "round duct area".

- For round vents, and for round ducts with louvers or mesh at the end, you must convert the "round duct area" to NFVA, by using the appropriate Reduction Factor in Figure 11.7.5.

AREA OF ROUND DUCTS

Duct Diameter (in.)	3"	4"	5"	6"	7"	8"	9"	10"
Round Duct Area (sq. in.)	**7.1**	**12.6**	**19.6**	**28.3**	**38.5**	**50.3**	**63.6**	**78.5**
Duct Circumference (in.)	9.4"	12.6"	15.7"	18.8"	22.0"	25.1"	28.3"	31.4"

- *What if the round duct or vent is an odd size not shown in the table?* To calculate the "round duct area" of any size duct (or vent), use this equation:
  - (3.1415) x (Diameter/2) x (Diameter/2) = round duct (or vent) area sq. in.

  Example: Assume the duct/vent diameter is 8.5".
  (3.1415) x (8.5" / 2) x (8.5" / 2) = 56.7 sq. in. round duct (or vent) area , which becomes:
  (3.1415) x (4.25) x (4.25) = 56.7 sq. in. round duct (or vent) area.

FIGURE 11.7.5 –APPLYING REDUCTION FACTORS

The "Reduction Factors" for screens and louvers in the Table below are used to finish your calculation of NFVA when a louver, mesh, or screen is present on the vent. The Reduction Factor represents the percentage (%) of the opening that is not blocked by louvers and/or screen—in other words, *the percentage of air that can freely pass through.* For example, if the wires in 1/4" mesh or screen take up 10% of the opening, and 90% of the opening remains unobstructed—so the Reduction Factor is 0.90.

1. Select the Reduction Factor
   - NFVA may be marked on the vent (on a sticker or stamped into the metal.
   - If purchasing a vent, you can use the NFVA data listed in the product literature.
   - When NFVA information is not available, you must:
     - Measure the vent opening, and
     - Calculate NFVA using the appropriate Reduction Factor from the table below.
   - Applying the Reduction Factor
     - Select the table that best describes the type of vent you are evaluating.
     - Use row (A) for vents that have mesh only.
     - Use row (B) for vents that louvers only or louvers and mesh.
     - Find the weave of the mesh you are evaluating.
     - The box directly below gives you the "Reduction Factor" for that mesh.
     - Then, multiply or divide by that Reduction Factor.

REDUCTION FACTORS FOR LOUVERS AND SCREENS

(A) Mesh Only	1/4" Mesh (hardware cloth)	1/8" Mesh (wire mesh)	1/16" Mesh (insect screen)
	0.90 (90%)	**0.75** (75%)	**0.50** (50%)

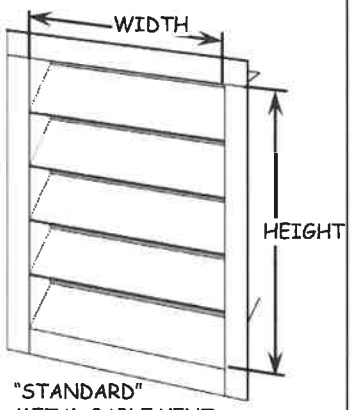
(B) Louvers & Mesh	Metal Louvers **or** Metal Louvers and 1/4" or 1/8" Mesh	Metal Louvers and 1/16" Mesh	Wood Louvers **or** Wood Louvers and 1/16" to 1/4" Mesh
	0.75 (75%)	**0.50** (50%)	**0.25** (25%)

- Note:
  - 1/4" mesh (wires spaced 1/4" apart) is found on newer metal vents, such as gable and foundation vents.
  - 1/8" mesh (wires spaced 1/8" apart), is commonly used on eave and soffit vents.
  - 1/16" weave (wires spaced 1/16" apart), used as window screen, shall not be used on CVA or attic vents (because it reduces airflow too much).

2. "Standard" Louvered Metal Vents

Louvers in "standard" CVA vents (e.g., factory-made transfer grilles, return grilles, or metal gable vents are a standard distance apart. The Reduction Factors in the table above are based on those louvered metal vents.

- The actual open space between the louvers is the NFVA, and is what is assumed in the Reduction Factor for "Metal Louvers".



"STANDARD" METAL GABLE VENT– REDUCTION FACTOR 0.75

"STANDARD" WOODEN GABLE VENT– REDUCTION FACTOR 0.25

Graphic Credit: RHA, Inc.

- If large openings between metal gable vent louvers have more than 75% free air space, follow steps below for NFVA of "Non-standard" Vents in Figure 11.7.6.

3. "Standard" Gable Wood Vents

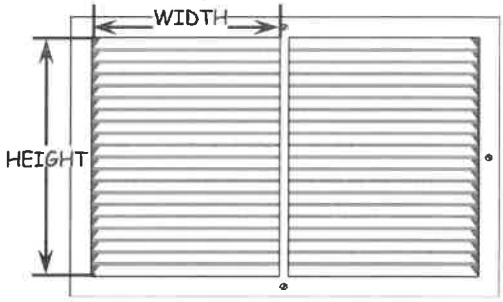
"Standard" wooden gable vents are factory made with standard thickness and spacing. For those, use the "Wood Louvers" fields in the Reduction Factor table.

- Measure only width and height of the part of the vent that has louvered openings (exclude the frame).
- If there is no airflow above it, measure to the bottom of the top louver.

4. NFVA for a Split CVA Vent

When a grille has a solid divider in the middle, as shown on the Return Grille to the right:

- Measure the vent area of each half. (Do not include area of the solid divider when present.)
- Add them together, and
- Multiply by the appropriate Reduction Factor to determine NFVA.



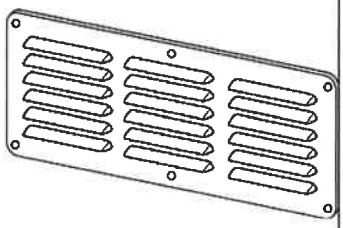
METAL RETURN GRILLE WITH CENTER DIVIDER: CALCULATE VENT AREA OF EACH SECTION, ADD THEM TOGETHER, AND MULTIPLY BY 0.75 TO FIND TOTAL

Graphic Credit: RHA, Inc.

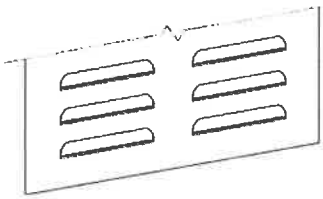
FIGURE 11.7.6 – NFVA FOR NON-STANDARD VENTS

Additional steps are required to determine their NFVA for non-standard vents (i.e., wider or narrower louver spacing). For these non-standard vents, alternative Reduction Factors must be used. Here are three examples:

- *Soffit Vents:* Soffit vent louvers are narrower than standard vents, and they are usually screened with 1/8" mesh—which must be replaced with 1/4" mesh when used for new outdoor CVA venting.
- *Metal Louvers for Water Heater Enclosure:* Sometimes seen on the sheet metal door of a mobile home enclosures —and on some factory-made water heater enclosures , they consist of a horizontal cut in the sheet metal and bending the metal upward to form a louver with non-standard spacing.
- *Non-standard"* wooden gable vents are field- or shop-fabricated, with very thick louvers (e.g., 1" x 2" boards) and/or odd spacing between them.



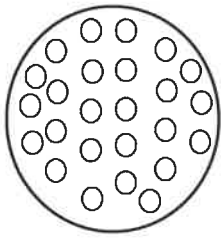
METAL SOFFIT VENT WITH NON-STANDARD LOUVERS AND 1/8-INCH MESH



NON-STANDARD LOUVERS ON METAL ENCLOSURE DOOR

For these non-standard louvered vents, calculate NFVA by:

- Measuring the size of the opening of one louver: **(length inches) x (height inches) = louver sq. in.**
- If no mesh is present, multiply this louver opening area by the number of louvers.
- If there is mesh behind louvers: (open area sq. in.) x (Reduction Factor) = NFVA sq. in.



"UNUSUAL METAL VENT"— FLAT METAL WITH HOLES

Unusual Metal Vents

- There is one more class of highly unusual CVA vents, such as:
  - Drilled metal—flat metal with holes drilled in it.
  - Stamped metal—flat metal with holes stamped (cut) in it.
  - Expanded metal—metal cut and pulled apart to create holes.
- You must *estimate* the NFVA, based on size and number of openings.
  - Measure the open area in 1 sq. in. of the vent, and multiply by the number of sq. in. of vent area, or
  - As a last option, use a "default" Reduction Factor of 0.50.

Table Graphics Credit: RHA, Inc.

11.7.5 CVA CALCULATION QUICK REFERENCE TABLE

To save time, use Table 11.7.5 on the following page to quickly determine CVA requirements without having to do math calculations.

- Column [A] lists several Btuh Input totals.
- Column [B] is used when CVA is based on indoor room volume.
- Column [C] gives minimum size of interior vents, when additional volume is needed from an adjacent space.
- Column [D] applies to an upper-only CVA vent or vertical duct.

- Column [E] applies when both upper and lower vents or vertical ducts are used.
- Column [F] applies when both upper and lower horizontal ducts are used.

The table below is a quick reference to determine room volume or CVA vent and duct size.

TABLE 11.7.5: CVA REQUIREMENTS FOR OPEN COMBUSTION GAS-BURNING APPLIANCES

Open Combustion Furnace and/or Water Heater in a Room/Space	Homes with Infiltration of at least 0.40 ACH[3] with appliances located in a Confined Space, and all combustion air obtained from Indoors		Room or Space with Inadequate Volume, and All Combustion Air Obtained from Outdoors		
			[D] 1 Upper Opening (or 1 Vertical or Horizontal Duct) [4, 5, 6, 7, 8, 10] [E] 1 Upper Opening or **Vertical** Duct and 1 Lower Opening or Vertical Duct [6, 7, 8, 9, 10]		Two **Horizontal** Ducts [8, 10]
Total Input	Min. Room Volume	Min. NFVA per Vent	Min. NFVA Upper-only Vent/Vertical Duct	Min. NFVA for each of **2** Vents/Vertical Ducts	Required NFVA per Duct for **2** Ducts
[A] Btuh	[B] Cu. Ft.	[C] Sq. In.	[D] Sq. In.[10]	[E] Sq. In.[10]	[F] Sq. In.
20,000	1,000	100	Rect: 9.0 • Rnd: 7.07	Rect: 9.0 • Rnd: 7.07	10.0
25,000	1,250	100	Rect: 9.0 • Rnd: 8.3	Rect: 9.0 • Rnd: 7.07	12.5
30,000	1,500	100	10.0	Rect: 9.0 • Rnd: 7.5	15.0
35,000	1,750	100	11.7	Rect: 9.0 • Rnd: 8.8	17.5
40,000	2,000	100	13.3	10.0	20.0
45,000	2,250	100	15.0	11.3	22.5
50,000	2,500	100	16.7	12.5	25.0
55,000	2,750	100	18.3	13.8	27.5
60,000	3,000	100	20.0	15.0	30.0
65,000	3,250	100	21.7	16.3	32.5
70,000	3,500	100	23.3	17.5	35.0
75,000	3,750	100	25.0	18.8	37.5
80,000	4,000	100	26.7	20.0	40.0
85,000	4,250	100	28.3	21.3	42.5
90,000	4,500	100	30.0	22.5	45.0
95,000	4,750	100	31.7	23.8	47.5
100,000	5,000	100	33.3	25.0	50.0
105,000	5,250	105	35.0	26.3	52.5
110,000	5,500	110	36.7	27.5	55.0
115,000	5,750	115	38.3	28.8	57.5
120,000	6,000	120	40.0	30.0	60.0
125,000	6,250	125	41.7	31.3	62.5
130,000	6,500	130	43.3	32.5	65.0
135,000	6,750	135	45.0	33.8	67.5
140,000	7,000	140	46.7	35.0	70.0
145,000	7,250	145	48.3	36.3	72.5
150,000	7,500	150	50.0	37.5	75.0
160,000	8,000	160	53.3	40.0	80.0

[3] For ACH *less* than 0.40, see Table 11.6.4.

[4] Just one opening (or one vertical or horizontal duct) in or beginning within 12" of the ceiling is allowed when the appliance has clearances of 1" on sides and back and 6" in front. Vent/duct NFVA must equal or exceed the sum of the vent connector areas.

[5] Combustion air must be obtained air from outdoors or from spaces freely communicating with outdoors.

[6] Attic must be adequately vented. Vent openings must be protected from ceiling insulation (e.g., with sleeve 6" above it).

[7] Vertical ducts must extend into unobstructed space, and may not be screened if terminating in the attic.

[8] Upper vent/duct shall be installed in the ceiling or within 12" of ceiling, and lower vent/duct shall be in the floor or begin within 12" of the floor. However, a pre-existing upper vent is acceptable at any location higher than the draft hood.

[9] Crawlspace must have free flow of air and unobstructed openings to outdoors that provide adequate crawlspace venting. Foundation vents should be screened with 1/4" mesh.

[10] The minimum cross-sectional dimension of CVA vents and ducts is 3". Minimum rectangular vent/duct is 3"x3" (**9.0 sq. in.**); minimum round vent/duct is 3" diameter (πr^2 = 3.1415 x 1.5" x 1.5" = **7.07 sq. in.**).

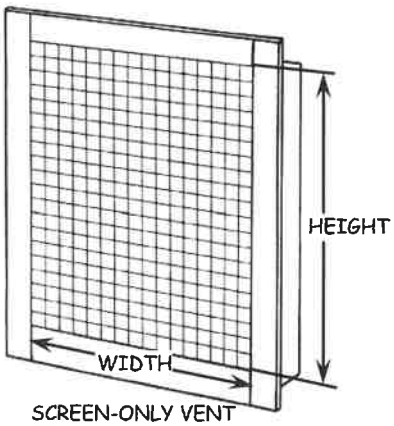
11.8 WHEN ADDITIONAL OUTDOOR CVA IS REQUIRED

When NFVA of existing outdoor CVA vents is not sufficient (in the amount identified in Table 11.7.3), additional NFVA must be added or the condition is a CAS Fail. Corrective action is required, or Section 5.1 of this appendix shall apply. Additional NFVA can be accomplished by enlarging existing vents, replacing small-weave mesh with 1/4" mesh, or adding vents to the space. Tables on the following pages describe the minimum requirements for obtaining CVA from outdoors.

11.8.1 VENT OPENING AREA FOR NEW CVA VENTS

To find out if a new vent will provide adequate NFVA, use this equation to determine the minimum sq. in. that the vent must be:

Required NFVA sq. in. ÷ Reduction Factor = Vent Area sq. in.



SCREEN-ONLY VENT WITH 1/4-INCH MESH

Graphic Credit: RHA, Inc.

- *Example:* You need a CVA vent that has 70 sq. in. NFVA. The vent has 1/4" mesh (reduction factor = 0.90).
  - Thus, (70 sq. in. NFVA) ÷ (0.90) = **77.8 sq. in.** screened **vent area** is required to provide **70 sq. in. NFVA**.
  - You could install a *rectangular* 12" x 10" vent with a 1" wide frame around a 10" x 8" screened vent area. 10" x 8" = **80 sq. in.** screened vent area.
  - You could also install a *round* screen-only vent with a diameter of 10 inches, which you see in Figure 11.7.4 has a **78.5 sq. in** round vent area.

11.8.2 MESH REQUIREMENTS FOR CVA VENTS AND DUCTS

- Vents to Outdoors
  - 1/4" mesh is required on all *new* CVA vents and ducts to outdoors ("quarter-inch hardware cloth"). *Exception*: Ducts that terminate in the attic shall not be screened on either end.
  - Vents exposed to precipitation (rain or snow) shall be louvered.
- Vents to Indoors
  - Mesh is not required on louvered vents between indoor areas, including CVA vents in the living space and vents for an appliance enclosure located inside a garage.
  - When present, unneeded mesh may be removed to increase NFVA.

11.8.3 TABLE: INSTALLATION CRITERIA FOR NEW CVA VENTS

This is an overview of size and location requirements for new CVA vents and ducts—first for conventional homes, and then for mobile homes.

INSTALLATION OF NEW CVA VENTING—CONVENTIONAL HOMES					
EXISTING LOCATION	**VENT SIZING**	**VENT TO ADJACENT SPACE/ROOM**	**NEW UPPER LOCATION**	**NEW LOWER LOCATION**	**ALTERNATIVE CORRECTION**
Indoor CVA	• 1 sq. in. NFVA for each 1,000 Btuh input, but a minimum of 100 sq. in. • When room volume is too small, install upper *and* lower CVA vents into adjacent room(s).	• Adjacent room(s) must be large enough to provide the required additional room volume.	• Top of vent must begin within 12" of the ceiling.	• Bottom of lower vent must begin within 12" of the floor.	• It is also possible to (a) replace a solid door with a louvered door; or (b) permanently remove a solid door. • Must get owner's prior written permission.
2 Vents to Outdoors– Upper & Lower **(Most common installation)**	• For vents or vertical ducts, each must provide 1 sq. in. NFVA per 4,000 Btuh input. • For horizontal ducts, each must provide 1 sq. in. NFVA per 2,000 Btuh input.	N/A	• Vent must be in the ceiling, or top of vent must begin within 12" of the ceiling. • Upper CVA shall not be ducted up from the crawlspace. • Ducts terminating in attic shall not be screened.	• Vent must be in the floor, or bottom of vent must begin within 12" of the floor. • A vertical duct can extend from the attic to within 12" of the floor. The ends shall not be screened.	N/A
1 Vent to Outdoors– -Upper Only	• 1 sq. in. per 3,000 Btuh NFVA, but not less than the total of the cross-sectional areas of all vent connectors in the enclosure. • The appliance must have at least: (a) 1" clearance on the sides and back, and (b) 6" clearance in the front.	N/A	• Vent must be in the ceiling or top of vent must begin within 12" of the ceiling.	N/A	N/A

INSTALLATION OF NEW CVA VENTING—MOBILE HOMES					
EXISTING LOCATION	**VENT SIZING**	**VENT TO ADJACENT SPACE/ROOM**	**NEW UPPER LOCATION**	**NEW LOWER LOCATION**	**ALTERNATIVE CORRECTION**
Mobile Home Water Heater: 2 Vents to Outdoors– Upper & Lower	• For vents or vertical ducts, each must provide 1 sq. in. NFVA per 4,000 Btuh input.	N/A	• When an upper vent is created by passing the appliance vent pipe through the center of a larger pipe, NFVA of the upper vent equals the area of the space between the outer and inner pipes.†	• Vent must be in the floor, or bottom of vent must begin within 12" of the floor.	• The upper vent can also be a louvered grille in outside wall. • The top of the grille must begin within 12" of the enclosure ceiling.
Mobile Home Water Heater: 1 upper-only vent to Outdoors	• This concept must be proposed when the permit is obtained from HCD. • If allowed, sizing shall be as prescribed by HCD (which could be the same as for conventional homes in the table above).	N/A	• The new upper vent shall be in compliance with HCD regulations. • If a pipe-within-a-pipe is allowed, see criteria in the box directly above.	N/A	• The upper vent can also be a louvered grille in outside wall. • The top of the grille must begin within 12" of the enclosure ceiling

† NFVA Calculations for mobile home water heater enclosure, when upper CVA vent is pipe-within-a-pipe:

- Measuring the diameter (or circumference) of each pipe.
- Obtain the "Pipe Area (sq. in.)" for each pipe from Figure 11.7.4.
- Subtract smaller pipe area from larger pipe area. The difference is the NFVA of the space between the two pipes.

Example: The inner pipe diameter is **3"** (7.1 sq. in. area), and the outer pipe in the CVA assembly diameter is **6"** (28.6 sq. in. area). NFVA of the space between them is 21.2 sq. in. NFVA of the upper CVA vent = (28.3 – 7.1) = **21.2 sq. in.**

11.9 COMBINATION-INDOOR & OUTDOOR CVA

Combination indoor and outdoor CVA venting (e.g., from the living space and from the attic or crawlspace) should be avoided and eliminated whenever possible, because the vent to outdoors creates a large, unwanted shell leak. For example, in some homes, the appliance enclosure in the hallway has a lower CVA vent in the door (taking air from the living space), and an upper CVA vent in the ceiling (open to the attic).

- The best practice is to seal off the vent in the door on the inside, and make sure the vent to the outdoors in the enclosure ceiling is the proper size for "upper-only" CVA.
- Also, installing CVA venting to indoors must be avoided, whenever practicable.

Step 4

LIVING SPACE AMBIENT CO TEST

REMEMBER: If any CAS Hazard or CAS Fail condition is identified that cannot be corrected:

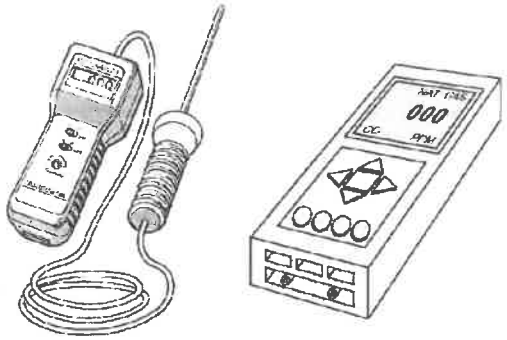
- (DOE Program or dwelling leveraged with DOE) The dwelling shall be DEFERRED.
- (LIHEAP) The dwelling shall be NIM (non-infiltration reduction measures) only.

12. Living Space Ambient Procedure

A living space ambient CO reading is taken to determine the operating safety for all SPACE HEATING units.

12.1 CO ANALYZER OPERATION

Operate the CO analyzer in "as-measured" mode (not "air-free"). The Analyzer shall remain ON during the entire ambient CO sequence, when possible. If turned off during testing, repeat the zeroing process before resuming ambient CO tests.



"ZEROED" CARBON MONOXIDE ANALYZERS
Graphic Credit: RHA, Inc.

12.2 TEST PROTOCOL

"Zero" the Analyzer outdoors; then perform and document two living space ambient readings in the CSD 700 form.

12.3 ZEROING OUTDOORS

- Just prior to measuring the *First* living space ambient CO reading, "zero" the CO Analyzer outdoors—as far away from CO sources as possible.
- Auto-Zeroing: Instruments that automatically self-zero shall be operated in accordance with manufacturer's instructions (e.g., outdoor reading will always be "000").
- Manual Zeroing:
  - A manually-adjusted CO Analyzer, which may have a reading of "±001" or greater when turned on outdoors, must be zeroed per manufacturer's instructions (e.g., it might be considered zeroed when the reading is "000" ± 005 PPM).
  - If the readout fluctuates (does not stabilize at 000), the highest number displayed is used as the "Outdoor Reading".
    - Example: If readings outdoors during the zeroing process are –001, 000, +003, +002, the highest (+003) is the "Outdoor Reading" (is considered to be "zero" PPM CO).
    - Living space ambient CO is calculated as illustrated in Tables 12.4.1 and 12.4.2.
- Location for zeroing shall be protected to the extent possible from outdoor sources of CO (e.g., people smoking, wood burning appliance exhaust, automobile and industrial exhaust) and from wind bearing such pollutants.

12.4 TESTING PROCEDURE

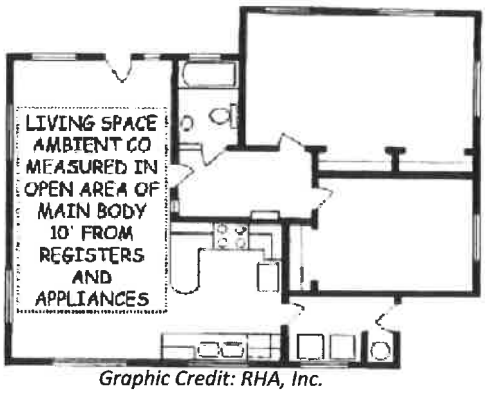
The FIRST living space ambient CO test shall be performed prior to operating any appliances.

- Test Conditions
  - All combustion appliances in the living space turned off (e.g., at the thermostat).
    - Pilots may be operating, but main burners shall be off.
    - Air handler and all exhaust fans and devices turned off.
    - Exterior doors and windows (prime and storm) closed.
  - Interior doors:
    - Appliance enclosure doors closed.

  - All other interior doors open.
- Fireplace damper closed when feasible (no fire or hot coals).
- If an interior evaporative cooler vent cover is available, it shall be in place.

12.4.1 FIRST LIVING SPACE AMBIENT CO MEASUREMENT

- Immediately after zeroing the CO Analyzer outdoors (to obtain the "Outdoor Reading"), draw an air sample in a location meeting the following criteria:
  - In an open area in the main body of the living space (e.g., in the living room or living/dining combination area).
  - 10' away from combustion appliances and supply registers, or as far away as possible when less clearance is available.
  - 6' above the floor.



Graphic Credit: RHA, Inc.

- The difference (change) in CO PPM between the "zeroed" outdoor reading and living space reading is the *First* living space ambient CO level (see example in Table 12.4.1).
- FIRST Living Space Ambient CO Action Levels
  - When the *First* living space ambient CO is higher than 9 PPM—it is required to check for possible sources of CO indoors, such as the following[11]:
    - Smokers in the home.
    - Current or recent use of the cooktop and/or oven.
    - Over-gassed (oversized) pilot flame in a cooking appliance.
    - Unvented space heater being used in the home.
    - Wood-burning appliance used, burning candles, incense, etc.
    - Exhaust from idling vehicles in the attached garage or near a door or window into the home.
  - When a source of indoor CO is found, eliminate it if possible. Ventilate the home, then perform the SECOND Living Space Ambient CO Test (even if 10 PPM or greater after ventilation and repeat of First test).
  - Complete the remaining ambient CO test and the appliance flue and draft CO tests.

[11] Living space ambient CO more than 2 PPM above the "zeroed" Outdoor Reading *should* be investigated; but *must be* if 10 PPM or higher.

TABLE 12.4.1: FIRST LIVING SPACE AMBIENT CO TEST — SAMPLE CALCULATIONS

Procedure: With all appliances turned Off, compute the difference (change) in CO PPM between the "zeroed" Outdoor Reading* and the *First* Living Space Ambient CO reading. For example:

(A) If, when the CO Analyzer was turned on outdoors and zeroed*, the Outdoor Reading was "003" ... but the *First* Living Space reading is "007" ... the difference (change) is as follows:

- [Living Space reading (007)] minus [Outdoor Reading (003)],
- [007 – 003] = 004 (4 PPM *difference*), so
- *First* Living Space Ambient CO is 4 PPM. It does *not* exceed 9 PPM, so it is a "Pass".

(B) If, when the CO Analyzer was turned on outdoors and zeroed*, the highest Outdoor Reading was
"–003" ... but the *First* Living Space reading is "+007" ... the difference (change) is as follows:

- [Living Space reading (+007)] minus [Outdoor Reading (–003)],
- [(+007) – (–003)] = +010 (10 PPM *difference*), so
- *First* Living Space Ambient CO is 10 PPM. It does exceed 9 PPM, so it is a "Fail", and corrective action is required.

*If the CO Analyzer automatically self-zeros, the Outdoor Reading will always be "000". A manually-adjusted CO Analyzer, which may have a reading of "001" or higher when "zeroed" outdoors, must be zeroed per manufacturer's instructions.

12.4.2 SECOND LIVING SPACE AMBIENT CO

- Test Conditions
  - Operate *all space heating* appliances for at least 5 minutes.
  - All other combustion appliances and all exhaust fans and devices remain off.
  - All doors and windows remain as they were for the *First* living space ambient CO test.
  - If the CO analyzer was turned off following the initial test, zero it again outdoors.
- Procedure—SECOND Living Space Ambient CO
  - An air sample for the *Second* Living Space Ambient CO Test is drawn in the same location used for the *First* Living Space test.
  - The difference (change) in CO PPM between the "zeroed" Outdoor Reading and *Second* Living Space reading is the *Second* Living Space Ambient CO level (see examples in Table 12.4.2).
- SECOND Living Space Ambient CO Action Levels
  - If Ambient CO in the living space exceeds 9 PPM, corrective action is required.

TABLE 12.4.2: SECOND LIVING SPACE AMBIENT CO TEST — SAMPLE CALCULATIONS

Procedure: With *all Space Heating* appliances turned On (operating) for 5 minutes (all other appliances remain Off), compute the difference (change) in CO PPM between the "zeroed" Outdoor Reading* and the *Second* Living Space Ambient CO reading. For example:

(A) If the "zeroed" Outdoor Reading was "002" ... but the *Second* Living Space reading is "008" ... the difference (change) is as follows:

- [2nd Living Space reading (008)] minus [Outdoor Reading (002)],
- [008 – 002] = 006 (6 PPM *difference*), so
- *Second* Living Space Ambient CO is 6 PPM. It does *not* exceed 9 PPM, so it is a "Pass".

(B) If the "zeroed" Outdoor Reading was "–002" ... and the *Second* Living Space reading is still "+008" ... the difference (change) is as follows:

- [2nd Living Space reading (+008)] minus [Outdoor reading (–002)],
- [(+008) – (–002)] = +010 (10 PPM *difference*), so
- *Second* Living Space Ambient CO is 10 PPM. It does exceed 9 PPM, so it is a "Fail", and corrective action is required.

*If the CO Analyzer has not been turned off since the Initial test, it is not necessary to re-zero outdoors. Simply use the Initial "zeroed" Outdoor Reading.

Step 5

APPLIANCE AMBIENT CO TEST

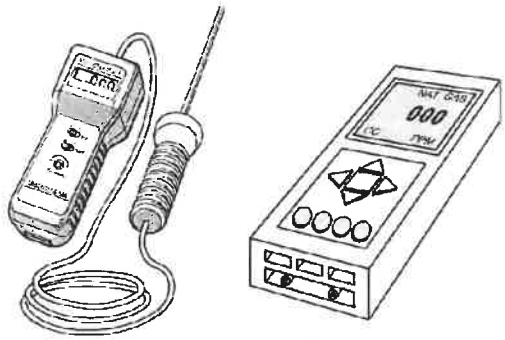
REMEMBER: If any CAS Hazard or CAS Fail condition is identified that cannot be corrected:

- (DOE Program or dwelling leveraged with DOE) The dwelling shall be DEFERRED.
- (LIHEAP) The dwelling shall be NIM (non-infiltration reduction measures) only.

13. Appliance Ambient CO Procedure

This test procedure measures CO put into the atmosphere by combustion appliances.

- It is required for all space heating appliances.
- It is performed on water heaters, when flue gas CO cannot be measured.
- It is not performed for solid-fuel appliances (wood- and pellet-burning stoves and fireplace inserts).



"ZEROED" CARBON MONOXIDE ANALYZERS
Graphic Credit: RHA, Inc.

Applicable water heating units are:

- ***Induced Draft Units***
  - When a test hole cannot be drilled in the pipe, and access to the flue termination is not feasible.
- ***Closed Combustion Units: When access to the flue termination is not feasible.***
- ***Indoor Tankless Water Heater Units***
  - Natural draft units when a probe or extension cannot be inserted inside the exhaust outlet; or
  - Induced draft and closed combustion units when access to the flue termination is not feasible.

13.1 CO ANALYZER OPERATION

Operate the CO analyzer in "as-measured" mode (not "air-free") for appliance ambient CO testing. Keep the Analyzer ON during the entire living space and appliance ambient CO test sequence, when possible. If turned off during testing, the zeroing process shall be repeated before resuming ambient CO tests.

13.2 TEST PROTOCOL FOR SPACE HEATING SYSTEMS

The test sequence requires the technician to perform the appliance ambient test for all gas space heating units, then document the reading(s) in the CSD 700 Form.

- Test Conditions and House Set-Up
  - This test shall *immediately follow* the *Second* living space ambient CO Test.
  - Operate all gas space heating appliances for at least 5 minutes.
  - All other combustion appliances and all exhaust fans and devices remain off.
  - All doors and windows remain as they were for the *First* living space ambient test.
  - Zero the CO analyzer outdoors again, if it was turned off after the ambient tests.
- Appliance Ambient CO Action Levels
  - CO Analyzer reading may stay the same, go down, or go up.[12]

[12] A change of 2 PPM or less is allowed, because small electronic "bounce" in the readout is common without measuring an actual change in CO concentration. If the appliance *is* leaking CO, the reading should increase more than 2 PPM.

TABLE 13.2.1: AMBIENT CO TESTING			
APPLIANCE	**APPLIANCE PREPARATION**	**TEST PROBE LOCATION**	**ACTION LEVELS (Maximum CO level before or after Service)**
Space Heating Systems	• Operate appliance for at least 5 minutes, except as noted. • Keep all other combustion appliances/exhaust fans off. • All doors and windows remain as they were for the 1st living space ambient CO test. • Zero the CO analyzer outdoors, if it was turned off after the initial ambient test.	• Ambient CO testing shall be performed before flue gas CO is measured. • Forced air units (FAUs) shall be checked for the presence of CO in the supply register nearest the furnace. Test probe is inserted into the register and directed into the airflow. • Heaters without ducts first shall be checked for CO in the atmosphere just above the heat exchanger (above top of the unit), then as prescribed below: - Wall furnaces: ▪ Test probe is placed just above the heat exchanger on both sides of draft hood inlet, or ▪ In the airflow of the built-in circulating fan, when present. - Floor Furnaces, Direct Vent, and Free-standing Heaters: Test probe is placed just above the top of the appliance.	• **Appliance Ambient** Action Level: CO maximum is 2 PPM above the 2nd Living Space Ambient CO reading. • If CO exceeds the Action Level, corrective action is required by a qualified technician. If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply.
The Ambient Tests below apply only to induced draft and closed combustion *storage* water heaters, and to *indoor tankless* water heaters, when a flue gas CO measurement is not feasible (i.e., the flue termination is on the roof or sidewall, and cannot be accessed). For this protocol, See Table 13.2.1 below.			
***Indoor* Tankless Water Heaters**	• Operate tankless water heater for one minute. • Note: A hot water faucet or valve must be open and hot water running, to keep the burner on during CO testing.	• Place the probe just above the water heater, and • Indoor pipe joints, if present.	• **Appliance Ambient** CO maximum is 9 PPM. • If CO exceeds the Action Level and manufacturer requirements, corrective action is required by a qualified technician. If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply.
Storage Water Heaters	• Operate appliance for at least 5 minutes, except as noted. • Keep all other combustion appliances/exhaust fans off.	• When flue gas CO cannot be measured, and there is no access to the vent termination, perform an Appliance Ambient CO test.	• Appliance Ambient CO maximum is 9 PPM. • If CO exceeds the Action Level, corrective action is required by a qualified technician. If correction is not feasible or

TABLE 13.2.1: AMBIENT CO TESTING			
APPLIANCE	**APPLIANCE PREPARATION**	**TEST PROBE LOCATION**	**ACTION LEVELS (Maximum CO level before or after Service)**
	• All doors and windows remain as they were for the 1st living space ambient CO test. • Zero the CO analyzer outdoors, if it was turned off after the initial ambient test.	• Examples of "no access" to the flue termination include the following: - Roof climb not feasible (e.g., inaccessible or roofing is deteriorated). - Sidewall termination is not safely accessible. - Roof-mount furnace is on a tile roof. • Mobile home closed combustion flue not accessible due to awnings along both sides. • Place the probe just above the water heater (and inducer unit, if applicable), and • Indoor pipe joints, if present.	allowed under the program, Section 5.1 of this appendix shall apply.

Step 6

FLUE GAS CO TEST

REMEMBER: If any CAS Hazard or CAS Fail condition is identified that cannot be corrected:

- (DOE Program or dwelling leveraged with DOE) The dwelling shall be DEFERRED.
- (LIHEAP) The dwelling shall be NIM (non-infiltration reduction measures) only.

14. Flue Gas CO Test Conditions and Procedures

Flue gas CO testing shall be performed for all natural gas and LP gas (propane) appliances.

14.1 CO ANALYZER OPERATION

All Flue Gas CO test readings shall be taken "as-measured", unless the CO tester is equipped with a(n):

- "Air-free" feature/function.
- CO sensor and an O_2 sensor with an on-board calculator.
- Probe extension.

The CO tester shall be properly calibrated and zeroed in accordance with this CSD TRM Appendix. (Note: Keep the Analyzer ON during the entire living space and appliance ambient CO test sequence, when possible. If turned off during testing, the zeroing process shall be repeated before resuming ambient CO tests).

For this test, CO shall be measured in the locations described in Tables 14.4.1 through 14.4.3.

Clearing the CO Sensor:
Before turning off a CO tester at the end of the flue gas CO test(s), run it in fresh air until after the CO reading stops dropping, which allows the pump to push fresh air through the sensor and clear out residual CO. This is especially important after measuring high levels of CO (helps maintain sensor accuracy).

14.2 TEST LOCATIONS

Both "as-measured" and "air-free" flue gas CO measurements are taken in the same location, ahead of/free of dilution air. The difference is that when a CO tester is set to measure "air-free", the tester uses both the CO and O_2 sensor and performs a calculation that provides a more accurate "air-free" reading.

- Natural Draft Appliances: The flue gas sample is taken inside of the flue (away from, and before the introduction of dilution air into the draft hood).
- Closed Combustion Appliances: The flue gas sample is taken by inserting the probe or extension into the flue gases inside the vent terminal (and away from ambient air).

"Air-free" measurements shall NOT be taken for: 1) ambient CO readings, or 2) for flue gas CO readings for these gas appliances: clothes dryers, cooktops, or refrigerators.

Action Levels are provided in Section 18 of this appendix.

14.3 OPEN AND CLOSED DOOR TESTS

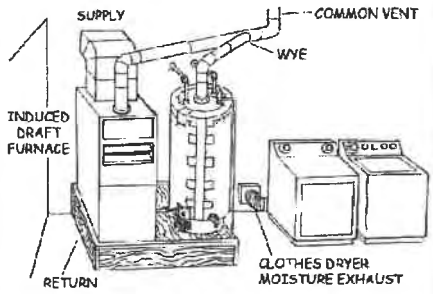
The flue gas CO tests must be performed with doors to the room or space containing the tested appliance both open and closed, with the results of each test recorded separately.

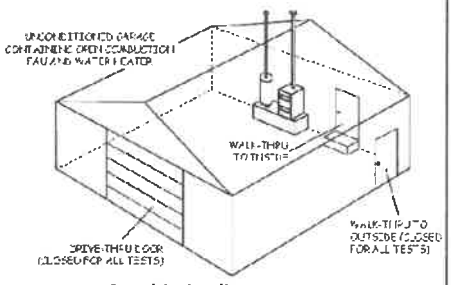
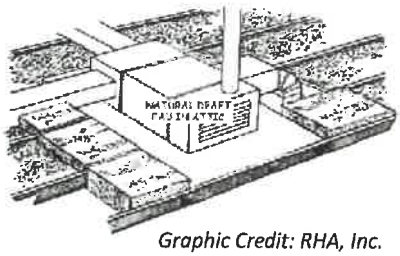
- When the enclosure is too small for a person to fit inside with the door closed, it is acceptable to do only the "Open Door" Test and circle "N/A" in the "Closed Door" box.
- Appliance CO checks shall be performed with doors to the space containing the tested appliance positioned as shown in Table 14.1.
  Note: Flue gas CO test conditions are the same for both Pre-CAS and Post-CAS tests.

MOBILE HOME TEST LIMITATIONS

- For **Mobile Homes,** roof access for CO testing is limited as follows:
  - The only type of mobile home roof that can be walked upon by weatherization crews is a sloping, wood-framed (e.g., truss) roof with continuous sheathing and roofing material in good condition (e.g., plywood sheathing covered with composition shingles or rolled roofing).
  - When a CO test is performed on a mobile home with a "flat" metal roof (flat or slightly sloping) on which climbing is not feasible or allowed:
    - A CO analyzer probe extension shall be used as needed to access the furnace vent termination without climbing on the roof.
- For **Mobile Homes,** CO tests in closed combustion vent pipes shall be achieved by:
  - Measuring flue gas CO inside the vent termination.
  - Using a probe extension as needed, to insert the end of the extension inside the vent pipe, to obtain a flue gas reading free of dilution air. The probe extension shall be long enough to reach the vent termination, and the end shall be bent sufficiently to reach inside the flue.
  - When flue gas cannot be measured (vent termination cannot be safely accessed), CO measurement is limited to an Appliance Ambient CO test.

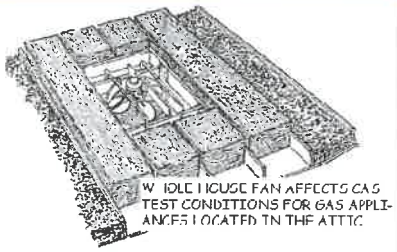
TABLE 14.1: INITIAL HOUSE SET-UP CONDITIONS FOR FLUE GAS CO TEST

Set-Up Condition	Action Prior to Testing
Standard Conditions	
Attic and Crawlspace— Access Door/Cover	• Close all attic and crawlspace access doors/covers during all CAS Testing, including tests of open combustion appliances located in the attic/crawlspace. • Perform only "Closed Door" tests, with access in the normal closed position.
FAU and Kitchen Exhaust Filters	• Clean or remove filter.
Clothes Dryer Lint Screen	• Clean lint screen.
Evaporative Cooler Vent Covers	• Cover discharge vents (when covers are available) or block vents.
Large Shell Leaks	• Block gaps/holes totaling 10 sq. in. or more that will be repaired. - Includes broken windows, glass, broken doors, and known holes in the envelope. Leaks may be blocked with tape, plastic, etc.
Multiple Appliances Sharing a Common Vent  *Graphic Credit: RHA, Inc.*	• When two appliances share a Common Vent, operate both appliances simultaneously during tests. • When a water heater that does not affect living space is commonly-vented with another unit that is not accessible, it is not necessary to operate the inaccessible unit during CAS tests. The cross-sectional area of the common vent pipe must equal the combined area of the vent connectors it serves. • Example: Area of two 3" pipes (2 x 7.1) = 14.2 sq. in., so they must vent into a 5" common vent (19.6 sq. in.). **Exceptions/Exclusions**: When CO in one appliance is sampled beyond the common vent wye, turn off the other appliance during that CO Test. Do when: • CO is checked at the vent termination of an Induced Draft Furnace, or • CO is measured in a test hole drilled in the common vent pipe beyond the wye.
Supply Registers	• Registers open. **Exceptions/Exclusions**: Close when located in a utility room, basement, etc. containing an open combustion appliance.
Exterior Doors/Windows	• Keep closed.
Appliance Enclosure Door	• Keep closed.
Closeable Hallways	• Open doors that close off the hallway from the main/open living areas. **Exceptions/Exclusions**: Close doors that close off the hallway from the main/open living areas only when: • Performing closed-door test on a wall furnace in the hallway, or • Performing closed- and open-door tests on an FAU or water heater in an enclosure with CVA vents to the hallway.
Doors to room containing an exhaust fan, when the door does not separate a supply register from a central return.	• Keep open.
Door to utility room with clothes dryer exhausted outdoors.	• Keep open. **Exceptions/Exclusions**: When a natural draft appliance in that room is being tested, the door is closed for the closed-door test.

Set-Up Condition	Action Prior to Testing
Door to Room with No Exhaust Fan	• Keep closed.
When a FAU is present...	• Close doors to rooms containing a supply register, when a central return is outside the room. Includes: - Bedroom/hallway door, when central return is in hallway. - Bedroom/hallway door, when both a supply register and a bathroom exhaust fan are present (bedroom/bathroom is open, and bathroom fan is on). - Bathroom/hallway door, when both a supply register and a bathroom exhaust fan are present (the bath fan is on).
Drive-thru door and garage windows	• Keep closed during all tests.
Door into Living Space	• *Closed* for closed-door tests—with air handler and exhaust devices located in the garage operating. • *Opened* for open-door tests—with air handler and exhaust devices in the living space and garage operating.  *Graphic Credit: RHA, Inc.* **Exceptions/Exclusions:** When a door from the garage into the living space is not present, an open-door test is not performed.
FAU Air Handler	• Operate air handler alone (without burner, when possible).
Combustion appliances that may affect the appliance being tested	• Operate other open combustion appliances located in, or drawing combustion air from, the same space.
Exhaust Fans/Devices	• Turn on kitchen and range hood exhaust fans, bathroom and utility room fans, clothes dryer, central vacuum system, and manually-controlled attic ventilators. • Do not operate whole house fan, (*except* as described near the end of this table for natural draft appliance present in attic). **Exceptions/Exclusions:** • Operation of air handler and exhaust fans/devices is not required, when CO testing a cooktop or oven not vented outdoors. • When: 1) a FAU and/or water heater are in an interior enclosure with solid door, and 2) all CVA venting is to *outdoors*, and 3) the door cannot be closed for CAS testing because the enclosure is too small, the air handler shall be on.
Natural draft water heater or FAU is present in the attic or crawlspace	• Turn off fans that increase pressure in the space (e.g., kitchen or bathroom fans exhausting directly into attic or crawl space). • Turn on manually-controlled fans that decrease pressure in the space (e.g., exhaust fans).  *Graphic Credit: RHA, Inc.*

<table>
<tr><th>Set-Up Condition</th><th>Action Prior to Testing</th></tr>
<tr><td>Pre-Wx CAS Test Conditions for Natural Draft Appliances Located in the Attic</td><td>

Exhaust fans that affect pressure in the attic shall be on during Tests.
CO and Draft Tests shall be performed with the whole house fan turned off, and repeated with the whole house fan turned on at high speed.
The worse of the two CO and Draft test results shall be recorded in the CSD 700.



Graphic Credit: RHA, Inc.
</td></tr>
<tr><td>If Appliance Fails CAS with Whole House Fan Operating</td><td>

Check for adequate NFVA, per this Appendix and manufacturer recommended exhaust ventilation for the fan.
If attic exhaust is less than 90% of recommended NFVA, additional venting must be installed to recommended NFVA, if feasible.
After Attic venting NFVA is increased, CAS Testing shall be repeated for the affected appliance(s).

Exceptions/Exclusions: When fan manufacturer's recommendation for attic exhaust ventilation is not available, these defaults may be used:

the table below, or by using this equation:
Min. Attic Exhaust NFVA sq. ft. = Fan CFM / 750. [13]
Note: Infiltration-reduction measures shall not be installed if:

Increased attic NFVA is needed but cannot be installed, or
An appliance in the attic still fails after attic NFVA is increased.

<table>
<tr><th colspan="4">WHOLE HOUSE FAN NFVA EXHAUST GUIDELINES</th></tr>
<tr><th>FAN CFM (AT HIGH SPEED)</th><th>MIN. ATTIC EXHAUST NFVA (SQ. FT.)</th><th>FAN CFM (AT HIGH SPEED)</th><th>MIN. ATTIC EXHAUST NFVA (SQ. FT.)</th></tr>
<tr><td>1,000</td><td>1.3</td><td>3,600</td><td>4.8</td></tr>
<tr><td>1,200</td><td>1.6</td><td>4,200</td><td>5.6</td></tr>
<tr><td>1,600</td><td>2.1</td><td>4,800</td><td>6.4</td></tr>
<tr><td>2,000</td><td>2.7</td><td>5,400</td><td>7.2</td></tr>
<tr><td>2,400</td><td>3.2</td><td>6,000</td><td>8.0</td></tr>
<tr><td>3,000</td><td>4.0</td><td>6,500</td><td>8.7</td></tr>
</table>
</td></tr>
</table>

[13] Fan CFM may be obtained from a label on the fan, the owner's manual, or from the fan manufacturer (e.g., online).

14.4 FLUE GAS CO TESTS BY APPLIANCE TYPE

Record test results in the CSD 700 Section that applies to the appliance being tested.

TABLE 14.4.1: NATURAL DRAFT OPEN COMBUSTION APPLIANCE—CO TESTING

APPLIANCE	APPLIANCE PREPARATION	TEST PROBE LOCATION	ACTION LEVELS (Maximum CO level before or after Service)
Furnace or Space Heater	Operate burner for 5 minutes before test.	• Perform Appliance Ambient CO tests as prescribed for a space heater in Section 13. • Insert probe or extension into the exhaust port(s) inside the draft hood. Check *each* exhaust port on multi-burner units, and *record each reading separately*. • When there is a baffle present (e.g., in a wall furnace), check CO on both sides of the baffle and *record the higher number*. • Note: If there is no access for flue gas measurement, CO Test is limited to Appliance Ambient CO for a space heater.	• CO Action Level for FAUs (all types), Direct Vent Wall Furnaces, and Floor Furnaces: Flue gas CO maximum is 100 PPM. • CO Action Level for Natural Draft Wall Furnace: 50 PPM • If CO exceeds the Action Level, corrective action is required by a qualified technician. If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply.
Storage Water Heaters	Operate burner for 5 minutes before test.	• Insert the probe extension down into the center tube in combustion gasses free of dilution air. Check on both sides of the baffle, and *record the higher number*. • If there is no access for flue gas measurement, perform an Appliance Ambient CO Test.	• CO Action Level for water heaters *other than* Natural Draft, CO Action Level is 100 PPM. • CO Action Level for Natural Draft Water Heater Taking Air from the Living Space: Flue gas CO maximum is 50 PPM. • If CO exceeds the Action Level, corrective action is required by a qualified technician. If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply.
Tankless Water Heaters—Indoors	Take CO reading after at least one-minute warm-up, with hot water running and the burner operating.	• Leave appliance cover on. • Use a L-shaped probe extension, if needed, to measure CO free of dilution air. • If there is no access for flue gas measurement, perform an Appliance Ambient CO Test in accordance with Section 13.	• CO Action Level: Flue gas CO maximum is 100 PPM. • If flue gas CO exceeds the Action Level, corrective action is required by a qualified technician. • If flue gas CO measurement is not feasible, perform an Appliance Ambient CO Test. (Ambient test Action Level = 9 PPM). • After service: Action Level or as specified by manufacturer.

TABLE 14.4.1: NATURAL DRAFT OPEN COMBUSTION APPLIANCE—CO TESTING			
APPLIANCE	**APPLIANCE PREPARATION**	**TEST PROBE LOCATION**	**ACTION LEVELS (Maximum CO level before or after Service)**
Tankless Water Heaters—Outdoors	Take CO reading after at least one-minute warm-up, with hot water running and the burner operating.	• Leave appliance cover on. • Flue gas CO shall be checked inside the exhaust outlet. • Draft test and appliance ambient CO test are not applicable.	• Flue gas CO Action Level: 100 PPM (or as specified by manufacturer). • If flue gas CO measurement is not feasible, or if flue gas CO exceeds the Action Level, corrective action is required by a qualified technician. If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply. • After service: Action Level or as specified by manufacturer. If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply.
Clothes Dryer	• Lint filter shall be clean. • Drum may be left "as found" (i.e., may contain clothes) during the CO test; however, if CO exceeds the Action Level, empty drum & recheck. • Measure CO after 30 seconds of burner operation (burner is lit); may cycle off quickly when drum is empty.	• Insert the probe or extension inside the moisture exhaust termination, or • If lint screen is accessed from the top of the dryer, insert the probe/extension deep into the lint screen cavity (near the bottom). Be careful to not hit the fan blade. • Appliance ambient test is not required.	• CO Action Level: maximum 100 PPM. • If CO exceeds the Action Level, corrective action is required by a qualified technician. If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply. • As a non-essential appliance, a malfunctioning unit may be abandoned with client permission to correct a fail condition (i.e., flexible gas connector removed and line (shutoff) valve capped or line valve removed and the line capped).
Cooking Appliance—Cooktop Burners	• With oven and broiler burners off, operate each cooktop burner separately for at least 15 seconds. • If griddle is present, operate griddle for at	• The air handler, kitchen exhaust, and other exhaust devices in the home shall be off during test of the cooktop. • Set burner at the highest setting, with the grate in place (Note: Clean grate if very dirty/greasy). • Hold probe approximately 12" above the flame (positioned horizontally, not pointing into flame).	• CO Action Level: maximum 100 PPM. • If CO exceeds 100 PPM after 15 seconds, burner may be operated longer (e.g., up to a minute) and retested. • If CO exceeds the Action Level, corrective action is required by a qualified technician. If correction is

TABLE 14.4.1: NATURAL DRAFT OPEN COMBUSTION APPLIANCE—CO TESTING

APPLIANCE	APPLIANCE PREPARATION	TEST PROBE LOCATION	ACTION LEVELS (Maximum CO level before or after Service)
	least 5 minutes before taking CO reading.	• If a griddle is present, insert probe inside the port opening, with the griddle in place.	not feasible or allowed under the program, Section 5.1 of this appendix shall apply.
Cooking Appliance—Oven and Broiler Cooking Appliance—Oven and Broiler (cont.)	• With cooktop and broiler off, operate the oven burner on highest "Bake" setting for a minimum of 5 minutes. • When a separate broiler burner is present, operate on "Broil" setting for 5 minutes (with oven burner off).	• The air handler, kitchen exhaust, and other exhaust devices in the home shall be off during test of the oven/broiler. • Insert probe into oven exhaust termination (on a range, usually located at back of cooktop). • For ovens *vented outdoors:* (a) Test ahead of where dilution air is added, or (b) block dilution air inlet and insert probe or extension inside the vent termination outdoors. • For convection ovens, measure CO in convection mode (fan on) and then in standard mode (fan off), and *record the higher reading*.	• CO Action Level maximum is 200 PPM. • If CO exceeds 200 PPM after 5 minutes, warm up time shall be increased (up to 30 minutes), and unit shall be re-tested. • If CO exceeds the Action Level, corrective action is required by a qualified technician. If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply.
Cooking Appliance with Space Heater or Incinerator	• The heater/incinerator shall be operated for a minimum of 5 minutes on the highest burner setting.	• If the heater/incinerator is not vented outdoors, the home is NIM. • For a heater/incinerator vented outdoors, measure flue gas CO in the exhaust stream ahead of dilution air. • When a draft hood is present, measure CO in the exhaust port inside the draft hood. • When there is no draft hood, measure CO: - Inside the vent termination, or - Inside a CO test hole in the vent pipe. (Drill test hole, then seal.) • Note: Appliance Ambient CO test is required, as prescribed above for a space heater.*	• CO Action Levels for a heater/incinerator vented outdoors: CO maximum is 100 PPM. • If CO exceeds the Action Level, corrective action is required by a qualified technician. If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply. • If heater/incinerator is not vented outdoors, Section 5.1 of this appendix shall apply.
Gas Log	• Operate gas burner for a minimum of 5 minutes before checking CO.	• When the gas log is the primary heat source: - The damper must be blocked partially open (e.g., with a damper clamp) sufficiently to prevent spillage. - If it is not possible to adequately open the damper, the home is NIM, until the damper is brought into conformance.	• CO Action Level maximum is 40 PPM. • If CO exceeds the Action Level, corrective action is required by a qualified technician. If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply.

TABLE 14.4.1: NATURAL DRAFT OPEN COMBUSTION APPLIANCE—CO TESTING			
APPLIANCE	**APPLIANCE PREPARATION**	**TEST PROBE LOCATION**	**ACTION LEVELS (Maximum CO level before or after Service)**
	• If CO exceeds maximum after 5 minutes, increase warm-up time up to 30 minutes and retest (Note: concrete logs require longer warm-up than ceramic logs).	• When glass doors are present, they shall be fully open during all tests. • To measure "flue gas" CO, place probe *just inside* the top edge of the fireplace opening, holding probe horizontally. Do not place the probe inside the fireplace (fire box) or point it downward toward the flame. - Appliance ambient CO test is not required. • When gas log is not the primary heat source, and the damper is not blocked partially open: - Educate occupants about the need to keep the damper open when the gas log is operating. - Document education [e.g., note in CSD 700].	• When a non-essential appliance, a malfunctioning unit may be abandoned to correct a fail condition (i.e., flexible gas connector removed and line (shutoff) valve capped or line valve removed and the line capped).
Gas Fireplace (Free-Standing or Fireplace Insert)	• Operate unit for 5 minutes before test.	• Measure Appliance Ambient CO as prescribed for a space heater. • Measure flue gas CO inside the dilution air intake, with the probe extension directed downward into the flue (as you would into a water heater center tube). • If there is no access for flue gas measurement, CO Test is limited to Appliance Ambient CO.	• CO maximum is 100 PPM. • If CO exceeds the Action Level, corrective action is required by a qualified technician. If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply.

TABLE 14.4.2: INDUCED DRAFT OPEN COMBUSTION APPLIANCE—CO TESTING

APPLIANCE	APPLIANCE PREPARATION	TEST PROBE LOCATION	ACTION LEVELS (Maximum CO level before or after Service)
Furnace or Space Heater	• Operate burner for 5 minutes before test. • Note: Drill a test hole in an induced draft appliance vent pipe to measure flue gas CO(also use for draft test). • Drill hole as feasible, when the vent termination cannot be safely accessed. - Follow test hole instructions in Section 15.	• Perform Room and Appliance Ambient CO tests as prescribed for a space heater in Sections 12 & 13. • To measure flue gas CO, insert probe/extension inside the vent termination on the roof (or the sidewall, if horizontal). • When roof climb is not feasible, or sidewall termination cannot be reached, use a 1/4" OD aluminum probe extension (up to 10' long) when allowed by the tester manufacturer. • When termination cannot be reached, but drilling a test hole is feasible per Section 15 requirements, insert probe into the test hole. Seal hole after test. • If there is no access for flue gas measurement, CO Test is limited to Appliance Ambient CO for a space heater.*	• CO Action Levels: - Appliance Ambient CO maximum is 9 PPM. - Flue gas CO maximum is 100 PPM. • If flue gas CO measurement is not feasible, or if flue gas CO exceeds the Action Level, corrective action is required by a qualified technician. If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply.
Storage Water Heaters	• Operate burner for 5 minutes before test.	• Insert probe inside the vent termination. • When termination cannot be reached, but drilling a test hole is feasible in accordance with "Draft Test" section requirements, insert probe into the test hole. Seal hole after test. • If there is no access for flue gas measurement, perform an Appliance Ambient CO Test as in Section 13.2.	• CO Action Levels: - Appliance Ambient CO maximum is 9 PPM. - Flue gas CO maximum is 100 PPM. • If flue gas CO measurement is not feasible, or if flue gas CO exceeds the Action Level, corrective action is required by a qualified technician. If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply.

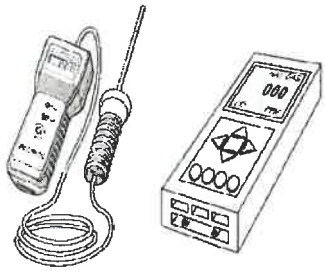
TABLE 14.4.3: CLOSED COMBUSTION (DIRECT VENT) APPLIANCE—CO TESTING

APPLIANCE	APPLIANCE PREPARATION	TEST PROBE LOCATION	ACTION LEVELS (Maximum CO level before or after Service)
Furnace or Space Heater	• Operate natural gas or LP burner for 5 minutes before test.	• Perform Room and Appliance Ambient CO tests as prescribed for a space heater in Sections 12 & 13. • Insert probe/extension in exhaust outlet at the vent termination, or sidewall if horizontal (e.g., on the roof for a mobile home FAU, or on the sidewall for a direct vent wall furnace). • If there is no access for flue gas measurement, CO Test is limited to Appliance Ambient CO for a space heater.*	• CO Action Levels: - Appliance Ambient CO maximum is 9 PPM. - Flue gas CO maximum is 100 PPM. • If flue gas CO or Appliance Ambient exceeds the Action Level, corrective action is required by a qualified technician. If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply.
Storage Water Heaters	• Operate natural gas or LP burner for 5 minutes before test.	• Insert the probe extension down into the center tube in combustion gasses free of dilution air. Check on both sides of the baffle, and *record the higher number*. • If there is no access for flue gas measurement, perform an Appliance Ambient CO Test in accordance with Section 13.	• CO Action Levels: - Appliance Ambient CO maximum is 9 PPM. - Flue gas CO maximum is 100 PPM. • If flue gas CO or Appliance Ambient exceeds the Action Level, corrective action is required by a qualified technician. If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply.
Tankless Water Heaters—Indoors	• Take CO reading after at least one-minute warm-up, with hot water running and the burner operating.	• Leave appliance cover on. • Insert probe/extension: - Inside the vent termination, free of dilution air, or - At the manufacturer's test port, if present and accessible (e.g., in the exhaust collar). • If there is no access for flue gas measurement, perform an Appliance Ambient CO Test in accordance with Section 13.	• CO Action Levels: - Appliance Ambient CO maximum is 9 PPM. - Flue gas CO maximum is 100 PPM. • A flue gas CO measurement shall be taken at the vent terminal. If not feasible, an appliance ambient test is required. If the test exceeds the appropriate Action Level, corrective action is required by a qualified technician. • If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply.
Tankless Water Heaters—Outdoors	• Take CO reading after at least one-minute warm-up, with hot water running and the burner operating.	• Measure flue gas CO inside the vent termination. • Draft test and appliance ambient CO tests are not applicable.	• Flue gas CO maximum Action Level is 100 PPM (or as specified by manufacturer).

TABLE 14.4.3: CLOSED COMBUSTION (DIRECT VENT) APPLIANCE—CO TESTING			
APPLIANCE	**APPLIANCE PREPARATION**	**TEST PROBE LOCATION**	**ACTION LEVELS (Maximum CO level before or after Service)**
			• If flue gas CO at the termination exceeds 100 PPM, but the appliance does not "affect living space", no action is required. • If appliance affects the living space and flue gas CO at the termination exceeds the Action Level, corrective action is required by a qualified technician. • If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply.
Direct Vent Gas Fireplace (Free-Standing or Insert)	Operate unit for 5 minutes before test.	• Measure Appliance Ambient CO as prescribed for a space heater. • Measure CO in the exhaust outlet at the vent termination. • If there is no access for flue gas measurement, CO Test is limited to Appliance Ambient CO.	• CO Action Levels: - Appliance Ambient CO maximum is 9 PPM. - Flue gas CO maximum is 100 PPM. • If flue gas CO exceeds the Action Level, corrective action is required by a qualified technician. If correction is not feasible or allowed under the program, Section 5.1 of this appendix shall apply.

14.5 APPLIANCE AMBIENT PROCEDURE FOR WATER HEATERS WHEN FLUE GAS CO TEST IS NOT FEASIBLE

This test applies only to induced draft and closed combustion *storage* water heaters, and to *indoor tankless* water heaters, when a flue gas CO measurement is not feasible (i.e., the flue termination is on the roof or sidewall, and cannot be accessed). For this protocol, see Section 14.3 of this Appendix.


"ZEROED" CARBON MONOXIDE ANALYZERS

Graphic Credit: RHA, Inc.

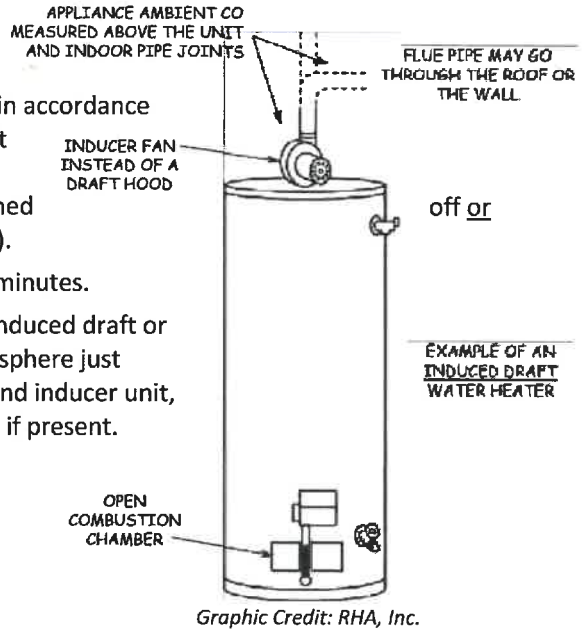
14.5.1 CO ANALYZER OPERATION

Operate the CO analyzer in "as measured" mode (not "air-free"). Keep the Analyzer on during the entire living space and appliance ambient CO test sequence, when possible. If turned off during testing, repeat the zeroing process before resuming ambient CO tests.

14.5.2 TEST PROTOCOL

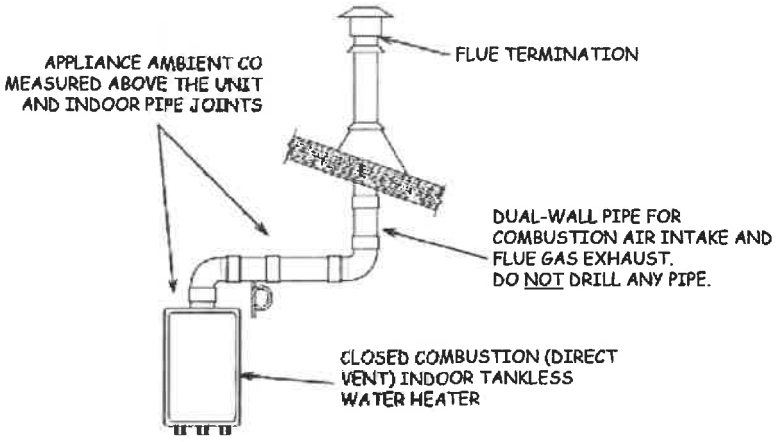
The test sequence requires the technician to perform the appliance ambient test for qualifying water heating units, then document the reading in the CSD 700 Form, with a notation that it is an ambient CO reading.

- Test Conditions
  - The Water heater being tested must be operating.
  - All other combustion appliances and all exhaust fans/devices are turned off.
  - For indoor units, doors and windows are set as prescribed for the *First* living space ambient CO test.
- Appliance Ambient CO Procedure for Storage Water Heaters
  - Obtain a "zeroed" Outdoor Reading in accordance with the living space ambient CO test procedure. (Note: "Zero" the CO analyzer outdoors again if it was turned it was used for a flue gas CO reading).
  - Operate burner for a minimum of 5 minutes.
  - Measure appliance ambient CO for induced draft or closed combustion units in the atmosphere just above the top of the water heater (and inducer unit, if applicable), and indoor pipe joints, if present.



Graphic Credit: RHA, Inc.

- Appliance Ambient CO Procedure for Tankless Water Heaters (indoor units only)
  - Burner shall be operated for a minimum of 1 minute.
    (Note: To activate burner and keep it on for the test, a hot water faucet must be open with hot water running).
  - All other gas appliances shall remain off.
  - CO shall be measured in the atmosphere just above the top of the water heater, and indoor pipe joints, if present.
- Appliance Ambient CO Action Levels
  - These special appliance action levels apply to both storage and tankless water heaters.
  - If Appliance ambient CO is higher than 9 PPM, infiltration-reduction measures shall not be installed until after the unit is checked / serviced by a qualified technician and is operating safely per manufacturer's specifications.



Graphic Credit: RHA, Inc.

Step 7

DRAFT & SPILLAGE CHECKS

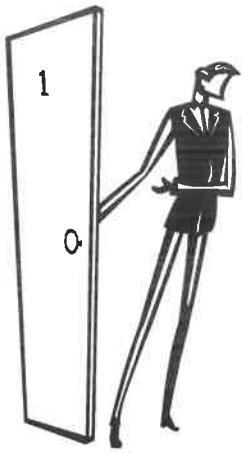
REMEMBER: If any CAS Hazard or CAS Fail condition is identified that cannot be corrected:

- (DOE Program or dwelling leveraged with DOE) The dwelling shall be DEFERRED.
- (LIHEAP) The dwelling shall be NIM (non-infiltration reduction measures) only.

15. Draft and Spillage Checks

There are three types of draft checks for open combustion appliances:

- Instrumented (Measured) Draft test—Performed on all natural draft appliances when feasible, and on induced draft appliances when a CO test hole was drilled.
- Visual Draft Test—Performed when instrumented test is not possible or for interim CAS test.
- Spillage Checks—Performed on all natural draft appliances.



15.1 OPEN AND CLOSED DOOR DRAFT TESTS

When possible, draft tests must be performed with doors to the room or space containing the tested appliance both open and closed, with results from each test recorded separately.

- When the enclosure is too small for a person to fit inside with the door closed, perform only the "Open Door" Test, and circle "N/A" in the "Closed Door" box.
- Confined Area/Hallway: For an appliance in a confined area that can be closed off completely with doors (e.g., wall furnace or appliance enclosure in a hallway that can be closed off from kitchen, living room, etc.):
  - "Closed Door" Test: all hallway doors closed.
  - "Open Door" Test: hallway door(s) open to a common area.

15.2 APPLIANCE SET-UP

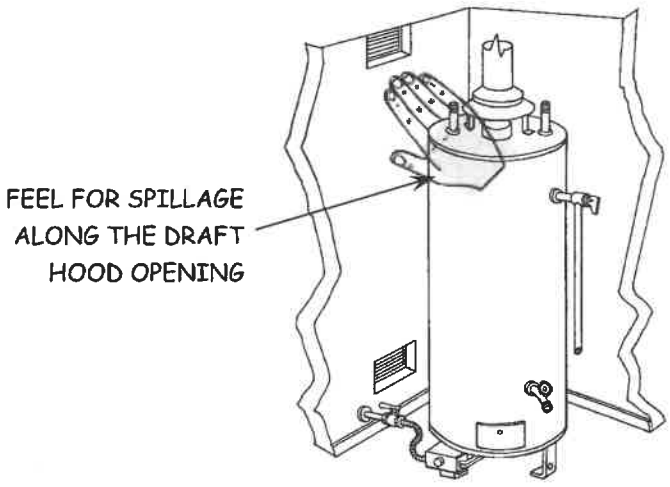
Operate gas burners for 5 minutes before performing the Instrumented Draft Test and Visual Draft Test, *except* as individually noted in the test procedures on the following pages.

For the Spillage Check, the gas burners must be operated as noted below:

- Within 2 minutes of main burner operation for a "warm vent", and
- Within 5 minutes of main burner operation for a "cold vent".

"Cold vent" exists when an appliance heat setting has been set to OFF. "Warm vent" exists for an appliance when the heat setting is turned to ON and the appliance has been operating.

Water heaters are *always* tested using a "warm vent" time requirement.

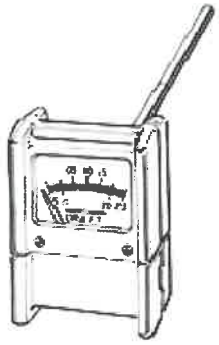


15.3 INSTRUMENTED (MEASURED) DRAFT TEST

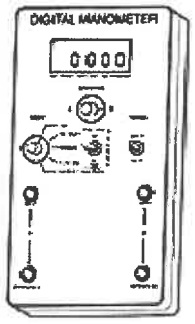
An Instrumented Draft Test is required only as described in Table 15.3 below, using: a draft gauge, the draft function on a CO tester, or a digital Manometer (gauge from Duct Blaster or Blower Door), as pictured at the right.

TABLE 15.3: INSTRUMENTED DRAFT TEST BY APPLIANCE AND WHEN REQUIRED

Combustion	Appliance Type	Instrumented Draft Test—When Required
Natural Draft Open Combustion	FAU/Space Heater, Storage Water Heater, and Vented Oven	Perform when a test hole can be drilled.
	Indoor Tankless Water Heaters	Perform when a test hole can be drilled. (Instrumented Draft Test is not feasible for all other tankless types.)
Induced Draft Open Combustion	FAU/Space Heater and Storage Water Heater	Draft test is only required when a flue gas CO test hole is drilled because CO measurement is not feasible at the vent termination (see Table 13.1.2). If the flue gas CO reading is accessible, drilling a hole just for a Draft Test is not required.
Closed Combustion	FAU/Space Heater and Storage Water Heater	An instrumented draft test is not applicable (draft test holes shall not be drilled).



DRAFT GAUGE
(READS IN IWC)



DIGITAL MANOMETER
(READS IN PASCALS)

Graphic Credit: RHA, Inc.

15.4 INSTRUMENTED DRAFT TEST PROCEDURES

TABLE 15.4.1 –INSTRUMENTED DRAFT TEST FOR OPEN COMBUSTION APPLIANCES (*except Tankless Water Heaters*)

1.	Correct draft hood defects.	If draft hood is misaligned or missing, or if multiple draft hoods are present, the condition shall be corrected before the draft test.
2.	Measure outside temperature in the shade and record.	Measure the outside temperature in the shade. When instrumented draft tests are performed at different times of day, recheck outdoor temperature each time and note on the CSD 700 form.

3.	Drill test hole for Instrumented Draft Test.
	
		• Drill test hole in a straight section of metal vent pipe:
		  - Natural Draft: 12" to 24" beyond the draft hood opening
		  - Induced Draft: Approximately 36" beyond the Inducer Fan (Drill induced draft vent pipe only when needed and feasible for CO Test, *not* for Draft Test only).
		• Hole diameter:
		  - For all pipes: Appropriate for the test probe and plug button, but no larger than necessary (e.g., 5/16" for 1/4" outside diameter [OD] probe).
		  - For B-vent (if not prohibited by pipe manufacturer): The outer hole is slightly larger, to facilitate application of high-temperature (e.g., RTV) silicone to seal the inner hole. It is sized to fit available plug buttons.
		• The test hole shall not be drilled in:
		  - An elbow, or a loose or improperly-secured pipe.
		  - Pipe for a mechanical draft system under positive pressure (e.g., stainless steel pipe with sealed joints).
		  - Flexible pipe (i.e., ribbed flexible aluminum vent connector).
		  - Asbestos-based pipe (e.g., "transite" pipe).
		  - Double-wall or B-vent metal pipe, if drilling will void pipe warranty, or is prohibited by local code.

TABLE 15.4.1 –INSTRUMENTED DRAFT TEST FOR OPEN COMBUSTION APPLIANCES (*except Tankless Water Heaters*)

<table>
<tr>
<td>4.</td>
<td>Measure appliance drafting.</td>
<td>
Use approved instrument to measure appliance draft (i.e., draft gauge, CO tester, digital manometer).

Insert tester probe through the test hole, to the center of vent pipe.
Draft is adequate and the appliance "passes" draft, only when negative pressure reading inside the vent pipe equals or exceeds the values shown in the table below.
A reading that is not negative/low enough is a CAS Fail, and is a Hazard Fail when spillage is also present. See "Corrective Action" below.

MINIMUM ACCEPTABLE DRAFT
Based on the Building Performance Institute (BPI) Standard.
<table>
<tr><th>OUTDOOR TEMP</th><th>IWC MINIMUM</th><th>PA MINIMUM</th></tr>
<tr><td>Below 31°F</td><td>–0.008 IWC</td><td>–2.00 Pa</td></tr>
<tr><td>31°F to 40°F</td><td>–0.007 IWC</td><td>–1.75 Pa</td></tr>
<tr><td>41°F to 50°F</td><td>–0.006 IWC</td><td>–1.50 Pa</td></tr>
<tr><td>51°F to 60°F</td><td>–0.005 IWC</td><td>–1.25 Pa</td></tr>
<tr><td>61°F to 70°F</td><td>–0.004 IWC</td><td>–1.00 Pa</td></tr>
<tr><td>71°F to 80°F</td><td>–0.003 IWC</td><td>–0.75 Pa</td></tr>
<tr><td>Above 80°F</td><td>–0.002 IWC</td><td>–0.50 Pa</td></tr>
</table>

A draft gauge is usually calibrated in "inches of water column" (iwc). A digital manometer is usually read in Pascals (Pa). A CO Tester with Draft function may read in either iwc or PA.
Negative pressures are affected by the outdoor temperature, which is why a temperature reading is required.

</td>
</tr>
<tr>
<td>5.</td>
<td>Plug draft test hole.</td>
<td>
Following the Instrumented Draft test, the test hole must be sealed as described below.

Single-Wall Pipes:

Shall be capped with a snugly-fitting plug button.
May be additionally sealed with UL listed metallic tape, and/or with high-temperature non-hardening sealant (e.g., 450°F RTV red silicone).

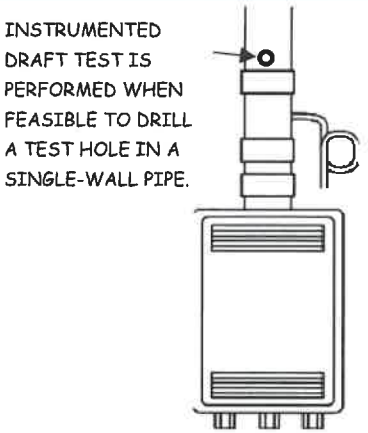
</td>
</tr>
</table>

TABLE 15.4.1 –INSTRUMENTED DRAFT TEST FOR OPEN COMBUSTION APPLIANCES (*except Tankless Water Heaters*)

		• Double-Wall Pipes—Method A (Recommended only when allowed by Type B Manufacturers): - Insert the nozzle of a small tube of RTV silicone through the larger outer hole. - Apply enough caulk to seal the inner hole with a glob of the silicone. - Seal the outer hole with a properly-sized plug button. • Double-Wall Pipes—Method B (Alternative when allowed by Type B Manufacturers): - Apply high temperature RTV silicone caulk to the threads of a tight-fitting stainless steel bolt. - Size bolt to cover the larger outer hole and extend maximum 3/8" into the inner pipe. - Ensure that RTV silicone is on the portion of threads that extends into the inner pipe.
6.	Corrective Action	When Draft is not adequate, corrective action by a qualified technician is required. If correction is not feasible or not allowed under the program, Section 5.1 of this appendix shall apply.

TABLE 15.4.2 -- INSTRUMENTED DRAFT TEST FOR *TANKLESS WATER HEATERS ONLY*

1.	Ensure that front cover is in place.	Front cover may be removed to read the nameplate, but it shall be in place during all appliance-on tests.
2.	Operate appliance.	Operate appliance for a minimum warm-up of one minute. You must run hot water to operate the burner during tests.
3.	Drill test hole for Instrumented Draft Test.	Instrumented Draft Tests are <u>not</u> feasible for the following Tankless Water Heater Types: • Induced draft (power vent) units; • Open combustion outdoor units; and • Direct vent (closed combustion) indoor and outdoor units. Perform an Instrumented Draft Test for <u>open combustion indoor</u> tankless water heaters: • Drill test hole in a straight section of metal vent pipe within 24" above the unit in a straight length of pipe, when not prohibited by the manufacturer or local code. • <u>Note</u>: The test hole shall <u>not</u> be drilled in: - Any sealed mechanical draft system vent pipe that is under positive pressure (e.g., Category III stainless steel pipe with sealed joints). - An elbow, or a loose or improperly-secured pipe. - Flexible pipe (i.e., ribbed flexible aluminum vent connector). - Asbestos-based pipe (e.g., "transite" pipe). - Double-wall or B-vent metal pipe, if drilling will void pipe warranty, or is prohibited by local code. • Hole diameter: - For all pipes: Appropriate for the test probe and plug button, but no larger than necessary (e.g., 5/16" for 1/4" outside diameter [OD] probe). - For B-vent (if not prohibited by pipe manufacturer): The outer hole is slightly larger, to facilitate application of high-temperature (e.g., RTV) silicone to seal the inner hole. It is sized to fit available plug buttons.
4.	Measure Draft.	• Use an approved instrument to measure appliance draft. Draft is adequate and the appliance "passes" draft, only when negative pressure inside the vent pipe equals or exceeds the values shown in **Table 14.4** (or manufacturer's specifications, if different).



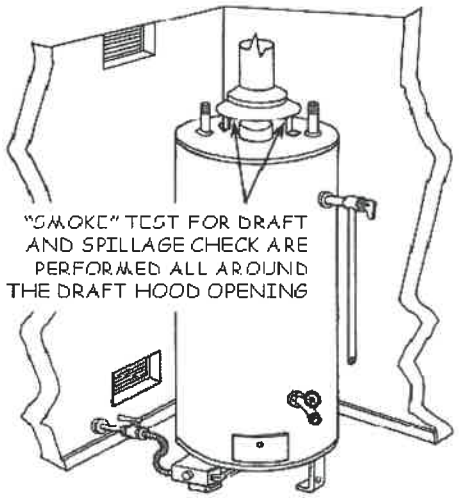
Graphic Credit: RHA, Inc.

		• Inadequate draft is a Fail, and is a **Hazard Fail** when accompanied by spillage. Fails shall be addressed per Item 6: "Corrective Action" below.
5.	Plug draft test hole.	Following the Instrumented Draft test, the test hole must be sealed as described below. • Single-Wall Pipes: - Shall be capped with a snugly-fitting plug button. - May be additionally sealed with UL listed metallic tape, and/or with high-temperature non-hardening sealant (e.g., 450°F RTV red silicone). • Double-Wall Pipes—Method A (Recommended only when allowed by Type B Manufacturers): - Insert the nozzle of a small tube of RTV silicone through the larger outer hole. - Apply enough caulk to seal the inner hole with a glob of the silicone. - Seal the outer hole with a properly-sized plug button. • Double-Wall Pipes—Method B (Alternative when allowed by Type B Manufacturers): - Apply high temperature RTV silicone caulk to the threads of a tight-fitting stainless steel bolt. - Size bolt to cover the larger outer hole and extend maximum 3/8" into the inner pipe. - Ensure that RTV silicone is on the portion of threads that extends into the inner pipe.
6.	Corrective Action	When Draft is not adequate, corrective action by a qualified technician is required. If correction is not feasible or not allowed under the program, Section 5.1 of this appendix shall apply.

15.5 VISUAL DRAFT CHECK

A Visual Draft Test shall be performed on natural draft appliances, *when an Instrumented Draft Test is not feasible*.

***TABLE 15.5.1* -- VISUAL DRAFT TEST FOR NATURAL DRAFT SPACE HEATERS AND WATER HEATERS**

1.	Apply smoke around draft hood opening.	Perform a Visual Draft Test only when an Instrumented Draft Test is not feasible (e.g., a proper test hole cannot be drilled).
		• Note: A Visual Draft Test shall not be used in the place of a feasible Instrumented Draft Test.
		• Apply smoke along the entire draft hood opening, near the top of the opening.
		  - Use a smoke "puffer", smoke "pencil", incense stick, an extinguished match, etc. Smoke from lighted match or cigarette is not acceptable.
		  - Open flames at the draft hood can cause unburned fuel in the vent to explode.
		  - Light tester 2 feet away from the appliance, extinguish the flame, and then place the smoking tester near the draft hood opening.
		• Draft is adequate only if smoke is drawn into the entire draft hood opening, and is, and continuous spillage is not present.
		  - If the smoke is consistently drawn inward, the appliances "passes" draft testing.
		  - If not, see the listed "Corrective Action" below in Item 5.
		 
		
		Graphic Credit: RHA, Inc.

VISUAL DRAFT TEST FOR ALL OTHER APPLIANCES

2.	**Tankless Water Heaters**	**When an Instrumented Draft Test is not feasible:** • Draft shall be checked by applying "smoke" along the entire dilution air intake, if it is located directly outside the draft hood. • Open Combustion Indoor Tankless Water Heater - If a dilution air intake is not located in the front cover directly outside the draft hood (i.e., dilution air is drawn from the bottom or elsewhere in unit), Visual Draft Test is not feasible. - Draft is adequate only if smoke is drawn into the opening.
3.	**Gas Logs**	Perform a Visual Draft Test with glass doors open, if present. • Fireplace damper shall be open (or blocked partially open, if applicable). • Apply "smoke" along the entire top of the fireplace (lintel) at the edge of the opening. • Draft is adequate only if smoke is drawn inward along the entire fireplace opening. If inadequate, the corrective action policy shall apply.
4.	**Gas Fireplaces/ Inserts**	Perform a Visual Draft Test • Apply "smoke" along the edge of the dilution air intake opening. • Draft is adequate only if smoke is drawn inward along the entire dilution air intake opening. • If draft is inadequate and accompanied by spillage, the corrective action policy shall apply.
CORRECTIVE ACTION FOR ALL APPLIANCES		
5.	Appliance is Not Drafting Properly.	• If draft is inadequate, it is considered a CAS Fail, or a CAS Hazard when accompanied by spillage. Corrective action by a qualified technician will be required or TRM Appendix A, item 5.1 will apply.

15.6 SPILLAGE CHECK

A Spillage Check shall be performed on all natural draft appliances.

***TABLE 15.6.1* -- SPILLAGE CHECK FOR NATURAL DRAFT SPACE HEATERS AND WATER HEATERS**

1.	Check for spillage around entire draft hood opening.	• Perform a Spillage Check on all natural draft appliances. • Using the back of the hand, a small mirror, or smoke generator, move along/around the entire draft hood opening. • Spillage is present when warm moisture is felt on the hand, or there is fogging on the mirror, or smoke is pushed away from the opening: - At 2 minutes of main burner operation for a warm vent, and - At 5 minutes of main burner operation for a cold vent. • If spillage is continuous (e.g., not caused momentarily by gusts of wind), the condition is a **Hazard Fail** and shall be addressed as described in Item 2: "Corrective Action" below. *Graphic Credit: RHA, Inc.*
2.	Corrective Action.	When: • Instrumented or Visual Draft Tests indicate draft is not adequate, and/or • Spillage Check indicates unacceptable spillage is present, then... Corrective action by a qualified technician is required. If correction is not feasible or not allowed under the program, Section 5.1 of this appendix shall apply.

Step 8

COMBUSTION APPLIANCE ZONE (CAZ) TESTING

REMEMBER: If any CAS Hazard or CAS Fail condition is identified that cannot be corrected:

- (DOE Program or dwelling leveraged with DOE) The dwelling shall be DEFERRED.
- (LIHEAP) The dwelling shall be NIM (non-infiltration reduction measures) only.

16. Summary of CAZ Test Procedures

A series of Combustion Appliance Zone (CAZ) Tests is required, when at least one of the appliances below is present in a dwelling.

- In CONVENTIONAL Homes where:
  - A solid-fuel appliance draw combustion air from the living space.
- In MOBILE Homes—when combustion air is drawn from the living space by any of the following:
  - Open combustion gas/oil furnace.
  - Open combustion gas/oil water heater.
  - Solid-fuel stove or stove insert (wood, pellet, or coal-burning).

16.1 OVERVIEW OF STEPS YOU WILL TAKE TO PERFORM THE CAZ PROCEDURE

CAZ testing consists of the 4 steps listed below. The house must be "set up" for each step; then the Combustion Appliance Zone (CAZ) procedure related to that house set-up will follow.	
1.	Measure "Baseline Pressure" in the CAZ. That is the pressure in the building cause by natural atmosphere conditions (wind, stack effect, chimney effect, etc.). The set-up of the house is in Section 16.3 and the Baseline Test procedure is in Section 16.4.
2.	Determine "Worst Case" CAZ Pressure. In this step, you will measure CAZ pressure under each of three test conditions: A, B, and C. Each condition requires you to "Smoke the Doors" as described in the shaded box to adjust the house set-up and take a new reading. Condition B and Condition C are only required when the home has a FAU.
3.	Evaluate the Worst Case Condition. For *each* "condition", you compare the measured CAZ pressure with the House Depressurization Limit (HDL). The HDL is the most a CAZ can be depressurized and still be considered safe for the type of appliance in the CAZ. See the HDL Table in Section 16.9 (Table 16.9.1).
4.	Determine whether corrective action is needed. Correction will be required when the CAZ is depressurized *more than* the HDL (is more negative). Possible corrections are listed in Sections 16.10 and 16.11.

16.2 WORKSHEET FOR RECORDING CAZ TESTING DATA

As you are performing the CAZ tests, the data must be recorded in the worksheet below. This data is tracked by the field personnel who are performing the CAZ procedures. Each of the test results from the following CAZ procedures shall be recorded here and worksheet kept in the client's file.

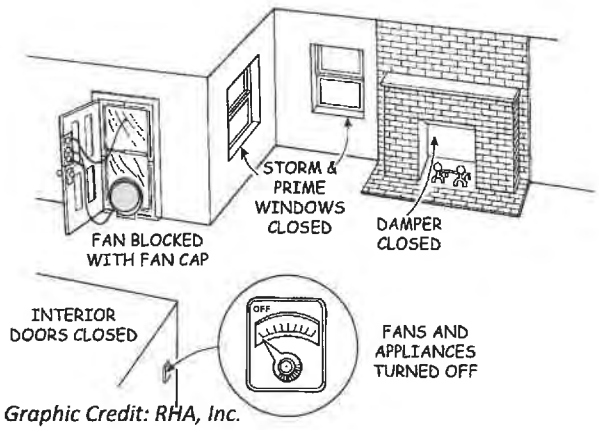
TABLE 16.2.1: CAZ WORKSHEET

PRESSURE READINGS:	**PRE (before shell sealing)**	**POST (after shell sealing)**
BASELINE PRESSURE: (Circle – or +)	• _____ Pascals – +	• _____ Pascals – +
TEST CONDITION A: Take CAZ pressure reading with exhaust fans on only.	• _____ Pascals – +	• _____ Pascals – +
TEST CONDITION B: Take CAZ pressure reading with exhaust fans and FAU air handler on.	• _____ Pascals – +	• _____ Pascals – +
TEST CONDITION C: Take CAZ pressure reading with air handler on only.	• _____ Pascals – +	• _____ Pascals – +
Are any of the pressure readings "more negative" than the HDL?	☐ No. Corrective action is not required. ☐ Yes. Corrective action is required.	☐ No. Corrective action is not required. ☐ Yes. Corrective action is required.

16.3 SET UP THE HOUSE FOR "BASELINE" TESTING

BASELINE SET-UP

1. Close windows and all entrance and all interior doors, including the one to FAU enclosure.
2. Close passive inlet vents and install cooler vent covers, if available.
3. Close room air conditioner outside air inlet or install vent cover, if available.
4. Fully open all supply registers, *except* any in the Furnace room (which are closed).
5. Clean dirty filters, including the clothes dryer lint screen and the FAU return air filter. Remove filter, if cleaning or replacement is not possible. Check dryer exhaust for blockage at the termination.
6. Turn off all exhaust fans and devices. That includes kitchen exhaust, bath and utility room fans; mechanical ventilation fan, clothes dryer, whole-house vacuum system, manually-controlled attic vent fans, etc. Exclude the whole-house fan.

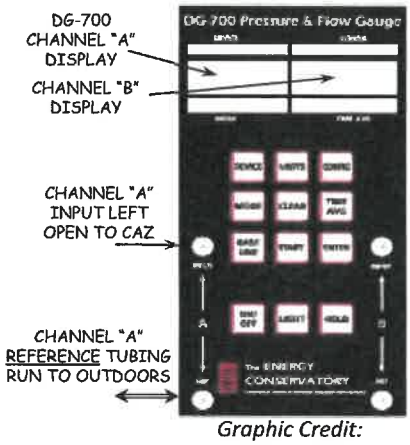


Graphic Credit: RHA, Inc.

7. If present, and if feasible to do so, close (a) the Fireplace damper and glass doors, or (b) Wood Stove/Insert air intake controls.
8. If a blower door is set up, install the "no-flow" plate and/or fan cap.
9. Turn off the furnace, water heater, and any other combustion appliances.

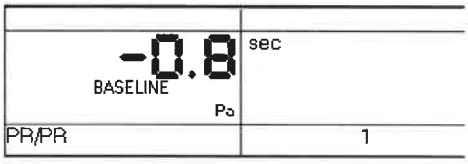
16.4 MEASURE BASELINE PRESSURE IN THE CAZ

After establishing conditions described above in Section 16.2, use the following procedure and a digital Manometer to measure the pressure difference between the CAZ and the outdoors. For each appliance zone that must be tested, set up the digital gauge to measure the "Baseline Pressure", which is the pressure difference between the CAZ and outdoor reading.

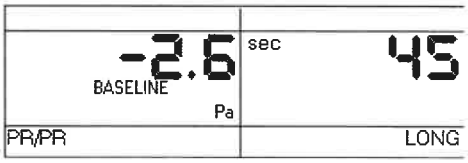


Graphic Credit: Energy Conservatory

1. Locate the manometer near the appliance for which CAZ testing is being performed.
2. Leave Channel "A" Input tap open, with the gauge in the zone near appliance being tested.
3. Run tubing from Channel "A" Reference tap to outdoors.
    - To improve accuracy when windy, use a wind dampener and extend the tubing to a wind-protected location.
4. Turn the Manometer on and leave it in the PR/PR mode (as shown in the graphic to the right).



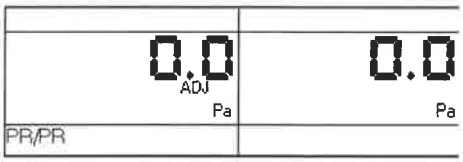
5. Press the BASELINE button.
6. The word "BASELINE" will begin to flash in the Channel "A" display (indicating the Baseline feature is activated). Channel "A" is reading the Baseline Pressure, and the Channel "B" display is inactive.
7. Press START button to begin the Baseline measurement procedure on Channel "A".



    - When the START button is pressed, "BASELINE" stops flashing and the gauge shows a long-term average Baseline Pressure reading on Channel "A".
    - While baseline pressure is measured, Channel "B" display is a timer to indicate how long (in seconds) the Baseline measurement is active.
    - The longer the measurement time, usually the more stable the Baseline reading becomes. The graphic shows the measured Baseline Pressure is –2.6 Pa (measured over the past 45 seconds).

5. After the Baseline Pressure reading is stable, press ENTER key to accept and enter the Baseline Pressure reading.
    - After pressing ENTER, Channel "A" will display the Baseline *adjusted* pressure reading (current Channel "A" pressure *minus* the baseline pressure).

- The "ADJ" icon appears under the Channel "A" pressure reading, to indicate that it is the "Baseline Adjusted" pressure reading.
- Time averaging will revert to the time averaging period that was being used before the BASELINE button was pushed.



8. Record the Baseline Pressure reading in the CAZ Worksheet (Table 16.2.1).

16.5 SUMMARIZING THE "WORST CASE" PROCEDURE

The test procedures described in Sections 16.6, 16.7, and 16.8 will allow you to calculate: (a) what the CAZ pressure is, (b) whether it is negative (–) or positive (+), and (c) whether it exceeds the House Depressurization Limit (HDL). If CAZ pressure is too negative (exceeds the HDL), corrective action will be required. You will measure CAZ pressure by applying the test procedures shown in Table 16.5.1 below.

TABLE 16.5.1: CAZ "WORST CASE" PROCEDURES

TEST CONDITIONS → WHAT YOU DO ↓	Condition "A": *Exhaust Fans Only*	Condition "B": *Exhaust Fans + Air Handler*	Conditions "C": *Air Handler Only*
Where do you stand?	In the CAZ, near the appliance being tested.		
Where do you hold the gauge?	Channel "A" Input is held near the appliance being tested.		
Is there tubing on Channel "A" Input Tap?	No. The Channel "A" Input tap is left "open".		
Is there tubing on Channel "A" Reference Tap?	Yes. The Channel "A" Reference tap has tubing attached that goes outdoors.*		
*Run Channel "A" Reference tubing through the smallest possible opening. If a door or window is used, the remaining gap is taped closed. If the blower door is set up, tubing can be run through a tubing hole in the door panel. If it is windy out, install a wind dampener and place outdoor end of tubing in a sheltered location.			

16.6 WORST CASE TEST CONDITION A – EXHAUST FANS ONLY

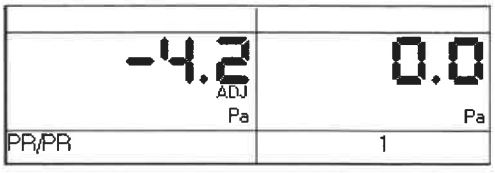
1. Ensure house and digital gauge are set-up as they were in Sections 16.3 and 16.4.

2. Turn on all exhaust fans/devices, including mechanical ventilation exhaust system or HRV/ERV that were turned off for the baseline measurement (air handler remains off).

3. Smoke the doors (follow procedure in shaded box on the following page).

4. Re-measure the pressure difference between the CAZ and outdoors and record the result in Table 16.2.1.

   - In the screen to the right, Channel "A" shows the CAZ depressurization in this condition is –4.2 Pa. In other words, the CAZ was *depressurized* 4.2 Pa by the exhaust fans/devices when they were turned on.



- If the pressure reading on Channel "A" fluctuates too much, use a longer Time Averaging period.

5. Record Worst Case Test Condition A in the CAZ Worksheet (Table 16.2.1).

6. Next Steps

   - If the home has an FAU, go to Worst Case Test Condition B and then Test Condition C.
   - If there is no FAU, only Condition A testing is required for each CAZ.

SMOKING THE DOORS

- For each of the "Worst Case" test conditions, you are required to "Smoke the Doors" to determine the set-up for the **interior** doors.
  - Standing in the main body of the home (e.g., a central hallway), squirt smoke under the door to each room containing an exhaust fan—except the CAZ (room) that is currently being tested.
    - If the smoke goes into the room, open the door.
    - IF the smoke comes back toward you, keep the door closed.
  - From the main body of the home, how squirt smoke under the CAZ door.
    - If smoke goes into the CAZ, keep the door closed.
    - If smoke comes back toward you, open the door.

SMOKE IS DRAWN UNDER THIS BEDROOM DOOR, SO IT WILL BE OPENED

Graphic Credit: RHA, Inc.

16.7 WORST CASE TEST CONDITION B – AIR HANDLER & EXHAUST FANS

1. Maintain house and digital gauge set-up, and keep exhaust fans/devices on (operating).

2. Turn on the air handler—fan only (without burner) when possible, and on highest speed when the air conditioner is re-set.

3. "Smoke the doors" again, as described in the shaded box above. Set interior doors accordingly.

4. Re-measure the pressure difference between the CAZ and the outdoors, and record it in the CAS Worksheet (Table 16.2.1).

16.8 WORST CASE TEST CONDITION C – AIR HANDLER ONLY

1. Maintain house and digital gauge set-up, and keep the air handler on (operating).
2. Turn off all exhaust fans/devices and the mechanical ventilation system that were turned on in Condition A.
3. Again "Smoke the doors", as described in the shaded box on the previous page. Set interior doors accordingly.
4. Re-measure the pressure difference between the CAZ and the outdoors, and record the results in the CAZ Worksheet (Table 16.2.1).

16.9 EVALUATE THE "WORST CASE" CONDITION

1. Identify which of the "Worst Case" conditions causes the greatest negative "CAZ reading.
2. Compare that pressure with the appropriate "House Depressurization Limit" (HDL) in Table 16.9.1 below.
3. If there are two or more combustion appliances in the CAZ, check the HDL for each appliance type, and use the HDL that is *most negative*.
4. If the negative pressure in the CAZ exceeds the HDL, corrective action is required. See Sections 16.10 and 16.11.

TABLE 16.9.1: HOUSE DEPRESSURIZATION LIMIT (HDL)**

PART 1—GAS- AND OIL-FIRED APPLIANCES	HDL (MAX. DEPRESS.)
Natural Draft Water Heater only	–2 Pa
Natural Draft Water Heater and Natural Draft Furnace/Boiler (common vent)	–3 Pa
Natural Draft Water Heater and *Induced* Draft Furnace/Boiler (common vent)	–5 Pa
Natural Draft Furnace/boiler only	–5 Pa
Induced Draft Furnace/Boiler only	–15 Pa

PART 2—SOLID FUEL APPLIANCES	HDL (MAX. DEPRESS.)
Standard Fireplace* (unlined chimney on exterior wall)	–3 Pa
Standard Fireplace* (metal lined, insulated, or interior chimney)	–4 Pa
Standard Wood Stove or Fireplace Insert (not EPA-Certified & "Airtight")	–3 Pa
Controlled-Combustion EPA-Certified "Airtight" Wood Stove or Fireplace Insert drawing combustion air from the living space	–5 Pa
Controlled-Combustion EPA-Certified "Airtight" Wood Stove or Fireplace Insert drawing combustion air from outdoors (e.g., "Mobile Home" type)	–10 Pa
Pellet Stove, with exhaust fans and sealed vents	–15 Pa

*Open combustion Fireplace without sealed glass doors and/or restricted air intake.

**Some test procedures, the HDL table, and the Manometer display graphic are adapted from the Minneapolis Blower Door Operating Manual, and are used with permission from the Energy Conservatory.

16.10 PRESSURE BALANCING PROCEDURE WHEN FAU IS PRESENT

This procedure must be performed when the home has a central return and the "Worst Case" CAZ pressure is more negative than the HDL. Use it to determine if any room with a solid door is restricting return air enough to require pressure relief to balance return airflow.

1. Close all windows, entrance doors, and interior doors (including doors to the furnace enclosure and basement).

2. Turn on the air handler, preferably the fan only, and preferably on High speed.

    - If there is a separate "On-Auto-Off" switch, turn it to On. Turn the "Heat-Off-Cool" switch to Off.
    - If the system must be operating to run the air handler, and it has both Heating and Air Conditioning, choose AC mode.

3. Set up the Manometer to measure Pressure:

    - Connect tubing to the Channel "A" Input tap.
    - Leave the Channel "A" Reference tap *open* (no tubing attached).
    - Turn on the gauge and leave it in the "PR/PR" mode.

4. From the main body of the house, place the tubing under each closed door, including the FAU enclosure and/or basement.

5. Channel "A" now displays the difference in pressure between the closed room and the hallway, created by the air handler pulling against the closed door.

6. For each room, repeat the process, and record the pressure difference between the closed room and the main body of the house.

7. Pressure relief must be provided for any room pressurized or depressurized by **3 Pa or more** with respect to the main body of the house (where the central return is located).

16.11 CORRECTIVE ACTION TO REDUCE IMBALANCE

CORRECT PRESSURE IMBALANCES

Pressure imbalance can be created when a supply register is separated from a central return. Corrective action must be taken for any room pressurized or depressurized by 3 Pa or more with respect to the main body of the house. Some options when the reading is greater than the HDL include the following:

1. Increase Door Undercut. Here are some general guidelines:

    - Undercut shall be up to 2 to 2.5 inches.
    - 1 sq. in. of gap for every 5 sq. ft. of floor area in the closed-off room.

- Before cutting, make sure there will be enough solid wood (bottom rail) left after the cut is made. (If too much rail is cut away, properly-sized solid wood (e.g., from the cut-off) must be pushed up into the hollow door bottom and glued or mechanically secured.)

2. Duct Repair.

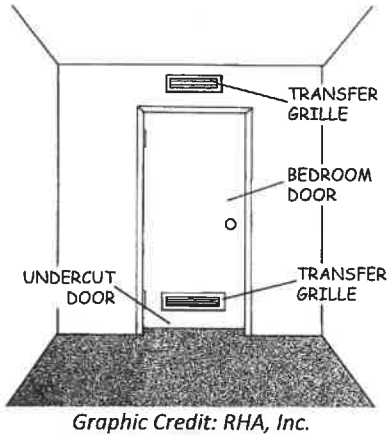
   - Find and seal all accessible duct leaks. For example, return leaks in the CAZ can depressurize the CAZ, and supply leaks to outside can depressurize the living space.

3. Install a Transfer Grille.

   - Non-closeable louvered grille, at least as large as the supply register, installed in the wall or door of the closed room.
   - Additional pressure balancing may be needed in some mobile homes. [14]

4. Install a Jump Duct.

   - Air duct in the attic running from a grille in the ceiling of the closed room to a grille in the hallway ceiling.
   - Return air from the room flows through the duct, into the hallway, and then to the return intake. (Note that jump ducts may not be used for upper CVA venting.)



Graphic Credit: RHA, Inc.

5. Air Handler and Exhaust Fan Changes.

   - It may be feasible to have an HVAC contractor reduce the CFM of the air handler.
   - It is sometimes possible to reduce the capacity (CFM rating) of, or the negative effect of, fans that exhaust air from the CAZ.
   - When a clothes dryer exhausted to outdoors and a natural draft water heater are in a utility room with a closeable door, install a louvered grille of 100 sq. in. NFVA to outdoors (only if the room is unconditioned space) or into the living space (if the utility room is conditioned space)—to reduce depressurization. That is a permanent correction to be utilized when possible.
   - Also, occupants may be advised to open the utility room window slightly when the dryer is operating, if the dryer is causing excessive house depressurization

6. Install a Passive Vent In An Outside Wall to Provide Pressure Relief.

   - See CSD TRM Section 12 (Mechanical Ventilation). This technique should only be used as a last resort and CSD waiver only to resolve depressurization because it brings in unconditioned outdoor air.

[14] When a door or wall separates the living space from a mobile home downdraft FAU with return intake in the FAU housing, an adequately-sized return transfer grille must be present in that door/wall.

Attachments

17. Appliance Default Values

DEFAULT BTUH VALUES

Appliance Type	Default Btuh Input Rating
Forced Air Furnace	• 25,000 Btuh per burner
Wall Furnace	• Single Sided: 35,000 Btuh • Double Sided with two burners: 60,000 Btuh
Floor Furnace	• Standard: 30,000 Btuh (usually 22" wide) • Large: 60,000 Btuh (usually wider than a single floor-joist bay)
Free-Standing (Room) Heater	• Small (up to 25" wide): 25,000 Btuh • Standard (26" to 32" wide): 50,000 Btuh • Large (34" or wider): 60,000Btuh
Gas Fireplace Unit	• 40,000 Btuh
Water Heater	• 1,000 Btuh per gallon
Cooktop Burners and Griddle*	• 10,000 Btuh per burner
Oven*	• 20,000 Btuh per burner
Clothes Dryer*	• 22,000 Btuh

*Note: Clothes dryers shall not be included in calculations for CVA. Cooking appliances shall only be included in calculations of CVA for homes built in 2008 and later.

18. CO Action Levels

- CO "Action Levels" summary below shows the maximum acceptable CO levels in PPM (parts per million). CO PPM *any higher* requires service.
- CO Action Level is the *maximum* CO level that is a "Pass"; any PPM higher is a "Fail.
- Ambient CO is always read "As-Measured". Although flue gas CO readings historically have been "As-Measured", it is more accurate to measure "Air-Free", when the CO tester has an O_2 sensor and can provide "Air-Free" readings.
- CO Action Levels are the same for appliance testing performed (a) before and after weatherization, and (b) after appliances have been serviced/repaired or replaced.

CO Action Levels—Maximum PPM—Before & After Service

Gas Appliance Type	Warm-up Time	Living Space Ambient CO	Appliance Ambient CO	Flue Gas CO "As-Measured"	Flue Gas CO "Air-Free"
SPACE HEATING					
Forced Air Unit (FAU) — Natural Draft, Comb. Air from Living Space	5 minutes	9	**	100	200
FAU— Natural Draft, Comb. Air from Outdoors	5 minutes	9	**	100	400
FAU—Induced Draft	5 minutes	9	**	100	200
FAU—Direct Vent	5 minutes	9	**	100	400
Gravity Ducted Furnace	5 minutes	9	**	100	400
Wall Furnace & Room Heater— Natural Draft	5 minutes	9	**	50	200
Wall Furnace—Direct Vent	5 minutes	9	**	100	400
Floor Furnace	5 minutes	9	**	100	400

Gas Appliance Type	Warm-up Time	Living Space Ambient CO	Appliance Ambient CO	Flue Gas CO "As-Measured"	Flue Gas CO "Air-Free"
WATER HEATERS—Storage					
Natural Draft, Comb. Air from Living Space	5 minutes	n/a	9	50	200
Natural Draft, All Others	5 minutes	n/a	9	100	400
Induced Draft	5 minutes	n/a	9	100	400
Direct Vent	5 minutes	n/a	9	100	400
COOKING†					
Cooktop Burners	15 sec. to 4 min	n/a	n/a	100	n/a
Griddle	5 min. to 10 min.	n/a	n/a	100	n/a
Oven & Broiler	10 min. to 30 min.	n/a	n/a	200	n/a
Range Heater/Incinerator	5 min. to 10 min.	9	**	n/a	n/a
FIREPLACE†					
Gas Log	10 min. to 20 min	n/a	n/a	40	n/a
Gas Fireplace Unit—Natural Draft	5 minutes	9	**	100	400
Gas Fireplace Unit—Direct Vent	5 minutes	9	**	100	400
CLOTHES DRYER					
Gas Dryer	30 seconds	n/a	n/a	100	n/a

† For Warm-up: If CO is too high after minimum warm-up time (first number), continue operating up to the maximum warm-up time (second number).

**2 ppm above 2nd Living Space Ambient CO is the maximum for all space heating appliances.

19. CAS Tests Required, By Appliance Type

Appliance Type	Gas Leak Check	Visual Inspection	CVA Evaluation	Living Space Ambient CO	Appliance Ambient CO	Flue Gas CO	Draft Test	Spillage Check	CAZ Test
NATURAL DRAFT	**SPACE HEATING—GAS**								
Forced Air Unit (FAU)	X	X	X	X	X	X	X	X	X[1]
Wall Furnace	X	X	X	X	X	X	X	X	X[1]
Floor Furnace	X	X	X	X	X	X	X	X	
Freestanding (Room) Heater	X	X	X	X	X	X	X	X	X[1]
INDUCED DRAFT									
Forced Air Unit (FAU)	X	X	X	X	X	X	X[2]		X[1]
CLOSED COMBUSTION (DIRECT VENT)									
Forced Air Unit (FAU)	X	X		X	X	X			
Wall Furnace	X	X		X	X	X			
NATURAL DRAFT—INDOORS	**WATER HEATING—GAS**								
Storage Water Heater	X	X	X			X	X	X	X[1]
Tankless Water Heater	X	X	X			X	X	X	
NATURAL DRAFT—OUTDOORS—WITH ADEQUATE CLEARANCE FROM DOOR AND OPENABLE WINDOW[5]									
Storage Water Heater	X	X							
Tankless Water Heater	X	X							
INDUCED DRAFT									
Storage Water Heater	X	X	X		X[4]	X	X[2]		
CLOSED COMBUSTION (DIRECT VENT)—INDOORS & OUTDOORS									
Storage Water Heater	X	X			X[4]	X			
Tankless Water Heater	X	X			X[4]	X			

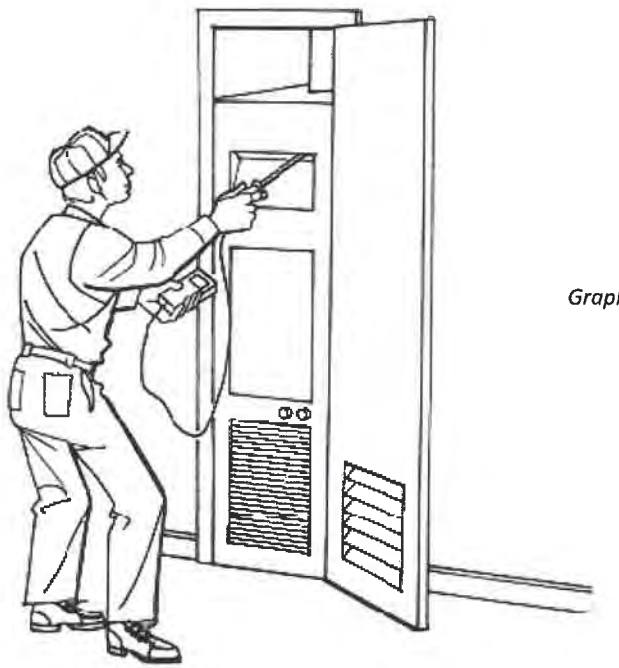
(See footnotes on next page)

GAS LOG	FIREPLACE & SOLID FUEL								
Primary Heat	X	X				X	X[6]		X[1]
Not Primary Heat	X	X				X	X		X[1]
GAS FIREPLACE & INSERT									
Open Combustion	X	X		X	X	X	X		X[1]
Direct Vent	X	X				X			
SOLID FUEL SPACE HEATER—WOOD OR PELLET									
Stove or Fireplace Insert		X							X[1,3]
COOKING APPLIANCES—GAS	**COOKING & DRYER**								
Cooktop Burner & Griddle	X	X	X[7]			X			
Oven/Broiler	X	X	X[7]			X	X[8]		
Convection Oven	X	X	X[7]			X	X[8]		
Heater/Incinerator	X	X	X[7]			X	X[8]		
CLOTHES DRYER—GAS									
Inside/Outside Living Space	X	X				X			

[1] In a mobile home, CAZ testing is required if appliance draws air from the living space.
[2] Draft test is required only when a hole to measure CO is drilled in the vent pipe.
[3] In a conventional home, CAZ testing is required if appliance draws air from the living space.
[4] When flue gas CO cannot be measured, CO measurement is limited to appliance ambient CO testing only.
[5] More than 4' below or to the side of, or 1' above, an operable door or window into the living space.
[6] Fireplace damper must be permanently blocked partially open enough to create proper draft of combustion gases up the chimney.
[7] For homes built in 2008 or later, the gas cooking appliance must be included in CVA evaluations.
[8] Draft test is performed when possible on cooking appliances that have a draft hood and vent pipe to outdoors.

19.1 CO TEST LOCATIONS

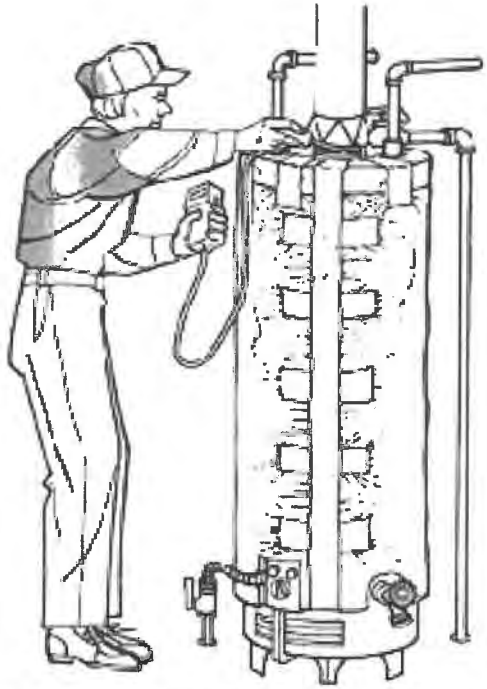
FURNACES



CO MEASURED SEPARATELY
IN EACH EXHAUST PORT (FLUE)

Graphic Credit for All Graphics on This Page:
RHA, Inc.

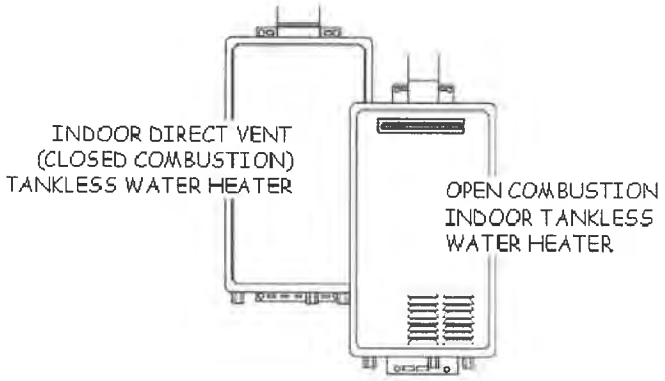
STORAGE WATER HEATERS

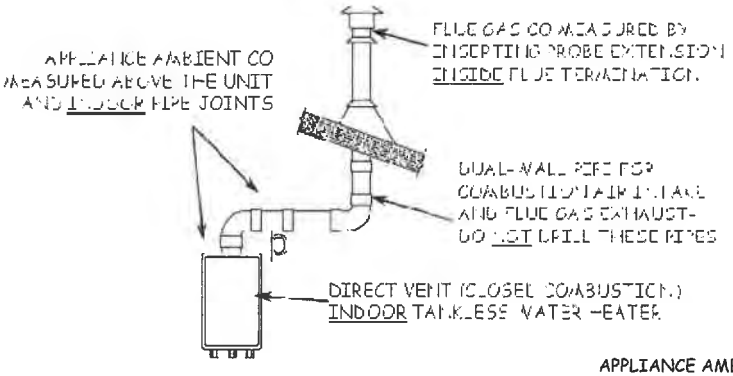


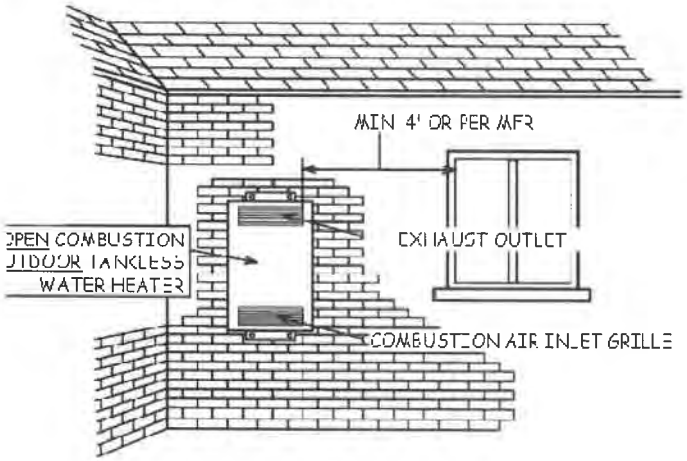
TEST PROBE EXTENSION IS PLACED INSIDE THE
CENTER TUBE ON EACH SIDE OF THE BAFFLE

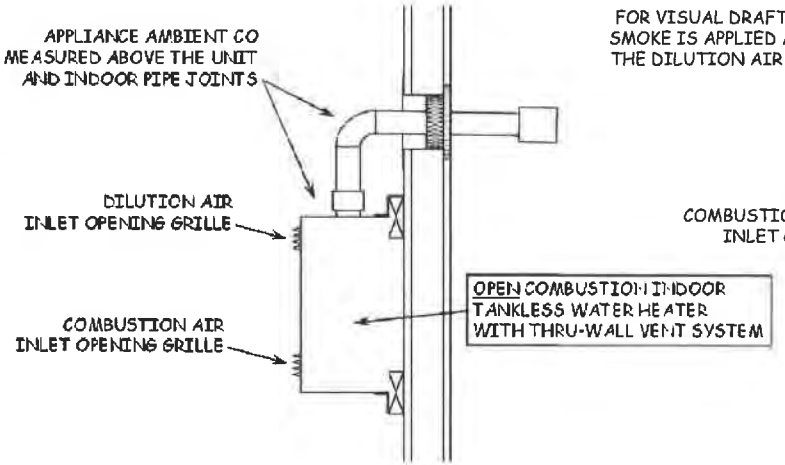
19.1 CO TEST LOCATIONS (cont.)

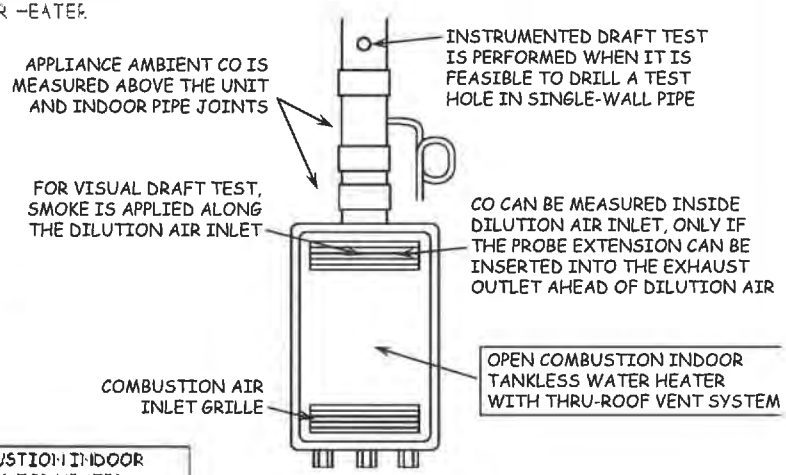
TANKLESS WATER HEATERS











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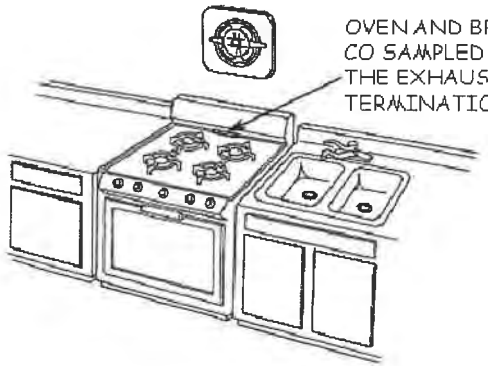
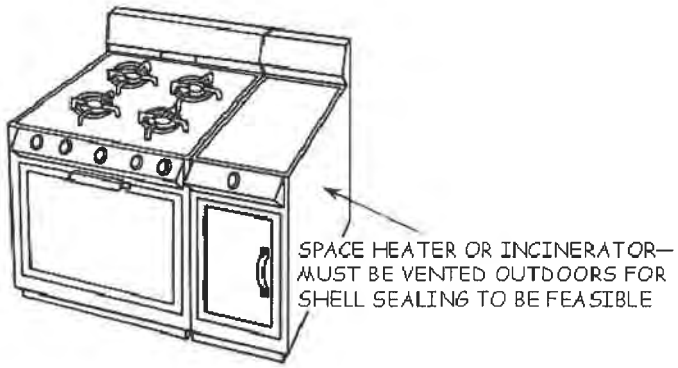
19.1 CO TEST LOCATIONS (cont.):

COOKING SYSTEMS





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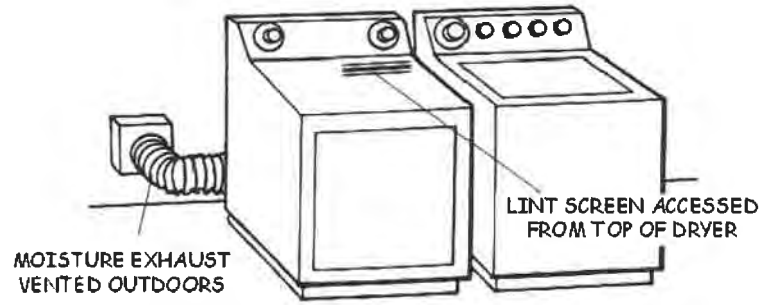

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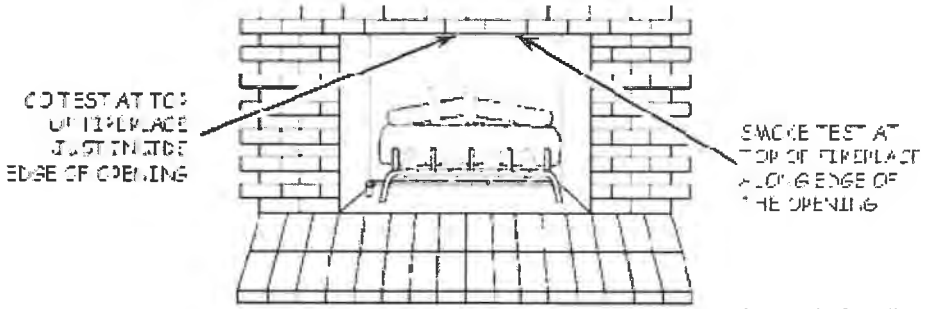
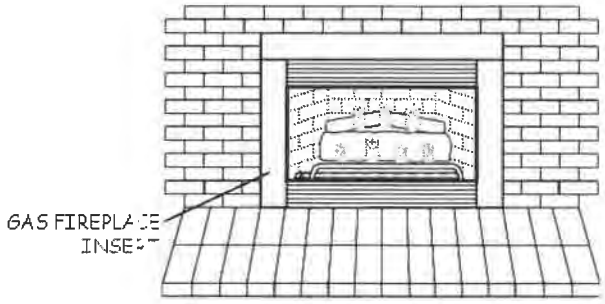


GAS FIREPLACES AND INSERTS



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20. Special Policies for Gas Refrigerators

Graphic Credit: DYNAMX, Inc, www.warehouseappliance.com.

20.1 VISUAL INSPECTION

When a gas-fueled refrigerator is present in a home, the following protocol applies:

- Standard gas leak procedures shall be followed to check for and repair gas leaks.
- If the appliance is *not* vented outdoors, manufacturer's instructions shall be researched to determine if an exhaust vent to outdoors is specified.
- Infiltration-reduction measures shall not be installed when manufacturer's instructions:
  - Cannot be found, or
  - Specify installation of exhaust vent to outdoors, but vent is not present.

20.2 REQUIRED TESTING PROCEDURES

- Appliance ambient CO shall be measured just above the top and to each side of the Refrigerator (measured near the openings, when the appliance is recessed into an alcove).
- Infiltration-reduction measures shall not be installed when Appliance Ambient CO is 10 PPM or higher.
- A CO Alarm shall be located within 15' of the gas Refrigerator, but at least 5' (or manufacturer's recommendation) away from kitchen cooking and exhaust appliances.

Appendix B: Duct Leakage Test Protocol

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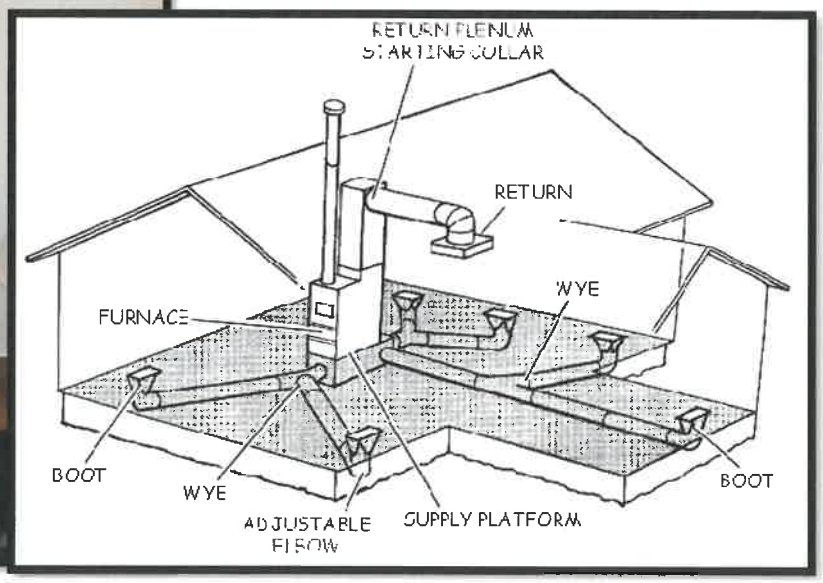

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DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT

Effective 1/1/2025

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Table of Contents

Preface **4**

1. Duct Leakage Test Diagnostic **5**

1.1 What Is Duct Leakage Testing? 5

1.2 CSD Duct Leakage Testing and Sealing Policy 5

1.3 Order of Performance 5

1.4 Feasibility Criteria 5

1.5 Client Refusal 6

1.6 Required Deferral 6

1.7 Asbestos 7

2. Duct Testing Equipment and Calibration Requirements **7**

2.1 Standard Equipment Minimum Specifications 7

2.1.1 Equipment 7

2.1.2 Calibration of Equipment 8

3. Duct Leakage Test Types and Triggers **8**

4. Recordkeeping **8**

5. Duct Assessment Procedure **9**

5.1 Visual Assessment 9

5.1.1 Duct System Visual Inspection—Conventional Homes 9

5.1.2 Duct System Visual Inspection—Mobile Homes 10

5.2 When Duct Testing Is *Not* Feasible 11

5.3 When Duct Testing *Is* Feasible 11

5.4 STEP 1: Determine the Test Type 12

5.4.1 Total Leakage 12

5.4.2 Leakage to Outside 12

5.4.3 Testing Supply Side Only 12

5.5 STEP 2: Calculate Start and Target/Stop in CFM25 13

5.5.1 Identifying Airflow 13

5.5.2 Calculating Start and Target/Stop 13

5.5.3 Airflow and Start/Stop Calculation Worksheet 14

1. Obtain System Information from the Heating and/or Cooling Unit Manufacturer Label(s) 15

2. Determine System Capacity in Order to Estimate System Airflow 15

3. Identify the Test Type to be conducted. Complete the calculations for the appropriate Table below. 15

Leakage to Outside[4]—Airflow and Start/Stop Calculations 15

Total Duct Leakage—Airflow and Start/Stop Calculations 15

AC/HP Method A—Look-up value in Preston Guide or Carrier Bluebook 16

AC/HP Method B—Model Number Classification 17

AC/HP Method C—Floor Area Default 17

Gas Furnace Method A—Btuh Output 18

Gas Furnace Method B—Floor Area Default 19

Electric Furnace Method A—Nominal Air Delivery on Air Handler Label 19

Electric Furnace Method B—Heating Capacity On Appliance Nameplate 20

Electric Furnace Method C—Model Number Classification 20

5.6 STEP 3: Set up the home 21

5.7 STEP 4: Work Increments 24

5.7.1 Catastrophic Leaks 24

5.7.2 High-Pressure Leaks 24

5.7.3 Low-Pressure Leaks 24

5.8 STEP 5: Balancing the Duct System 25

6. Critical Duct Leakage Areas 25

6.1 Catastrophic Leakage 25

6.1.1 Sealing of Unlined Platform Returns 26

6.1.2 Mobile Home with a Belly Cavity Return 26

6.1.3 Register Located in Unconditioned Space 27

7. Detailed Duct Leakage Test Procedure 27

7.1 Additional Testing Procedure for Mobile Homes 29

7.1.1 Furnace Enclosure Used as Return Plenum 29

7.1.2 Duct Tester Connection to Enclosure Used as Return Plenum 29

8. Clean-Up Procedure 30

9. Duct Leakage Test Post-Inspection 30

Preface

2022 Title 24 and CSD duct leakage requirements are divided into four categories. When:

1. **Less than 25' of new or replacement ducts are installed, no heating, ventilation, and air conditioning (HVAC) alteration[1] is completed, and only duct sealing work is required**: The Duct Leakage Targets will be as described in TRM Appendix B, Table 5.5.2 as "Duct Leakage Testing Formulas...When a HERS Rater Verification is Not Required".
2. **When the entire duct system is less than 40' in total**: 2022 Title 24 Duct Leakage Targets identified in TRM Appendix B Table 5.5.2 will not apply.

In compliance with California's Title 24, when items 3 or 4 below are performed in a single-family or multi-family home, confirmation of achieving the Duct Leakage Target must be verified by a certified HERS Rater. When:

3. **25' or more of new or replacement ducts are installed or an HVAC alteration[1] to one or more heating/cooling system components will be made:** 2022 Title 24 Duct Leakage Targets as defined below will apply, and HERS Rater verification is required:

Duct Sealing Targets	Single-Family*	Multi-Family**
Total Leakage Test	**10%** *(Start: 11%)*	**15%** *(Start: 16%)*
Leakage to Outside Test	**7%** *(Start: 8%)*	**10%** *(Start: 11%)*
* Not applicable to Mobile Homes. ** Per 2022 California Building Code for occupancy groups relative to CSD's weatherization programs, multi-family buildings are defined as having two or more units.		

4. **Garage Location:** When new or replacement HVAC ducts are installed of any length in a garage, or air-handling units, cooling or heating coils, or plenums *are located in a garage in a single-family dwelling will be altered*[1], the 2022 Title 24 Duct Leakage Target for single-family is ≤6% total duct leakage. HERS Rater verification is required.

If it is not possible to meet the Duct Leakage Targets defined in Table 5.5.2, then all accessible leaks shall be sealed and verified through a visual inspection and a smoke test. This method of sealing all accessible leaks will be confirmed by a certified HERS Rater when HERS verification is required.

[1] HVAC alterations include, but are not limited to, replacement of an air handler, outdoor condensing unit of a split system air conditioner or heat pump, the cooling or heating coil, etc.).

1. Duct Leakage Test Diagnostic

1.1 WHAT IS DUCT LEAKAGE TESTING?

Duct leakage testing uses visual inspection and pressure testing methods to locate and correct air leaks in a duct system. The final goal of the duct testing and sealing work is for the duct system to be energy efficient, balanced, and provide even air movement throughout the living space when room doors are closed.

1.2 CSD DUCT LEAKAGE TESTING AND SEALING POLICY

CSD requires that all homes with duct systems be tested and sealed, when feasible. The order of all duct sealing work (with or without testing) shall follow the CSD 706 form that lists all duct leakage activities in prioritization order, without exception.

All material selection, surface preparation, and material installation shall comply with the CSD Technical Reference Manual (TRM), all manufacturer's instructions, and local codes, with the most stringent requirement(s) taking precedence.

1.3 ORDER OF PERFORMANCE

When feasible, duct testing/sealing also shall be completed before shell leakage testing and shell sealing occurs.

1.4 FEASIBILITY CRITERIA

Duct **testing** shall be performed when:

1. The duct system is made of:
   a. Rigid metal, flexible metal, flexible plastic, and rigid and flexible fiberglass, or
   b. Construction materials (e.g., wood, gypsum, and sheet metal) used in platform returns/structural cavities serving as ducts.
2. At least 40 feet of duct work is present in unconditioned space (Note: If < 40 feet of duct work is present, testing is not feasible, but sealing is allowed when duct materials conform with CSD policy).
3. Infiltration reduction measures are feasible (home is not NIM).
4. The ducts and FAU are accessible.
5. Ducts and existing disconnections are accessible.

Note: When the FAU shares ducts with an evaporative cooler, the ductwork must be isolated from the cooler by a functional damper (or a damper shall be added) for the Duct Leakage Test to be feasible.

Duct **testing** shall NOT be performed when:

1. Unfeasible in the CSD Technical Reference Manual (TRM) measure-specific feasibility criteria.
2. One or more registers cannot be blocked in compliance with this protocol.
3. The duct system is excessively damaged or deteriorated.
4. The entire duct system is inside the thermal envelope (living space).
5. Duct sealing is not feasible because:
   a. The dwelling is NIM.
   b. Ducts are in the attic or crawlspace and crawl area clearance is inadequate, or
   c. A CAS hazard or indoor air quality (IAQ) fail exists that cannot be corrected.
   d. An unsafe condition is present, or
   e. Evidence of rodent or pest infestation is present inside the duct interior.
6. Duct testing or duct sealing would violate CSD Health and Safety Requirements (CSD TRM Appendix E).
7. Client refuses—after diagnostic benefits have been explained.

8. **[Mobile Home]** Duct sealing is not feasible because:
   a. In accordance with HUD code for mobile homes, an open combustion gas-burning space heater or water heater is present that draws combustion air from the living space. Home is NIM.
   b. It is unfeasible to abandon the belly return to install a central ducted return (Note: makes sealing of return-side unfeasible only. Supply-side sealing may still be accomplished).
9. **[Mobile Home]** An open combustion solid-fuel burning space heater (i.e., fireplace, insert, wood stove) is drawing combustion air from the living space. Home is NIM and sealing is not feasible. CSD Exception: Pressure diagnostics and infiltration-reduction measures shall be allowed when:
   a. Pressure measurement shows the CAZ of each appliance is less negative than the HDL (see procedures described in CSD TRM Appendix A); and
   b. Installed measures do not depressurize the CAZ beyond the HDL.

1.5 CLIENT REFUSAL

If a client refuses duct leakage testing:

- The refusal shall be documented in the CSD 542 Deferral Form by the Assessor, with client signature and date.
- **(DOE Program)** A full home deferral is required when DOE funds are used.
- **(LIHEAP)** A *limited deferral* is required. Duct sealing of catastrophic leakage only shall be performed. Note: Duct leaks shall NOT be sealed when a CAS or IAQ fail exists that cannot be corrected within the scope of the weatherization program.

1.6 REQUIRED DEFERRAL

When CAS or IAQ fails cannot be corrected, one of the following consequences shall result:

- **(DOE Program)** When DOE funds are used, the dwelling shall be fully deferred.

- **(LIHEAP)** Limited deferral is required, and only non-infiltration reduction measures shall be installed; however, careful evaluation shall be performed to determine if non-sealing measures are achievable, reasonable, cost-effective, and it is safe for workers to enter the home.

1.7 ASBESTOS

When any part of a duct system is known, or suspected to be *made of or insulated with* asbestos containing materials (ACM), no action shall be taken which will cause such material to be un-encapsulated or discharged into the air. Feasibility of duct testing and sealing work is determined by the CSD Asbestos Policy, located in CSD TRM Appendix E.

2. Duct Testing Equipment and Calibration Requirements

Duct leakage diagnostic equipment shall be utilized in accordance with CSD's and manufacturer's recommendations for equipment set-up, operation, maintenance, and calibration.

- "Total Duct Leakage" shall be measured using an approved duct tester (e.g., Duct Blaster®). The Blower Door "subtraction method" shall not be used.
- "Leakage to Outside" shall be measured using a duct tester, in combination with a Blower Door, when building cavities are used as ducts, or most ducting is inside the thermal envelope. Follow equipment manufacturer's instructions for proper protocol.

2.1 STANDARD EQUIPMENT MINIMUM SPECIFICATIONS

CSD requires that all equipment be purchased and maintained in accordance with the specifications below. Equipment that does not meet these requirements shall be considered an inspection fail during the inspection process.

2.1.1 Equipment

- Pressure Measurements
  - Measurement systems shall have an accuracy of ± 0.2 Pa or 1% of reading, whichever is greater, and
  - Static pressure probes specified by the measurement equipment manufacturer shall be used.
- Duct Leakage Measurements
  - Duct leakage testing shall have an accuracy of ± 3% of measured flow, and
  - Shall utilize digital gauges specified by the measurement equipment manufacturer.

Photo Credit: WAPTAC.org

- Test Equipment
  - Equipment used to measure duct leakage may include, but is not limited to, a Minneapolis Duct Blaster® or Retrotec Duc-Tester®.
  - Smoke (e.g., from an incense stick, smoke pencil, smoke puffer, etc.) with tactile tests, gauge readings, etc. shall be used as appropriate to determine leak sources.

2.1.2 Calibration of Equipment

Test equipment shall be maintained properly and calibrated regularly *in accordance with manufacturer's recommendations*. Records of all calibrations and equipment checks shall be kept in an equipment calibration log, as specified by CSD. Digital gauges shall be calibrated annually, by the factory, or by using field calibration procedures.

3. Duct Leakage Test Types and Triggers

CSD requires that assessors/crews perform:

- Initial Duct Leakage Tests
  - Test determines if duct sealing is feasible by the amount of initial duct leakage.
- Incremental Tests
  - During duct sealing work, "Incremental" tests shall be performed after performing each sealing increment to determine whether continued sealing work is feasible or if sealing work shall stop.
- Post-Weatherization Duct Leakage Tests
  - After completion of all feasible duct sealing, post-test shall determine the:
    - Final duct leakage amount;
    - Leakage reduction achieved; and
    - Percentage of total reduction.

4. Recordkeeping

Photo Credit: WAPTAC.org

The Assessor's visual inspection notes and feasibility/unfeasibility for each of the Priority 1-3 sealing work activities shall be documented on the CSD 706 form.

Installers shall document incremental sealing work and test results performed by the crews for each of the Priority 1-3 sealing work activities identified by Assessor on the CSD Duct Leakage Data Sheet (CSD 706 form). All HERS and permit documentation shall also be collected (see callout box on the following page).

- To pass the post-inspection, all required documentation from the Assessor and Installers must be completed, required testing must be performed, and the Duct Leakage Data Sheet must be completely and accurately filled out. Results from the Inspector and inspector re-testing data (when required) shall be logged on the CSD 611.
- The CSD 706 form is required to be stored in the client's permanent file, and must be accurate, legible, and properly filled out.
- Copies of the most current forms may be found on CSD's Providers' website.

HERS (Home Energy Rating System) Requirements

Most frequently, agencies will perform duct sealing to verify that clients' ducts have been sealed to the lowest practical level under the CSD TRM guidance. However, in any conventional home where an HVAC repair or replacement occurs *that requires a building permit*, duct sealing requirements also are set by Title 24 regulations.

When you, or a subcontractor, pull a permit, you must work with a licensed HVAC contractor to determine the code requirements that will apply. HVAC system "alterations" that will likely require a permit are:

- Installation of a completely new HVAC system.
- Replacement of a package unit.
- Replacement of an air handler.
- Replacement of a condenser unit.
- Replacement of an evaporator coil.
- Replacement of a heating coil.
- Replacement of a furnace heat exchanger.
- Adding or replacing more than 25-feet of ducts in unconditioned space.

When the duct system is required to be tested and certified by HERS Rater, a copy of the "finaled" building permit and the HERS Rater report that shows HERS rater's final CFM_{25} and score of "pass" shall be kept in client file.

5. Duct Assessment Procedure

In accordance with CSD policy, all duct systems in a dwelling shall be tested, and ducts shall be sealed as feasible, even if the connected FAU is not the primary heating/cooling source. Total duct leakage is measured and recorded in CFM25.

5.1 VISUAL ASSESSMENT

Visual assessment of a duct system shall be performed by the Assessor to determine the initial condition of the system, decide if testing is feasible, and to prescribe the sealing activities. The following are many areas that the Assessors shall check, by housing type. As leaks are found, they shall be documented in the CSD 706 form.

5.1.1 Duct System Visual Inspection—Conventional Homes

- Check plenum/cabinet connections and start collar attachments for leaks.
- Inspect platform returns for gaps around framing and open wall cavities.
- Check for leaks in all accessible building cavities used as ducts.

- Shake rigid ducts to find loose connections and look for discolored fiberglass insulation (dark stains) and other evidence of leaks.
- Check flex ducts for tears, check flex connections for leaks (especially those with old, dry loose tape), and look for crushed metal flex.
- Check all wyes, elbows and boot connections for leakage (Note: It is not necessary to remove insulation when there is no visual evidence of leakage).
- Check for closed in-line dampers.
- Look for improperly altered components which leak (e.g., seam separation on the end of a rigid pipe used to make an improvised "increaser").

METHOD TO INSPECT FOR LEAKS AND DAMAGE
Graphic Credit: RHA, Inc.

- Check ducts lying in dirt or subject to damage by moisture, animals, or humans.
- Check for broken or missing duct supports.
- Remove return grilles and a representative sample of supply registers to check gap size and other potential leaks.

5.1.2 Duct System Visual Inspection—Mobile Homes

- Remove registers and grilles and inspect all ducts with a mirror and strong light. Look for gaps around the boot, and defects in the ducts (separations, crushed walls, leaky ends, etc.).
- When furnace has an open return (not ducted into the plenum), check the furnace enclosure for gaps that can leak outside air into the return flow. These typically include gaps where the flue penetrates the ceiling and holes where pipes and other hardware penetrate the floor.
- When the furnace is accessed from outdoors, and the enclosure is the return plenum, check for leaks into the return system. When there is an adjacent water heater, check for breaches in the dividing partition and anywhere else that could allow water heater combustion gases to be drawn into the return flow.
- When duct defects cannot be reached from indoors, they are accessed through the belly. The belly board shall be cut neatly, replaced, and repaired as prescribed in the CSD TRM.
- Inspect belly return and attic return systems.

5.2 WHEN DUCT TESTING IS *NOT* FEASIBLE

When duct testing is not feasible—see Feasibility Criteria in this Appendix—duct sealing may still be performed in accordance with the CSD 706 form, unless expressly prohibited (i.e., home is NIM, due to disturbing hazardous material like ACM, or by making an existing health and safety condition worse). In cases where sealing is feasible but testing is not (i.e., if one or more registers is inaccessible):

- The condition that causes testing to be unfeasible shall be fully described in the "Reason Testing is Not Feasible" line on the CSD 706. Locations that commonly have leaks are identified in order of priority on the CSD 706 form and still shall be sealed in that order.
- For homes that were selected for evaluation by a HERS rater (as a condition of a building permit) but duct testing was not feasible, sealing activities shall be verified with a smoke test. 100% of these jobs are subject to inspection and certification by a HERS Rater. The HERS rater also shall be provided with a complete description of what sealing activities were done on the appropriate HERS documentation.
- Note: HERS duct testing/sealing requirements do not apply to:
  - Systems with 40 or fewer linear feet of ducts in unconditioned space, and
  - Systems constructed, insulated, or sealed with asbestos.

5.3 WHEN DUCT TESTING *IS* FEASIBLE

When duct testing is feasible, the procedures outlined in the following Sections 5.4 to 5.8 shall be followed and documented on the CSD 706 form.

The procedure to test the ducts requires only **5** basic steps:

1. Decide if you will perform a "Total Leakage" test or a "Leakage to Outside" test.
2. Use system airflow to calculate START and TARGET/STOP CFM25 leakage values.
3. Set up the home for testing.
4. Follow the CSD 706 Duct Leakage Test Procedure.
5. Balance the duct system.

5.4 STEP 1: DETERMINE THE TEST TYPE

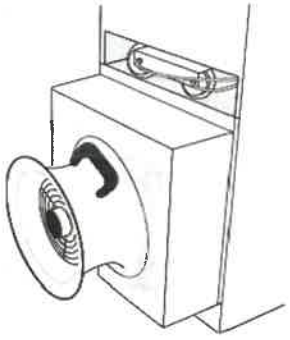
Currently approved test procedures in California's Title 24 are described below:

5.4.1 Total Leakage

When conducting a Total Leakage test, connect the duct tester to a central return or air handler and measure the air flow (cubic feet per minute or CFM) needed to pressurize the ducts to 25 Pascals (Pa). This test measures all existing duct leakage. ***For weatherization workers, this test is the most common.***

5.4.2 Leakage to Outside

When homes contain a return path or building cavity located entirely inside the home (e.g., a "chase return" in a two-story dwelling), field personnel may use this testing procedure, known as the Leakage to Outside test. This test procedure is intended to measure only those duct leaks to outside the building envelope, such as attics/crawlspaces, garages, or other unconditioned areas, and excludes leaks that are within the building envelope.



METHOD FOR TESTING THE SUPPLY SIDE ONLY—
- DUCT TESTER ATTACHED DIRECTLY TO FAU.
- RETURN SIDE OF DUCT SYSTEM BLOCKED OFF BY CARDBOARD INSIDE AIR HANDLER CABINET

Graphic Credit: RHA, Inc.

The Leakage to Outside test is not applicable to dwelling units with platform returns or units where the return intake is located directly at the FAU.

The Leakage to Outside test requires you to:

- Pressurize the house with a Blower Door to 25 Pa.
- Pressurize the ducts to 25 Pa by connecting duct tester to the central return or air handler.
- CFM flowing through the duct tester is the amount of leakage to outside.
- Document the results in accordance with the 2016 Title 24 requirements in the 2016 Reference Appendices (RA2.8 and RA3.1.4.3.4).

5.4.3 Testing Supply Side Only

When it is feasible to test only the supply side of the duct system (such as when a belly return cannot be abandoned and replaced with a central ducted return for a mobile home), a special procedure is used, as described below:

- The duct tester is connected directly to the FAU, per manufacturer's instructions.
- Isolate and block off the return from the supply side (e.g., with cardboard and tape), so only supply side duct leakage is measured.

5.5 STEP 2: CALCULATE START AND TARGET/STOP IN CFM25

Assessors shall identify system airflow in accordance with the current Title 24 Residential ACM Manual, Appendix RC, and use the practices and worksheet identified in this section.

5.5.1 Identifying Airflow

Because system airflow is not always listed on the appliance nameplate (manufacturer label), there are several methods for calculating the airflow. The worksheet and calculation guide on the following pages provide steps for each method.

5.5.2 Calculating Start and Target/Stop

Duct sealing "start" and "stop" calculations are summarized in Table 5.5.2.

TABLE: 5.5.2: DUCT LEAKAGE TESTING FORMULAS

When a HERS Rater Verification Is Required – SINGLE-FAMILY[1,2,3,4]		
	Total Leakage Test	**Leakage to Outside Test**
START CFM25	**≥11%:** (system airflow) x (0.11)	**≥8%:** (system airflow) x (0.08)
TARGET/STOP CFM25	**<10%:** (system airflow) x (0.10) OR LOWER	**<8%:** (system airflow) x (0.07) OR LOWER
When a HERS Rater Verification Is Required – MULTI-FAMILY[1,2,3,5]		
	Total Leakage Test	**Leakage to Outside Test**
START CFM25	**≥16%:** (system airflow) x (0.16)	**≥11%:** (system airflow) x (0.11)
TARGET/STOP CFM25	**<15%:** (system airflow) x (0.15) OR LOWER	**<10%:** (system airflow) x (0.10) OR LOWER
When a HERS Rater Verification is Not Required[1,2,3,4]		
	Total Leakage Test	**Leakage to Outside Test**
START CFM25	**≥16%:** (system airflow) x (0.16)	**≥11%:** (system airflow) x (0.11)
TARGET/STOP CFM25	**<15%:** (system airflow) x (0.15) OR LOWER	**<10%:** (system airflow) x (0.10) OR LOWER

[1] If Total Leakage cannot be brought to, or below, below the duct leakage target, all accessible duct leaks shall be sealed and confirmed with a smoke test.

[2] As long as leakage is above the Target/Stop CFM25 and accessible duct sealing opportunities still remain, sealing *shall* continue.

[3] When 75% or more of a duct system is replaced, Title 24 requires that the duct system be reduced to ≤ 5% total leakage and the formulas above no longer apply.

[4] HERS Rater verification does not apply to Mobile Homes.

[5] Per 2022 California Building Code for occupancy groups relative to CSD's weatherization programs, multi-family buildings are defined as having two or more units.

Contractors shall certify duct leakage to be an acceptable percentage of fan flow (see Table 5.5.2 above), with a sampling of jobs subject to inspection and verification by a HERS Rater.

When the duct system will be inspected and verified by a HERS rater, and target cannot be reached, all accessible leaks are sealed and verified with a smoke test. Accessibility and limits of accessibility for HERS raters are defined in the Title 24 Residential Compliance Manual, Section 9.6 "Alterations, under "HVAC Changeouts," item B "Accessible Ducts."

5.5.3 Airflow and Start/Stop Calculation Worksheet

See next page.

1. Obtain System Information from the Heating and/or Cooling Unit Manufacturer Label(s)

(1a)	**AC Condenser** (Heating & AC or AC-Only)		
	Mfr:	Model:	**AC Tons:**
(1b)	Floor Area Default—Conditioned Space: _____ sq. ft.		**AC Tons:**

(2a)	**Gas Furnace** (Heating Only)		
	Mfr:	Model:	**kBtuh Output:**
(2b)	Floor Area Default[6]—Conditioned Space: _____ sq. ft.		**kBtuh Output:**

(3)	**Electric Furnace** (Heating Only)	From Nameplate/Label→	**CFM:**
	Mfr:	Model:	**Output:**

2. Determine System Capacity in Order to Estimate System Airflow

- For AC-only systems, calculate AC Tons. For Heat-only systems, calculate Btuh.
- If the HVAC system is a combination heating and air conditioning unit, estimate airflow for both heating and AC, and use the higher CFM value of the two.

SYSTEM	CAPACITY (UNITS)	CFM PER UNIT	AIRFLOW CFM (units) x (CFM/unit)	FOR COMBINATION HEATING & COOLING, SELECT THE APPLIANCE WITH HIGHEST CFM
Air Conditioner [A]	Tons	400	CFM	☐
Gas Furnace [B]	kBtuh	21.7	CFM	☐
Electric Furnace [C]			CFM	☐

3. Identify the Test Type to be conducted. Complete the calculations for the appropriate Table below.

Leakage to Outside[4]—Airflow and Start/Stop Calculations

SYSTEM (CIRCLE ONE)	AIRFLOW CFM	START CFM (airflow) x (__Percent)	TARGET/STOP CFM[3] (airflow) x (__Percent)
[A] [B] [C]	CFM	CFM_{25}	CFM_{25}

[3] Note: As long as leakage is above the Target/Stop CFM25 and accessible duct sealing opportunities still remain, sealing *shall* continue.

[4] This table for convenience only. Title 24 procedures and CED Residential Compliance Forms shall be used and applied.

Total Duct Leakage—Airflow and Start/Stop Calculations

SYSTEM (CIRCLE ONE)	AIRFLOW CFM	START CFM (airflow) x (__Percent)	STOP CFM[5] (airflow) x (__Percent)
[A] [B] [C]	CFM	CFM_{25}	CFM_{25}

[5] Note: As long as leakage is above the Target/Stop CFM25 and accessible duct sealing opportunities still remain, sealing *shall* continue.

GUIDE TO ESTIMATE SYSTEM AIRFLOW

ESTIMATING AIRFLOW—AIR CONDITIONERS OR HEAT PUMPS

There are generally two methods to determine airflow:
1) By interpreting data from the appliance nameplate (Method A or Method B); or
2) If the nameplate is not available, by performing an alternate calculation (Method C).

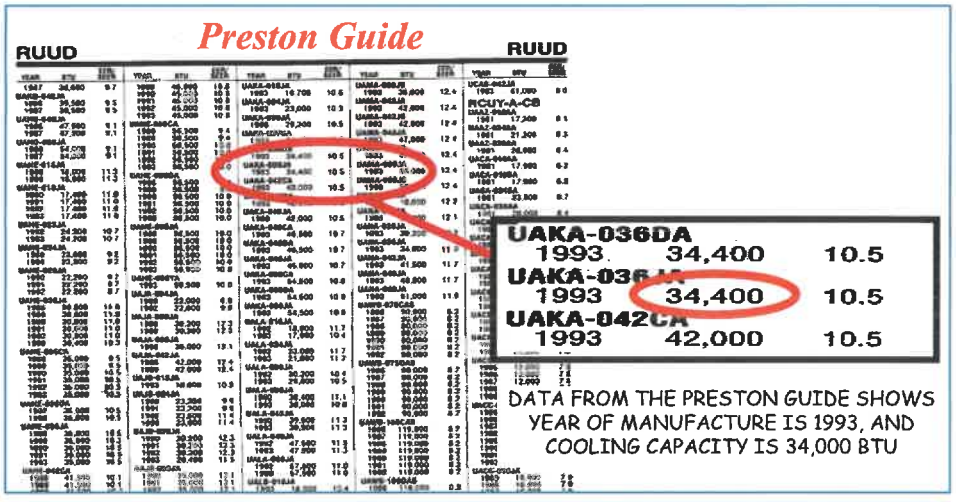
AC/HP METHOD A—LOOK-UP VALUE IN PRESTON GUIDE OR CARRIER BLUEBOOK

Step A-1: Determine the model number and date of manufacture from the condenser nameplate. Use data to look up the cooling capacity of the unit in the Preston Guide or Carrier Bluebook.

NAMEPLATE SHOWS MODEL NUMBER TO BE "UAKA-036JAS"	NAMEPLATE SHOWS DATE OF MANUFACTURE TO BE "09/93"

Step A-2: In the sample Preston Guide page below, find:

a. Model number = UAKA-036JA
b. Year manufactured = 1993
c. Cooling capacity = 34,400 Btu (34.4 kBtuh)



Step A-3: Determine AC Tons (based on Btu) by calculating BTU ÷ 12,000 = AC Tons.

$$\frac{\textbf{Btu (Unit Capacity)}}{\textbf{12,000 (Btu/Ton)}} = \frac{34{,}400 \text{ Btu}}{12{,}000 \text{ (Btu/Ton)}} = 2.87 \text{ AC Tons}$$ (Round up to 3 tons)

Use the result from Method A to fill in the "Capacity (Units)" box on the **"5.5.3 AIRFLOW AND START/STOP CALCULATION WORKSHEET."**

AC/HP METHOD B—MODEL NUMBER CLASSIFICATION

You can also determine the AC Tons directly from the model number:

Step B-1: Locate model number on condenser nameplate.

a. ***Example: Using the nameplate pictured above, the model number is "UAKA-036JAS."***

b. **For kBtuh, look for a 3-digit number beginning with zero (i.e., "036").**

c. **36 indicates unit capacity in kBtuh, which is 36 kBtuh, or 36,000 Btuh.**

Step B-2: Determine AC Tons (based on Btu) by calculating BTU ÷ 12,000 = _____AC Tons.

Example: 36,000 Btuh ÷ 12,000 = 3 AC Tons

Use the result from Method B to fill in the "Capacity (Units)" box on the **"5.5.3 AIRFLOW AND START/STOP CALCULATION WORKSHEET."**

AC/HP METHOD C—FLOOR AREA DEFAULT

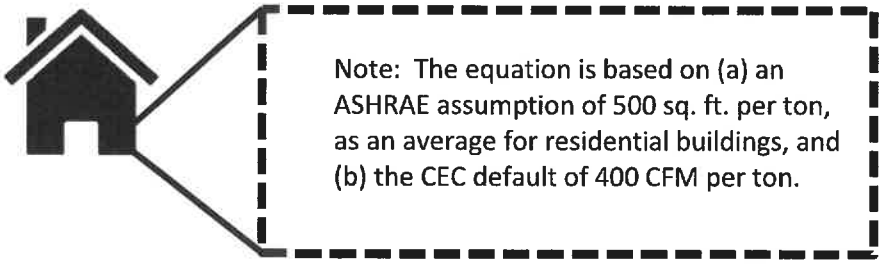
When the **AC** nameplate is inaccessible or unreadable/missing and it is a CSD duct sealing job only (It is not required to be a Title 24 job), use the Floor Area Default equation below:

Step C-1: Measure and calculate sq. ft. of the conditioned space.

Step C-2: Calculate: **Floor Area (sq. ft.) x 0.8 = Airflow CFM**

Use the result from Method C to fill in the "Airflow (units) x (CFM/unit)" box on the **"5.5.2 AIRFLOW AND START/STOP CALCULATION WORKSHEET."**

Example: 1,500 sq. ft. house x 0.8 = 1,200 CFM System Airflow



Note: The equation is based on (a) an ASHRAE assumption of 500 sq. ft. per ton, as an average for residential buildings, and (b) the CEC default of 400 CFM per ton.

ESTIMATING AIRFLOW—GAS FURNACES

For gas furnaces, there are two methods to estimate the airflow. Remember: When the HVAC unit is a package unit (combination heating and air conditioner), you must estimate CFM for both heating and cooling, but will only use the higher CFM to calculate your Start and Stop readings. Use the result from both of these Methods (A and B) to fill in the "Airflow (units) x (CFM/unit)" box on the **"5.5.3 AIRFLOW AND START/STOP CALCULATION WORKSHEET."**

GAS FURNACE METHOD A—BTUH OUTPUT

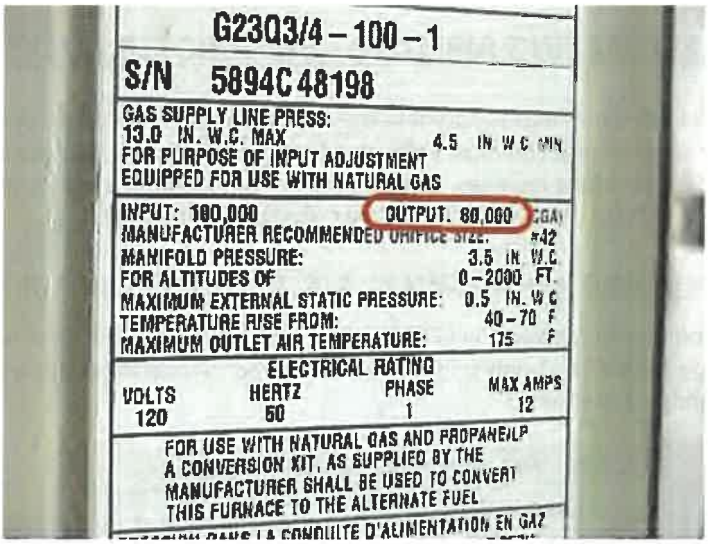
Step A-1: When a nameplate is available, locate Btuh Output on the label.

Step A-2: Convert Btuh Output to Estimated Airflow in CFM, using this equation:

(kBtuh Output**) x (21.7** CFM/kBtuh**) =** Airflow in **CFM**

Example: 80 kBtuh x 21.7 CFM/kBtuh = 1,736 CFM Airflow

Remember: 80,000 Btuh = 80 kBtuh



EXAMPLE OF A GAS FURNACE NAMEPLATE
SHOWING HEATING CAPACITY (OUTPUT) OF 80,000 BTUH

GAS FURNACE METHOD B—FLOOR AREA DEFAULT

When the **furnace** nameplate is inaccessible or unreadable/missing and it is a CSD duct sealing job only, use the Floor Area Default equation below:

Step D-1: Measure and calculate sq. ft. of the conditioned space. Use interior or exterior dimensions, and round to nearest foot or half-foot.

Step D-2: Calculate Estimated System Airflow in CFM using Equation F-4.

(____ **sq. ft.** conditioned area) x (**0.942**) = Airflow in **CFM**

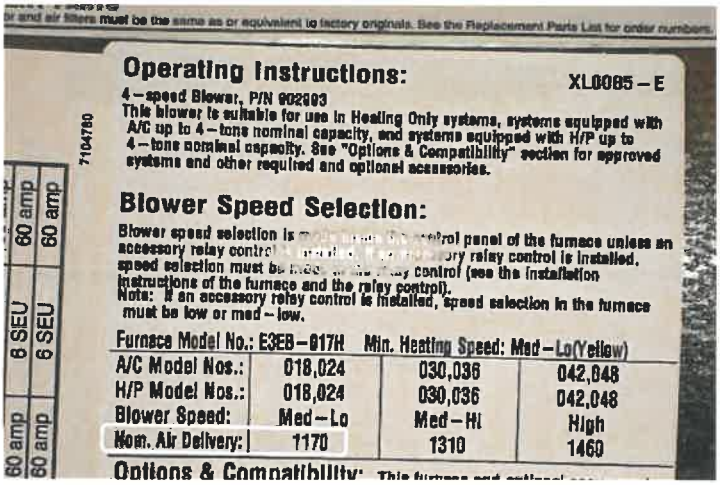
Example: 1,500 sq. ft. house x 0.942 = 1,413 CFM Airflow

ESTIMATING AIRFLOW—ELECTRIC FURNACES

For electric furnaces, there are three methods to estimate the airflow. Remember: When the HVAC unit is a package unit (combination heating and air conditioner), you must estimate CFM for both heating and cooling, but will only use the higher CFM to calculate the Start and Stop readings. Use the result these Methods (to fill in the "Airflow (units) x (CFM/unit)" box on the "5.5.3 AIRFLOW AND START/STOP CALCULATION WORKSHEET."

ELECTRIC FURNACE METHOD A—NOMINAL AIR DELIVERY ON AIR HANDLER LABEL

Step A-1: Find "Nominal Air Delivery" in CFM from the air handler manufacturer label. (Note: For multi-speed blowers, use the low speed. Heat-only units are usually wired for operation at low speed). If the label or data is missing, use Method B or Method C.



Operating Instructions: XL0085—E

4—speed Blower, P/N 902993

This blower is suitable for use in Heating Only systems, systems equipped with A/C up to 4—tons nominal capacity, and systems equipped with H/P up to 4—tons nominal capacity. See "Options & Compatibility" section for approved systems and other required and optional accessories.

Blower Speed Selection:

Blower speed selection is [illegible] control panel of the furnace unless an accessory relay control is installed. [illegible] relay control (see the installation instructions of the furnace and the relay control).

Note: If an accessory relay control is installed, speed selection in the furnace must be low or med—low.

Furnace Model No.: E3EB—017H	Min. Heating Speed: Med—Lo(Yellow)		
A/C Model Nos.:	018,024	030,036	042,048
H/P Model Nos.:	018,024	030,036	042,048
Blower Speed:	Med—Lo	Med—Hi	High
Nom. Air Delivery:	1170	1310	1460

Options & Compatibility: [illegible]

7104780

8 SEU 60 amp

6 SEU 60 amp

60 amp

60 amp

ELECTRIC FURNACE METHOD B—HEATING CAPACITY ON APPLIANCE NAMEPLATE

Step B-1: Find heating Output when listed on the appliance nameplate/label as Btuh or kW (kilowatts).

Step B-2: If kW is listed, convert to CFM using this equation:

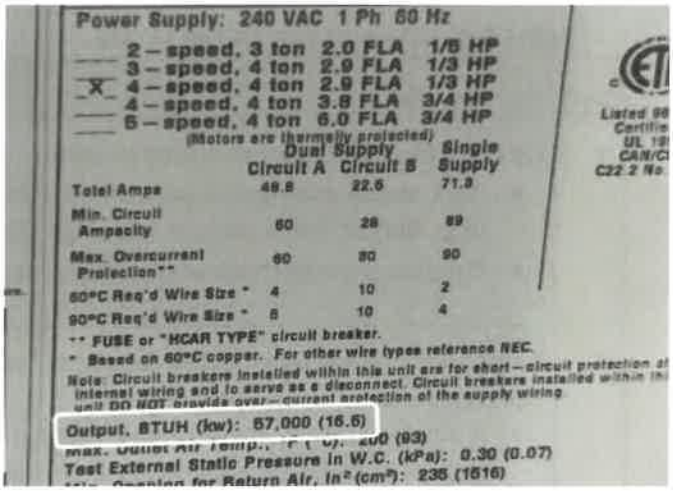
(kW) x (74.1) = Airflow in CFM

Step B-3: If **Btuh** is listed, convert to CFM using this equation:

(Btuh ÷ 1000) x (21.7) = Airflow in CFM

Step B-4: If **kBtuh** is listed, convert to CFM using this equation:

(kBtuh) x (21.7) = Airflow in CFM



ELECTRIC FURNACE METHOD C—MODEL NUMBER CLASSIFICATION

This Method is used for heat-only units, when KBtu or CFM is not shown on the nameplate, but can be determined directly from the manufacturer.

Step C-1: Locate model number on electric furnace nameplate/label.

Step C-2: When additional manufacturer technical data is required to calculate Estimated System Airflow, obtain contact information from the nameplate/label.

Step C-3: Use the model number to check on the manufacturer's website for information about that blower's CFM rating. If necessary, convert from Btuh or kW unit to CFM, using the conversions in Method B above.

TABLE 7.2.2: CONTACT INFORMATION FOR SOME ELECTRIC FURNACE MFRS.

Manufacturer	Web Address	Telephone Number
Coleman	www.colemanac.com/contact_us.asp	800-231-4822
First Company	www.firstco.com/	214-388-5751
Nordyne	www.intertherm.net/IMHDL.htm www.millerac.com/MMHDL.htm	Contact a distributor (numbers at website)

5.6 STEP 3: SET UP THE HOME

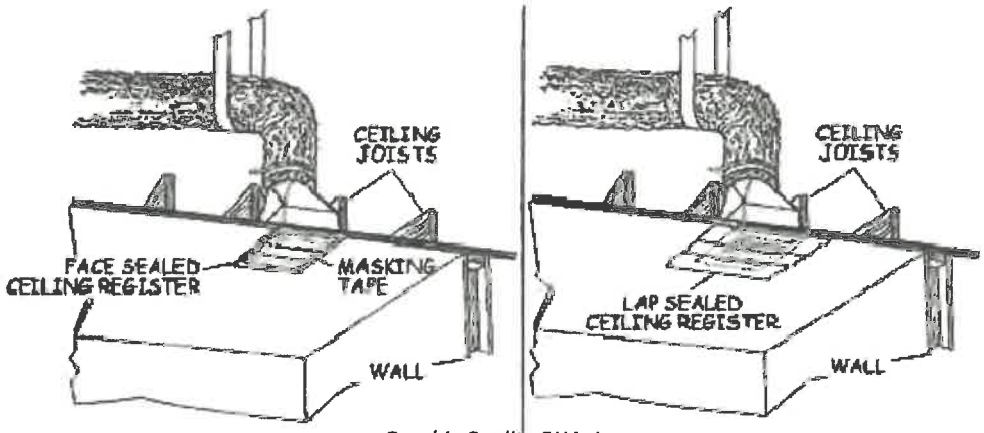
To perform a Duct Leakage test properly, all homes shall be set-up according to the following checklist:

TABLE 5.6: STEPS TO SET UP THE HOME

Item	Set-Up Task
1.	**Operate the HVAC system briefly to determine that the FAU functions properly.** • Duct testing shall not be performed if the FAU is inoperable, or a CAS Hazard is present (e.g., burner/flame abnormality, high CO, cracked heat exchanger, spillage). • Conduct a tactile check of the airflow at each supply register with air handler operating.
2.	**Temporarily block/seal intakes connected to the duct system (e.g., makeup air duct, economizer venting damper, etc.).** • A notation that it was blocked shall be made in the Duct Leakage Data Sheet, so that the inspector knows that it was blocked, and can check to make sure that it was returned to the standard state (unblocked).
3.	**If a damper is present to isolate a FAU and evaporative cooler that share the duct system, close damper during duct testing.** • If not present, or cannot be closed, duct test is not feasible.
4.	**Turn off all fan-equipped appliances, such as:** • HVAC equipment: FAU and room air conditioners. • Exhaust devices: Fans and clothes dryer vented outdoors.
5.	**Remove air filters from the duct system.** • Seal openings (slots) for slide-in filters in the plenum (e.g., with temporary tape).
6.	**Block duct system terminals as applicable.** • Seal all supply registers and return grilles with masking tape or plastic film to achieve a complete seal during duct pressurization tests as described below. • Do not block one return grille or air handler access for installation of duct tester.
	Methods to Block Supply and Return Registers
	Method 1: Face Seal Register/Grille • The face of the supply register or return grille is covered with a temporary barrier material (register-sealing film, wide masking tape, etc.). • Barrier material is restricted to the face of the register/grille and shall cover and seal all openings.

Item	Set-Up Task

Method 2: Lap Seal Register/Grille

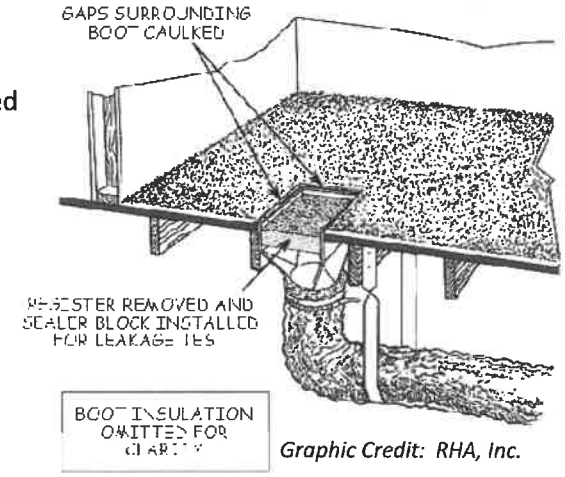


Graphic Credit: RHA, Inc.

- The register/grille shall be completely covered with temporary barrier material that laps onto the surrounding surface.
- This method shall not be used where acoustical texturing is present and where barrier material is likely to peel off paint or otherwise damage the surface.

Method 3: Cover Pan Method

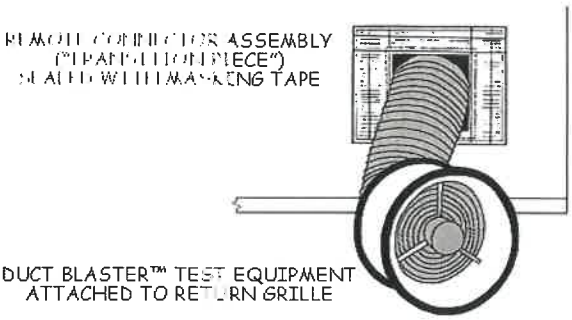
- The register opening is covered with a sealed pan-shaped device held firmly in place.
- The edge/flange of the cover pan shall be gasketed to achieve a complete seal.
- This method shall not be used where acoustical texturing is present.



Graphic Credit: RHA, Inc.

Method 4: Internal Blocking Method

- The boot is internally blocked with a temporary plug or dam (e.g., a tight-fitting block of dense foam or duct board).
- Plug shall seal the boot completely.
- Seal/caulk gaps between the boot and the structure if this method is used.

Item	Set-Up Task
7.	**Install Duct Tester Fan** • Attach the Duct Blaster® fan housing or remote connector assembly (e.g., transition piece) to the HVAC system. • Attach the remote connector to the return grille that is largest and closest to the air handler (minimum 1'x1' grille required). • When connection to a return grill is not feasible on a multi-return system (e.g., more than one central return, or a return in every room), attach the fan/remote connector to the air handler blower access opening. • Secure the fan/connector and seal completely with temporary tape/film. • Install the duct-pressure sampling tubing/probe from the digital pressure gauge to inside the taped register nearest the supply plenum. • Install the fan pressure tubing from the digital pressure gauge to the duct tester fan pressure tap.  DUCT BLASTER™ TEST EQUIPMENT ATTACHED TO RETURN GRILLE *Graphic Credit: RHA, Inc.*

5.7 STEP 4: WORK INCREMENTS

When a duct test is feasible, Installers shall set-up the home for testing and follow this incremental work procedure. This protocol aligns with Title 24 requirements for Total Leakage Testing (i.e., to seal, shall have leakage of at least 16% of airflow and seal to 15% or less). If "Leakage to Outside" testing will be performed, see additional details in this Appendix.

CSD has divided duct leakage activities into three priority levels as outlined in the CSD 706 form:

5.7.1 Catastrophic Leaks

5.7.2 High-Pressure Leaks

5.7.3 Low-Pressure Leaks

Installers shall conduct an Initial Test, then seal all catastrophic duct leaks (priority level 1).

- An incremental duct test shall be conducted.
  - If the incremental test shows leakage less than the Duct Leakage Target, duct sealing work shall STOP.
  - If the incremental test result shows duct leakage to be at or above the Duct Leakage Target, installers shall seal all high-pressure leakage items (priority level 2).
- After high-pressure leaks are sealed, the next incremental test is conducted.
  - If the incremental test shows leakage less than the Duct Leakage Target, duct sealing work shall STOP and the reading becomes the final duct test reading.
  - If the incremental test result shows duct leakage to be at or above the Duct Leakage Target, installers shall seal all low-pressure leakage items (priority level 3).
- Work is complete when the duct system's total leakage is equal to, or less than, the Duct Leakage Target.

5.8 STEP 5: BALANCING THE DUCT SYSTEM

When tight-fitting doors are likely to cause excessive room pressurization, a digital gauge shall be used to detect and measure that pressure. Crews shall test duct systems to ensure adequate air movement throughout the living space with interior doors closed.

- Guidelines for room-to-room air testing shall be followed as set forth in the CAZ section of the CSD TRM, Appendix A.
- Pressures will be measured with the furnace fan operating across interior doors that can be closed and have a supply and/or return behind them.
- Rooms should not exceed 3 Pascals of pressure.
- Pressure testing will be performed with all interior doors closed and the air handler running.

The duct testing and sealing procedure is now complete.

Photo Credit: WAPTAC.org

6. Critical Duct Leakage Areas

6.1 CATASTROPHIC LEAKAGE

"Catastrophic duct leak" repairs shall be made as long as no unresolvable CAS or IAQ fails are present. Some examples of catastrophic leaks include unlined platform returns, crushed or disconnected ducts, incomplete duct systems, visible holes through the duct material that allow the escape of conditioned air, or for mobile homes, the presence of a belly return.

In order to be correctly justified and pass inspection, photographs of the catastrophic leak conditions shall be provided to show adequate leakage. Catastrophic leak repairs shall return the ducts to a normal safe and secure condition. **Sections 6.1.1- 6.1.3 describe sealing of three standard catastrophic leakage conditions.**

"Catastrophic Duct Leakage" is a condition identified when the duct tester is in "Open Mode" and speed control is at maximum, and a duct pressure no greater than 24 pascals is achieved.

6.1.1 Sealing of Unlined Platform Returns

For a platform return beneath an FAU in a hallway enclosure:

- Access the interior of the platform through the filter grille opening (grille frame may be removed to maximize size of the opening).
- Line all open stud cavities by installing fiberglass duct board as described and required in CSD TRM Section 8 (Ducting Repair, Sealing, and Insulation).

For a platform return beneath an FAU in a garage:

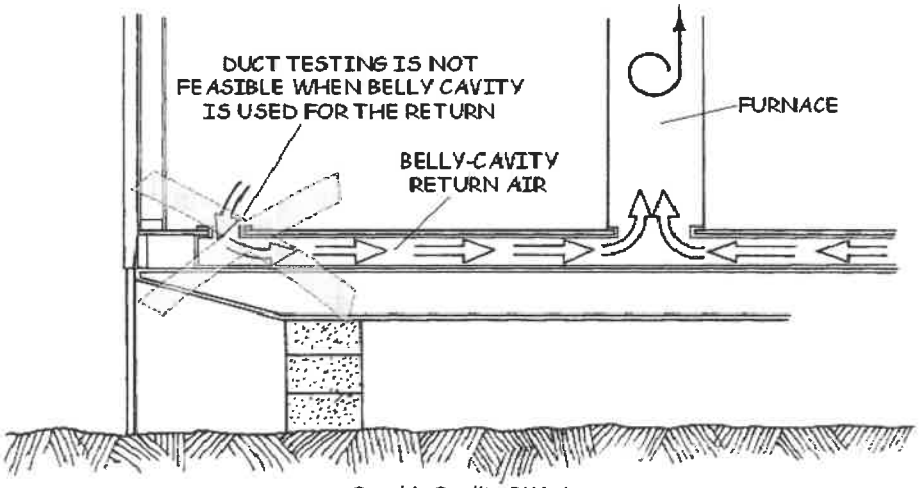
- Attempt visual inspection and leak repair through the hole under the FAU.
- Repair a leaky return starting collar from under the house, when that provides easier access.
- It is also acceptable to remove and replace a section of sheetrock in the platform from inside the garage.
- Lining with fiberglass duct board applies only to stud cavities that are open to the attic (no top plate).

6.1.2 Mobile Home with a Belly Cavity Return

Because belly cavity returns are considered a major catastrophic duct leak in a mobile home, whenever feasible, an un-ducted belly-cavity return, shall be:

- Abandoned, by removing floor registers and filling/sealing the holes, and
- Replaced by a ducted central return.
- Ducted central return air opening will be provided to the furnace closet (e.g., replaced louvered door or installation of grilles); whenever possible.
- A continuous and adequate return air pathway to the air handler will be installed.

- Manufacturer specifications shall be followed for the amount needed and be in accordance with ANSI/ACCA 1 Manual D Residential Duct Systems.



Graphic Credit: RHA, Inc.

6.1.3 Register Located in Unconditioned Space

A supply or return register shall be sealed off when it is located in a normally unconditioned space, such as an appliance enclosure, attached garage, or basement.

- When that is not practical, the register boot can be removed, and the open end of the branch duct can be closed with a sheet metal cap that is attached with screws and sealed with metallic duct tape or duct mastic.
- Another option is to attach a metal dam inside the boot with screws, and seal it with metallic duct tape or duct mastic.
- It is not acceptable to cover the interior of the register with metallic tape or metal in lieu of blocking and sealing the duct itself.

7. Detailed Duct Leakage Test Procedure

To make the testing procedure easier, it is broken down into a step-by-step process below.

TABLE 7.1: STEPS TO PERFORM THE DUCT LEAKAGE TEST

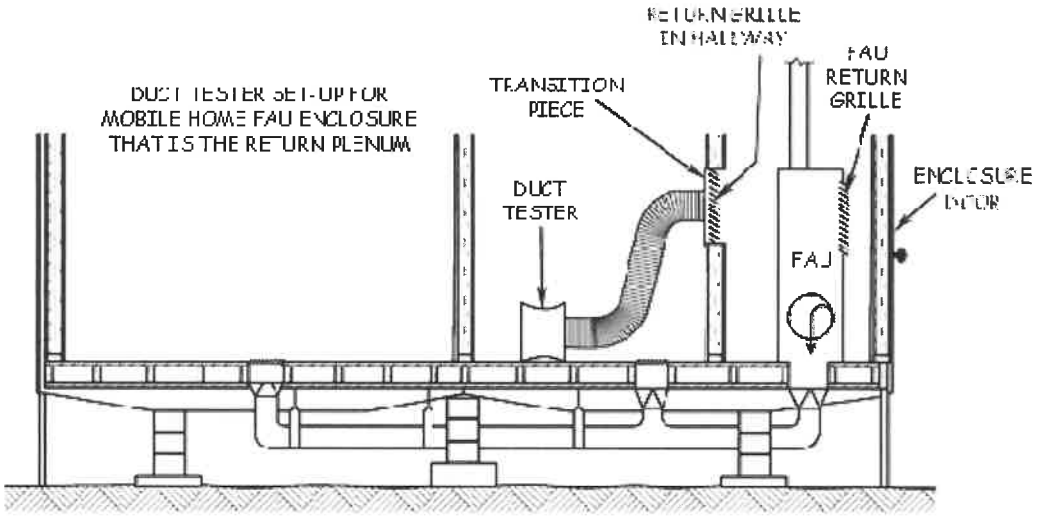
<table>
<tr><th>Item</th><th>Test Procedure</th></tr>
<tr><td>1.</td><td>Prevent depressurization of the conditioned space by the duct tester fan. Open an entrance door or large window to the outdoors.</td></tr>
<tr><td>2.</td><td>Prevent pressurization of the unconditioned space that contains the ducts (attic, crawlspace, or basement). Open vents, access cover/door, etc., as needed so that the space shall communicate with outdoors.</td></tr>
<tr><td>3.</td><td>Keep people and objects away from the front of, and at least one foot to the side of, the duct tester fan inlet during tests.</td></tr>
<tr><td>4.</td><td>Set the digital pressure Mode for one-second averaging, or as recommended by manufacturer.</td></tr>
<tr><td>5.</td><td>Set digital pressure gauge on high range, or as recommended by manufacturer.</td></tr>
<tr><td>6.</td><td>Install and use flow control devices (“flow rings”) in accordance with equipment manufacturer’s instructions.
• Duct tester fan shall be adjusted to pressurize ducts to 25 Pascals (Pa).
• The flow ring shall be changed as needed to keep Fan Pressure within an acceptable range, as indicated in Table 8.1A below for the Minneapolis Duct Blaster®.
TABLE 6.2A: FAN FLOW CONTROL
<table>
<tr><th>Fan Configuration</th><th colspan="3">Flow Range in CFM</th></tr>
<tr><td>Open Fan (no Flow Ring)</td><td>600</td><td>to</td><td>1,500</td></tr>
<tr><td>Ring 1</td><td>225</td><td>to</td><td>800</td></tr>
<tr><td>Ring 2 (smaller opening)</td><td>90</td><td>to</td><td>300</td></tr>
<tr><td>Ring 3 (smallest opening)</td><td>20</td><td>to</td><td>125</td></tr>
</table>
</td></tr>
</table>

	• When a Duct Pressure of 25 Pa cannot be achieved, check to ensure that the digital gauge will automatically estimate CFM at 25 Pa, or follow appropriate manufacturer's instructions for the "Can't Reach Pressure" (CRP) procedure.
7.	Measure the pressure at each register using a digital gauge, with the duct system pressurized to 25 Pa.
8.	Log the Initial Duct Leakage reading.
9.	Identify catastrophic leak locations for sealing activities, then seal all feasible catastrophic leaks. Repeat test and log reduction achieved by ceiling catastrophic leaks (priority level 1).
10.	With tester still running, identify high-pressure leak locations. • If duct leakage is still more than the Duct Leakage Target, continue sealing. • If duct leakage is at or below the Duct Leakage Target, STOP.
11.	Repeat test and log reduction achieved by high-pressure leaks (priority level 2). Identify low-pressure leak locations. • If duct leakage is still more than the Duct Leakage Target, continue sealing. • If duct leakage is at or below the Duct Leakage Target, STOP.
12.	If feasible to continue, and with tester running, identify low-pressure leak locations, then seal (priority level 3).
13.	Calculate total system duct leakage and record on CSD 706 Duct Leakage Data Sheet. • For digital pressure gauges that do not automatically convert fan pressure to fan flow, use the manufacturer's conversion tables and procedures to find Total Duct Leakage in CFM. • The automated CSD 706 form will calculate total duct leakage reduction and percentage of reduction for you. If you are using the paper form, you will need to calculate those values manually. • It is feasible that duct sealing shall reduce leakage to zero CFM25, as long as required incremental leakage reduction requirements are met.
14.	When sealing is complete, the duct system shall be balanced and provide adequate air movement throughout the living space when all room doors are closed.

7.1 ADDITIONAL TESTING PROCEDURE FOR MOBILE HOMES

7.1.1 Furnace Enclosure Used as Return Plenum

This special duct test procedure is used for mobile homes only, when the FAU is located in an enclosure accessed from outdoors and the enclosure is the return plenum (the return is not ducted into the FAU). Return air reaches the FAU through grille(s) located in the wall between the enclosure and the living space.



Graphic Credit: RHA, Inc.

7.1.2 Duct Tester Connection to Enclosure Used as Return Plenum

To perform a duct leakage test in this condition, connect the duct tester to the largest return grille in the enclosure wall, rather than directly to the FAU.

- Additional Return grille(s) shall be temporarily blocked for the test.
- Duct tester will pressurize the enclosure and FAU, not just the FAU.
- Close the enclosure access door in as-is condition (not weatherstripped before the test), unless the door is excessively damaged/deteriorated and qualifies for repair/replacement.
  - If leakage around the door is large, use the "Can't Reach Pressure" procedure.
  - If leakage is catastrophic and out of range for duct testing, the door:
- Shall be repaired before duct testing continues, or
- Temporarily blocked (e.g., with tape and plastic film).
- Sealing of gaps and cracks in the enclosure is part of duct sealing activities.

8. Clean-Up Procedure

All things changed for diagnostic/sealing work shall be returned to pre-test condition, including the following:

- Remove all temporary seals:
  - Unseal duct registers/grilles.
  - Unseal air intakes (e.g., fresh air makeup).
- Check supply registers and return grilles for proper operation.
- Reinstall or replace air filter(s):
  - Single-use: Clean dirty filter if it cannot be replaced.
  - Permanent or Reusable: Clean or replace before reinstalling.
  - Leaky Slide-in: Advise client to seal slot with temporary tape.
- Restore power to the HVAC system and/or the air handler.
- Return all windows, doors, fans, heating and cooling equipment, etc. to original settings.
- Return furniture and other household items moved during testing to the original positions.
- Remove all test equipment, tools, supplies, and trash from the home.

9. Duct Leakage Test Post-Inspection

Inspectors are responsible for analyzing the sealing choices made by a crew. Ignoring higher priority leakage areas shall result in an inspection fail for an agency and Installers. In addition to an external visual inspection, inspectors are required to visually inspect any internal repair and sealing work with a mirror (e.g., boot/riser-to-trunk connection) to ensure that sealants have been applied correctly, and all leaks are completely sealed.

In conformance with CSD TRM requirements, agency inspectors will be required to perform re-tests of diagnostic testing on a minimum of 20% of LIHEAP inspected units and 100% of DOE WAP jobs. Agencies will be required to increase the LIHEAP minimum re-test percentage when discrepancies or patterns of issues are found. Inspector re-testing shall be conducted and documented by the inspector on the appropriate diagnostic forms.

Appendix C: Shell Leakage Test Protocol

Photo Credit: CAP of San Luis Obispo

DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT

Effective 1/1/2025

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Table of Contents

Preface **3**
1. Blower Door Diagnostic 6
1.1 What is SHELL LEAKAGE Testing? 6
1.2 Feasibility Criteria 6
1.3 Required Deferral 7
1.4 Client Refusal 7
1.5 Asbestos 7
1.6 Order of Performance 7
1.7 Recordkeeping 7
1.7.1 Shell Leakage Test Types 7
2. Equipment and Calibration Requirements 8
2.1 Standard Testing Equipment 8
2.1.1 Calibration of Equipment 8
2.1.2 Alternative Testing Equipment 9
3. Shell Leakage Minimum Testing Requirements 9
3.1 DOE 9
3.2 LIHEAP 9
4. Interval Approach to Shell Sealing 10
4.1 DOE 10
4.2 LIHEAP – Shell Leakage Testing 11
4.3 LIHEAP – No Shell Leakage Testing 11
5. House-Set-Up for Shell Leakage Test 12
6. Conducting a Shell Leakage Test 14
6.1 Scheduling Tests 14
6.2 Depressurization vs. Pressurization 14
6.3 Blower Door Test Procedure 15
7. Shell Leakage Details 16
7.1 Catastrophic Leakage 16
8. Shell Leakage Test Clean-Up Procedure 18
9. Post-Inspection of Shell Sealing Work 19
10. Attachment 1: Conducting the RESNET 800 Blower Door Test 21

Preface

To reinforce correct shell sealing practices in the field, CSD has set a target value for infiltration reduction. This target value will measure when sealing efforts result in an acceptable outcome and ensures that all homes served under CSD's programs achieve a similar level of "tightness".

Beginning July 1, 2023, CSD will incorporate a target value of 1 CFM/sq. ft. into the existing TRM Appendix C Shell Leakage Test Protocol. This target value must be applied to all homes receiving infiltration reduction activities. The goal is to achieve no more than 1 CFM50/sq. ft of conditioned floor area. The actual leakage value (LV) is judged against the target value to answer the question, "Could we have missed shell sealing opportunities?".

As defined by this Appendix, shell sealing work is prioritized to address leaks in the following order:

- Occupant protection related sealing
- Priority 1: Interior catastrophic leaks
- Priority 2: Interior high-level leaks
- Priority 3: Interior low-level leaks
- Priority 4: Large interior mid-level leaks
- Priority 5: Small interior mid-level leaks
- Priority 6: Exterior leakage sites

When sealing all feasible leaks at these locations, the CFM reduction is calculated during incremental tests to determine if a reduction of 75 CFM[1] per technician, per hour has been met. As long as this threshold is met, sealing work will continue. Thresholds are evaluated during work and during post-inspection.

Assessment and Installation

Assessors and Installers are required to document a specific reason why every sealing opportunity listed on the CSD 704 form is not feasible using a "non-feasibility" status code. When the code is "NF-other", a written explanation is required.

To ensure that all feasible shell sealing opportunities are addressed and that the final LV is as close to the target value as possible in each home, the following steps are described in the CSD 704 form:

1. After each time interval, use the blower door reading and the dwelling square footage to calculate the LV.
2. Compare the LV to the target value. If 1 CFM50/sq. ft. is not achieved, are there any opportunities that may have been missed?

[1] Blower door readings are read in "CFM" or cubic feet per minute.

3. After sealing all feasible opportunities or when the 75 CFM per person, per hour is no longer met, calculate the final LV.
    - If the final LV is 1 CFM50/sq. ft. or less, the goal is met.
    - If the final LV is greater than (>) 1.15 CFM50/sq. ft., additional action is needed. See the CSD 704 Instruction Sheet and the steps detailed below.

Post-Inspection

Inspectors will be required to evaluate the quality of decision-making by the Assessors and Installers and document when work does not conform to the Appendix C protocol. During their retest procedures, Inspectors must calculate a LV using the "retest" blower door CFM reading, and compare their LV to the target value. If the final LV is > 15% above the target value, the inspector must verify that all required components of the CSD 704 form are completed and the justification for any shell sealing that was not performed is appropriate.

Any missed shell sealing opportunities not identified by the Assessor or completed by Installers will require documentation by the Inspector. Installers must return to the dwelling to correct any missed shell sealing opportunity and complete a new blower door test for an updated LV under the supervision of the Inspector.

Actions Required When the Target Value Is Not Met

Despite best shell sealing efforts, there may be homes where the final LV does not meet the target value of 1 CFM/sq. ft. When the final LV is >15% above the Target value (i.e., >1.15 CFM50/sq. ft.), the following procedure is required at each level of the quality control/quality assurance process.

Installers

If the final Installer LV is >1.15 CFM50/sq. ft., Installers must take photographs of each shell sealing opportunity that could not be sealed and provide an explanation in the "Assessor and Installer Notes" section of the CSD 704.

Agency Inspectors

When the Inspector LV is >1.15 CFM50/sq. ft., the agency inspector must document the following steps in accordance with TRM Appendix G on the CSD 704 form.

1. Confirm that the shell leakage testing and sealing were performed and documented correctly.
2. Confirm that shell sealing was completed based on valid assessment decisions.
3. Compare inspector test results to Assessor and Installer results. Where procedural issues are found, document the training need in the "Inspector Notes" section of the CSD 704 and provide training for field personnel.

If a pattern of missed sealing opportunities is found by the inspector, the assessor and/or installers shall receive additional on-the-job training by agency Peer Experts on the CSD shell testing and sealing protocols. If the pattern continues after on-the-job training, the agency Program Manager must submit a request through the Training Portal for field mentoring.

CSD/Third-party Inspections

During quality assurance inspections, CSD and/or their representative will document issues in writing where the CSD 704 does not adequately support shell sealing decisions, or where shell sealing opportunities were missed. When review of documentation shows misunderstanding of shell sealing policies across all field positions, CSD will assign field mentoring to identified individuals for a defined number of projects. If corrections of identified shell sealing fails are not made by the agency, the cost associated with shell testing and sealing will be disallowed.

1. Blower Door Diagnostic

Photo Credit: RHA, Inc.

1.1 WHAT IS SHELL LEAKAGE TESTING?

A shell leakage test is one of the routine checks performed by crews to analyze a home's energy efficiency. A Blower Door ™ creates pressure in a home to find any cracks or leaky areas around windows, doors, outlets, chimneys, etc. By using this process, crews can identify and seal the leaks, keeping conditioned air inside. Weatherization ensures adequate air movement throughout the living space to promote good indoor air quality.

1.2 FEASIBILITY CRITERIA

Shell leakage testing shall be performed when...

1. A doorway is suitable for installation and proper operation of shell leakage test equipment.
2. Fire or hot coals that are present in a solid fuel appliance may be safely controlled.
3. In a MUD unit, the entrance hallway communicates directly with outdoors (or an openable exterior door or window is available).

Shell leakage testing shall NOT be performed when...

1. Unfeasible according to measure feasibility criteria in the Technical Reference Manual (TRM).
2. Shell sealing is not feasible because:
   a. Dwelling is NIM.
   b. A CAS Hazard or indoor air quality (IAQ) fail exists that cannot be corrected.
   c. Extreme weather condition (e.g., very window, wet, hot, cold) prevents reliable testing or subjects occupants to unreasonable discomfort. (Note: Efforts shall be taken to reschedule test so that measures received are not restricted unnecessarily).
   d. Health or physical limitations of occupant(s) makes shell leakage test inappropriate.

   e. **[Mobile Home]** An open combustion gas-burning space heater or water heater is present that draws combustion air from the living space.
3. **[Mobile Home]** An open combustion solid-fuel burning space heater (i.e., fireplace, insert, wood stove) draws combustion air from the living space is present. CSD Exception: Pressure diagnostics and infiltration-reduction measures shall be allowed when:
   a. Pressure measurement shows the CAZ of each appliance is less negative than the HDL (see procedures described in CSD TRM Appendix A); and
   b. Installed measures do not depressurize the CAZ beyond the HDL.
4. Testing or sealing would violate CSD Health and Safety Requirements (CSD TRM Appendix E).
5. Client refuses-- after diagnostic benefits have been explained.

1.3 REQUIRED DEFERRAL

When a CAS or IAQ fail exists that cannot be corrected, one of the following consequences shall result:

- **(DOE Program or leveraged with DOE)** The dwelling shall be fully deferred.
  - **(LIHEAP only)** Limited deferral is required, and only non-infiltration reduction measures shall be installed; however, careful evaluation must be performed first to determine if non-sealing measures are achievable, reasonable, cost-effective, and it is safe for workers to enter.

1.4 CLIENT REFUSAL

If a client refuses **shell leakage** testing:

- The refusal shall be documented in the CSD 542 Deferral Form by the Assessor, with client signature and date collected from the client.
- **(DOE Program or leveraged with DOE)** A full home deferral is required.
- **(LIHEAP)** If a client refuses shell leakage testing, shell sealing shall follow the CSD 704 form.

1.5 ASBESTOS

When ACM or suspected ACM is present, shell leakage testing and sealing activities shall be in compliance with the CSD Asbestos Policy in CSD TRM Appendix E.

1.6 ORDER OF PERFORMANCE

Duct testing/sealing shall be completed before shell leakage testing of shell sealing occurs, when duct testing/sealing is feasible.

1.7 RECORDKEEPING

Diagnostic test results (when testing is conducted) and the description of work performed shall be accurately recorded on the CSD Shell Leakage Data Sheet (CSD 704). The completed data sheet shall be placed in the client's permanent file. To pass the quality control inspection, all required tests must be performed, and the CSD 704 must be completely and accurately filled out.

1.7.1 SHELL LEAKAGE TEST TYPES

Testing shall consist of:

Initial Shell Leakage Test: determines the amount of shell leakage before any sealing of catastrophic leaks begins.

Interval Tests: performed after each time increment to determine whether continued sealing work is feasible.

Final Shell Leakage Test: After completion of shell sealing, this test calculates the:

- Final shell leakage reading;
- Leakage reduction achieved; and
- Percentage of reduction achieved.

2. Equipment and Calibration Requirements

Diagnostic equipment shall be utilized, checked, and calibrated in accordance with CSD's and manufacturer's recommendations.

2.1 STANDARD TESTING EQUIPMENT

Shell leakage testing shall be performed with a standard Shell Leakage Test kit (i.e., Blower Door system) and in accordance with manufacturer's instructions, except as noted in "Alternative Testing Equipment" below. Equipment shall comply with the following requirements:

Photo Credit: WAPTAC.org

- Commercially-produced equipment shall be used.
- Digital Manometers (pressure gauges) shall be used.
- House pressure gauge shall display pascals with a range from 0 to 60 Pa, and accuracy of ±10%.
- Fan Flow gauge shall display Pascals and CFM with a range of 500 to 6000 CFM, and an accuracy of ±10%.
- Gauges may be calibrated in Inches of Water Column if the range is between 0 and 0.25 IWC with an accuracy of ±5%.
- Smoke (e.g., from an incense stick, smoke pencil, smoke puffer, etc.) with tactile tests, gauge readings, etc. shall be used in conjunction with the Blower Door as additional leak detection methods, to accomplish effective shell sealing.

2.1.1 CALIBRATION OF EQUIPMENT

Records of all calibrations and equipment checks must be kept in an equipment calibration log, as specified by CSD policy. Equipment manufacturer's technical assistance shall be used as needed to properly maintain the test equipment.

Digital gauges must be calibrated annually, by the factory, or by using manufacturer-approved field calibration procedures.

- For Minneapolis equipment, use the available field calibration plate.
- For Retrotec equipment, use items and instructions supplied with the gauge.
- Note: When Infiltration Credit will be claimed and the RESNET 800 Procedures used, additional calibration requirements must meet those in Section 6.9 of this document.
- Blower Door fans must be field-checked in accordance with the manufacturer's recommended procedures:
- Annually, or whenever a fan has been dropped or damage is suspected.
- By the factory, after damage has occurred or field checks reveal deviations that require factory service.

2.1.2 ALTERNATIVE TESTING EQUIPMENT

Alternative shell leakage testing using a **Minneapolis Duct Blaster® and Manometer** is allowed in lieu of standard shell leakage testing *only when* the fan control can produce at least 30 Pa of house pressure (MUD units only).

- The alternative test shall conform with the test requirements of both systems.
- Set the Manometer Mode to "Pressure/Flow @ 50" and the Device to "DB-B."
- If the gauge flashes "LO" and a CFM reading:
  - A flow ring with smaller opening must be installed. When fan flow is in proper range, "LO" will not appear.
  - When changing to a smaller flow ring, the "Config" setting on the gauge must be changed to match the newly installed flow ring.

3. Shell Leakage Minimum Testing Requirements

Photo Credit: WAPTAC.org

CSD recommends that Shell Leakage Testing be completed in all feasible dwellings; however, the testing minimums are outlined by program below.

3.1 DOE

Where DOE funds are used, shell testing shall consist of:

- 100% shell leakage testing.
- When a shell leakage test is *not* completed, the dwelling shall be deferred.
- Shell leakage testing is not required for MFD of 4 stories or greater.

3.2 LIHEAP

When LIHEAP is the *only* funding source used, testing shall be conducted for a minimum of:

- 20% of single-family dwellings
- 5% of multi-unit dwellings (1-3 stories).
- Shell leakage testing is not required for MFD of 4 stories or greater.

It is required that technicians conducting Shell Leakage Testing shall prioritize single-family and multi-unit dwellings, selecting these conditions first:

- Open combustion appliances that draw air from the living space.
- Solid-fuel burning appliances (fireplaces, wood stoves, inserts, pellet stoves, coal-burning appliances, etc.).
- Stucco-sided dwelling exteriors.

For remaining LIHEAP-only dwellings, agencies may choose to follow the shell sealing procedure described in Section 4.3 where no shell leakage testing is required, or they may opt to apply the DOE approach to LIHEAP, as described in Section 3.1 above.

4. Interval Approach to Shell Sealing

Shell sealing measures shall be installed in the "thermal envelope" to reduce infiltration between a conditioned space and an unconditioned space.

Shell sealing measures shall NOT be installed:

- ***Between two unconditioned spaces.***
- ***Between two conditioned spaces,* except in the following circumstances:**
  - ***In a Multi-family dwelling, it is required to seal penetrations and gaps in the walls between two dwelling units to prevent the transfer of conditioned air from one unit to another.***
  - ***When leakage to the exterior is present, as shown by blower door (most common in a ballooned-framed or open-top interior wall cavity).***

All feasible shell sealing activities shall be installed in priority order as listed on the CSD 704 Shell Leakage Data Sheet. Additional sealing requirements are as follows:

4.1 DOE

For dwellings where any DOE funding is used:

- Complete 'Occupant Protection-Related Sealing' before initial Shell Leakage Testing.
- Complete initial Shell Leakage Test before catastrophic leaks are sealed and record initial air leakage in cubic feet per minute (CFM) on the CSD 704 Shell Leakage Data Sheet (CSD 704)
- Seal catastrophic leaks and complete an interval Shell Leakage Test documenting CFM on the CSD 704.

Note: if there are no catastrophic leaks, complete initial Shell Leakage Test and record CFM on the CSD 704. Complete sealing activities as follows:

- Continue sealing activities following the prioritization order as listed on the CSD 704. Complete an interval Shell Leakage Test after one hour of sealing activities recording the results on the CSD 704:
  - If < 75 CFM reduction has been achieved per person for one hour, STOP shell sealing.
  - If ≥75 CFM reduction has been achieved per person for one hour, continue sealing.
- Continue this procedure of sealing with interval testing after each hour, at a minimum, until a reduction of ≥75 CFM is no longer achieved per person.
  - Interval testing may be completed more frequently than every hour.
  - 100% of dwellings shall be assessed for mechanical ventilation utilizing the CSD 540C, ASHRAE 62.2 Mechanical Ventilation Calculator. When applying the Infiltration Credit in the CSD 540C, the Blower Door reading must be taken using the RESNET 800 procedure described in Attachment 1 of this Protocol.

4.2 LIHEAP – SHELL LEAKAGE TESTING

For dwellings where only LIHEAP funding is used:

- Complete 'Occupant Protection-Related Sealing' before initial Shell Leakage Testing.
- Complete initial Shell Leakage Test before catastrophic leaks are sealed and record initial air leakage in cubic feet per minute (CFM) on the CSD 704 Shell Leakage Data Sheet (CSD 704).
- Seal catastrophic leaks and complete an interval Shell Leakage Test documenting CFM on the CSD 704.

> *Note: if there are no catastrophic leaks, complete initial Shell Leakage Test and record CFM on the CSD 704. Complete sealing activities as follows:*

- Continue sealing activities following the prioritization order as listed on the CSD 704. Complete an interval Shell Leakage Test after one hour of sealing activities recording the results on the CSD 704:
  - If < 75 CFM reduction has been achieved per person for one hour, STOP shell sealing.
  - If ≥75 CFM reduction has been achieved per person for one hour, continue sealing.
- Continue this procedure of sealing with interval testing after each hour, at a minimum, until a reduction of ≥75 CFM is no longer achieved per person.
  - Interval testing may be completed more frequently than every hour.
  - Air changes per hour (ACH) may be calculated after each interval Shell Leakage Testing to determine the 'tightness' of the building. The calculation of CFM50 to ACH is as follows:

$$\frac{\textbf{Shell Leakage CFM50 reading x 60}}{\textbf{Volume of dwelling (L x W x H)}}$$

  - Once the dwelling has reached a 'tightness' of 5 ACH or below, the dwelling **must** be assessed for mechanical ventilation utilizing the CSD 540C, ASHRAE 62.2 Mechanical Ventilation Calculator. When applying the Infiltration Credit in the CSD 540C, the Blower Door reading must be taken using the RESNET 800 procedure described in Attachment 1 of this Protocol.
  - Dwellings greater than 5 ACH are not required to be assessed for mechanical ventilation if no further infiltration reduction measures will be installed. Agencies should get as close to the 5 ACH as possible.

4.3 LIHEAP – NO SHELL LEAKAGE TESTING

Where Shell Leakage Testing is not completed, shell sealing shall be conducted as follows:

- Complete 'Occupant Protection-Related Sealing'.
- Seal catastrophic leaks.
- Complete shell sealing activities following the prioritization order as listed on the CSD 704 Shell Leakage Data Sheet.
- Agencies should give consideration towards occupant safety prior to the installation of any infiltration measures.

- Where a CAS or IAQ hazard exists that cannot be corrected within the scope of the program, dwelling shall be NIM with no infiltration measures installed.

5. House-Set-Up for Shell Leakage Test

When a Shell Leakage Test will be conducted, proper set-up of the home shall be performed in accordance with the following protocol.

SET-UP FOR ALL HOMES

Doors, Windows, and Access Covers

1.	**Close** all prime windows and storm windows.
2.	**Close** exterior doors, attic access covers, and crawlspace access covers.
3.	**Open** all interior doors to conditioned rooms.

Basement Doors

4.	**Closed** if basement is unconditioned.
5.	**Open** if basement is conditioned.

Combustion Appliances Off

6.	Heater or furnace thermostat all the way **down or in the "Off"** position.
7.	Water heater all the way **down or on "Pilot"** setting.

Solid Fuel Appliances—Fire Not Present

8.	**Close damper** on fireplace and solid-fuel stove/insert.
9.	**Close air inlets** on solid-fuel stove/insert.
10.	**Seal openings** on solid-fuel stove/insert temporarily, if necessary to avoid drawing ashes into the home (note this on the data sheet).

Solid Fuel Appliances—Fire Is Present

11.	**"Airtight" (restricted air intake) stove or insert with closable air inlets:** *Pressurization* may be possible when stove/insert has a *low* fire, but air inlets shall be closed. **Do not Depressurize.**
12.	**Fireplace or stove/insert not "airtight":** Blower door test shall not be attempted.

Exhaust Devices, Coolers, Air Conditioners

13.	**Turn off air-moving devices** that transfer air out of or into conditioned space, attic, and crawlspace. Includes exhaust fans (kitchen, bathroom, utility), clothes dryer exhausted outside, air handler, window/wall air conditioner, controllable attic and crawlspace fans, mechanical ventilation fans.
14.	**Install winter cover** on wall/window air conditioners, evaporative coolers, and whole house fan (Note: When a vent cover is not present, install a cooler vent cover as a catastrophic leakage repair).
15.	**Close dampers** on window/wall air conditioners.

16.	**Seal off** wall/window air conditioner (e.g., with plastic film), if the unit or surround leaks air and the unit is removed during winter.
17.	**Seal off air opening** of continuously-operating mechanical ventilation fans (and note on data sheet).
18.	**Seal off fan inlet,** when exhaust fan has a functional backdraft damper. • *Pressurization only*; does not apply when depressurizing.
19.	**Do not seal fan inlet**, when exhaust fan damper is missing or does not close.
20.	**Leave open intentional openings** between conditioned and unconditioned space (such as a passive kitchen exhaust duct/vent).
21.	**Do not seal clothes dryer** exhaust opening, even if no dryer is attached (but note this on data sheet).

Plumbing Drains with P-traps

22.	**Seal or fill with water**, if empty.

SET-UP FOR HOMES WITH FAU & DUCTS

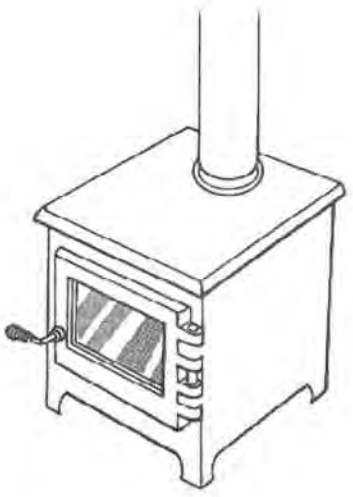
23.	**Duct Repair and Sealing** shall be completed first—before Blower Door testing is conducted.
24.	**Leave open registers/grilles (supply and return)—NORMAL CONDITION**, when: • Sealed ducts can be pressurized to 25 Pa (duct leakage is not excessive, and unsolvable air quality problems are not present).
25.	**Close and block registers/grilles (supply and return)—SPECIAL CONDITION**, when: • Sealed ducts cannot be pressurized to at least 25 Pa (duct leakage is excessive), and/or • Duct repair and sealing is not feasible (e.g., extensive duct damage/degradation is present, there is asbestos-containing insulation on the ducts), which are beyond scope of program to correct).
26.	**Blocking procedure** for registers/grilles—when blocking is required, per step 25: • **Depressurization:** securely block with masking tape, masking film, tape and plastic, etc. • **Pressurization:** plastic film may be held in place with tape or magnets.
27.	**Block fresh air make-up** duct (when present on FAU return): • Block temporarily (e.g., with tape or tape and plastic). • Note that on data sheet and be sure to re-open duct after testing.

6. Conducting a Shell Leakage Test

6.1 SCHEDULING TESTS

It is important to be sensitive to the needs of the health and well-being of the client while weatherizing a home. Agencies shall reschedule blower door testing, when a condition such as one of the following is present:

- Illness in the household.
- Winter weather prevents proper pressurization test when solid-fuel appliance is present.
- Extreme weather conditions which would result in excessive client discomfort.
- Severe windy conditions prevent accurate gauge readings.



Graphic Credit: RHA, Inc.

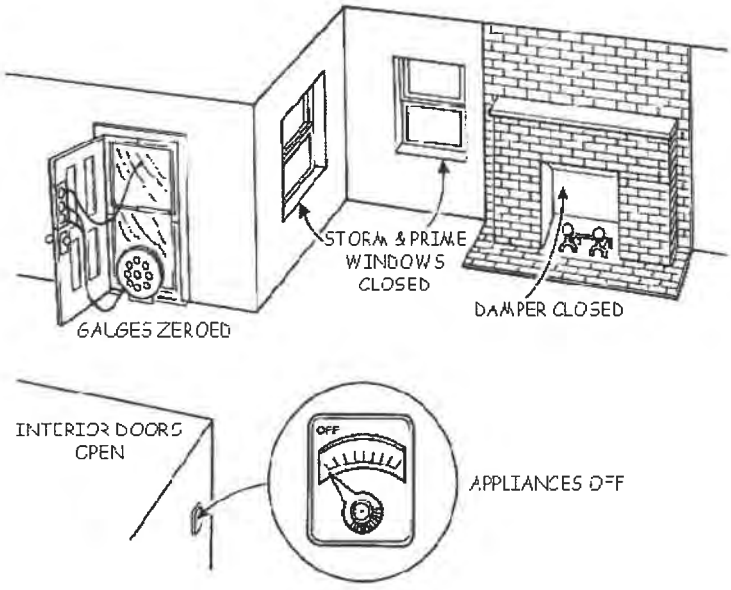
6.2 DEPRESSURIZATION VS. PRESSURIZATION

For Blower Door testing, dwellings shall be pressurized or depressurized to a standard test pressure of 50 Pa. The Depressurization technique for blower door is the standard practice used in the California weatherization program unless a condition exists that necessitates pressurization testing, as those listed below.

- Wood or other solid fuel heating fireplace or appliance is operating, or ashes/coals are present.
- Vermiculite is present in the attic, and unless asbestos-testing proves otherwise, asbestos is presumed to be present.
- Friable asbestos is found in any other area within the thermal boundaries of the dwelling.
- Animal or bird feces are found in the attic that may be a health hazard.
- Sewage leakage is found in the crawlspace.

When a home contains a solid-fuel appliance (wood/pellet stove/insert or fireplace), it shall be *pressurized* cautiously and the test must not cause an unsafe condition. All of the following applicable precautions shall be taken:

- There must be no fire or hot coals present.
- Ashes and coals must be contained and covered with a wet cloth, newspapers, etc.



Graphic Credit: RHA, Inc.

- When present for a fireplace, damper and glass doors must be closed. When not present, opening shall be temporarily sealed off (e.g., with cardboard or plastic).
- When present for a stove/insert, damper and air control must be closed.

When testing begins, a crew person shall be stationed at the appliance to signal if contaminants are being pulled from the appliance.

6.3 BLOWER DOOR TEST PROCEDURE

BLOWER DOOR TEST PROCEDURE	
1.	**Central location:** Install blower door in a centrally-located exterior doorway, with fewest obstructions within 3-feet of the fan.
2.	**Airflow to outdoors:** When Blower Door location leads to a porch, garage or other enclosed area, outside doors and/or windows in the enclosed area shall be opened enough to provide unrestricted airflow between the Blower Door and outdoors. **Multi-Family:** When Blower Door testing is performed in a MUD building with an enclosed common hallway (conditioned or not): • At least one common hallway door (or a window with adequate opening) that communicates with outdoors shall be temporarily opened during testing. • Lack of an opening to outdoors renders testing unfeasible.
3.	**Blower Door Panel and Fan:** • Install and secure the blower door fabric panel per manufacturer's instructions. • Properly orient the fan in the panel (low-flow plates facing *indoors* for depressurization) and secure it in place. • Seal off Blower Door fan in preparation for **Baseline Pressure** procedure to determine the amount of existing pressure in the dwelling. This reading is used to adjust the amount of pressure required in order to bring the dwelling to 50 Pascals **(see manufacturer's instructions because actual Baseline Pressure procedure will vary based upon gauge manufacturer and model)**.
4.	**Gauges:** • Secure the gauge on the mounting plate—which may be secured to the panel frame or a door, or may be hand held. • Install tubing per manufacturer's instructions, based on test type (depressurization or pressurization).
5.	**Outdoor tubing:** Position tubing to terminate outdoors and away from Blower Door fan turbulence. • To the side and at least 5' feet away from the fan air flow. • On the ground/surface near the edge of the foundation.
6.	**Windy condition:** Take steps to reduce the effect of wind on the accuracy of gauge readings: • Install wind dampeners per manufacturer's instructions in all tubing that terminates outdoors. • Extend outdoor tubing into a wind-protected location (shed, garage, large bucket, etc.). • Take three or more single-point readings at 50 Pa house pressure—space them a few minutes apart, during lulls when possible—then average the readings.

	• Analog Gauges: "Zero" gauges prior to each reading. • Digital Gauge: Use 5-second (or longer) time averaging.
7.	**Conduct Blower Door test** per manufacturer's instructions. Dwellings shall be depressurized to -50 Pa, and shell leakage is measured and recorded as CFM50.
8.	**House pressure less than 50 Pa:** If an initial house pressure of -50 Pa (depressurization) cannot be achieved due to large or diffuse leaks, the test equipment manufacturer's instructions and smoke testing procedures shall be followed. Follow the Blower Door manufacturer's instructions *when a digital gauge does not automatically compensate* for low pressure). • When enough shell sealing has been completed so a house pressure of 50 Pa can be achieved, CFM_{50} leakage measurements are thereafter taken directly from the gauge (without making low-pressure adjustments).

7. Shell Leakage Details

7.1 CATASTROPHIC LEAKAGE

"Catastrophic Shell Leakage" is a condition where a shell location (e.g., a wall, door, window, etc.) does not function as it is intended due to degradation or damage, and it cannot be fixed/adjusted/repaired to bring it back into a properly functioning condition. These infiltration conditions are identified by a gap of at least 1/4" and meet or exceed the catastrophic leak definition below:

Shell Catastrophic Leak Definition:

When measurable as a visible, physical gap(s), a "Catastrophic Shell Leak" is defined as 5 sq. in. of leakage area calculated for a single measure location (e.g., a door, a window, etc.).

"Catastrophic leak" repairs shall be made as long as no unresolvable CAS or IAQ fails are present*. In order to be correctly justified and pass inspection, a visual identification and written description, photographs, and measurements shall be documented in the CSD 704 Shell Leakage Data Sheet, and the calculations shall be provided in writing to show adequate leakage.

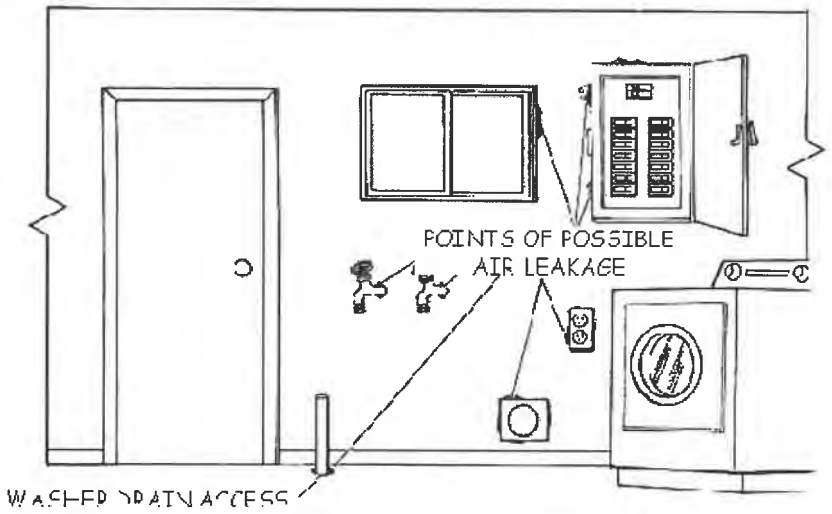
Visually-identifiable examples of catastrophic leaks include:

- Broken window (e.g., will not close completely, broken sash, broken glass, etc.).
- Broken entrance door (e.g., will not close, broken frame, hole in door, etc.).
- Interior attic or crawlspace access cover that is broken or missing.
- Missing fireplace or kitchen exhaust dampers (even if a kitchen exhaust filter is in place).
- Hole/penetration through the building shell (envelope).
- Evaporative cooler without a vent cover.

Exception: When a CAS or IAQ fail exists that cannot be corrected, one of the following consequences shall result:

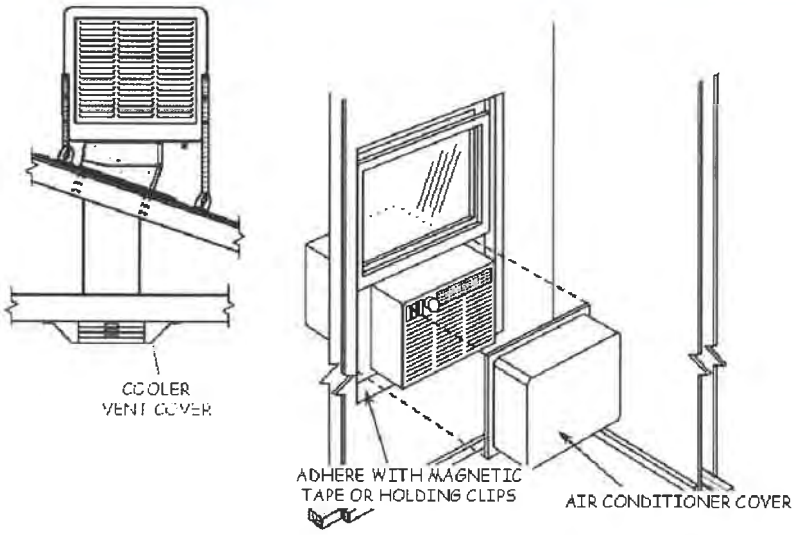
- **(DOE Program or leveraged with DOE) The** dwelling shall be fully deferred.
- **(LIHEAP only)** Limited deferral is required, and only non-infiltration reduction measures shall be installed; however, careful evaluation must be performed first to determine if non-sealing measures are achievable, reasonable, cost-effective, and it is safe for workers to enter the home.

Typical Sealing Locations



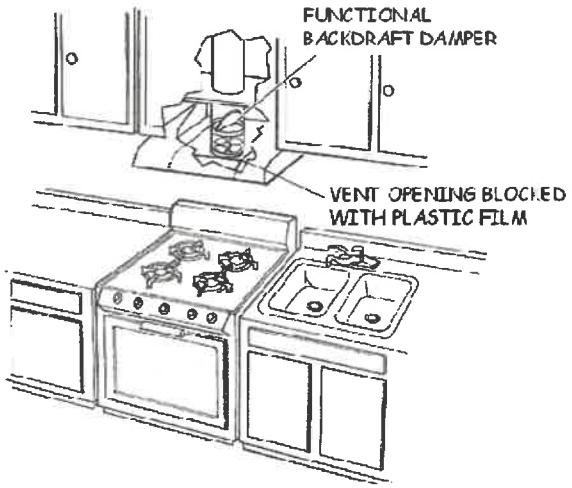
Graphic Credit: RHA, Inc.

Sealing of Cooler Vent Covers



Graphic Credit: RHA, Inc.

Temporary Sealing of Kitchen Exhaust (Pressurization Test Only)

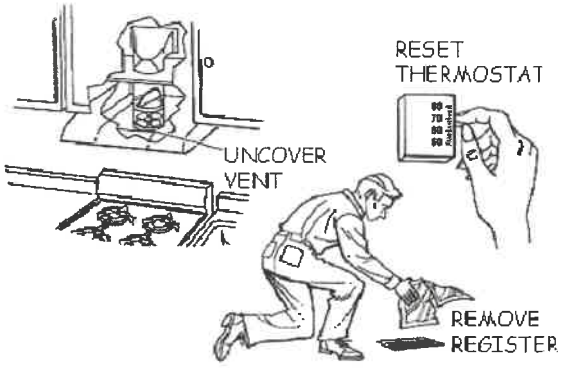


Graphic Credit: RHA, Inc.

8. Shell Leakage Test Clean-Up Procedure

All things changed for diagnostic/sealing work shall be returned to pre-test condition, including the following:

1. Relight pilot lights that were turned off or blown out.
2. Reset thermostats on space and water heating appliances.
3. Remove all temporary seals:
   - Duct registers/grilles and exhaust fans unsealed.
   - Evaporative cooler and air conditioner covers removed.
   - Air intakes (e.g., fresh air makeup) unsealed.
4. Check supply registers and return grilles for proper operation.



Graphic Credit: RHA, Inc.

5. Reinstall or replace air filter(s):
   - Single-use: Dirty filter shall be cleaned if it cannot be replaced.
   - Permanent or reusable: Cleaned before reinstalling if it is not feasible to replace.
   - Leaky slide-in: Advise client to seal slot with temporary tape.
6. Restore power to the HVAC system and/or the air handler.
7. Return all windows, doors, fans, room air conditioners, etc. to original settings.
8. Return all furniture and other household items moved during testing to original position.
9. Reset dampers and air controls on wood stoves.
10. Remove all test equipment, tools, supplies, and trash from the home.

9. Post-Inspection of Shell Sealing Work

Inspectors are required to verify that field personnel did not miss any feasible shell sealing activities and followed the Shell Leakage Testing and Sealing protocol in order to "pass" post-inspection.

In conformance with CSD TRM, agency inspectors will be required to perform re-tests of diagnostic testing on a minimum of 20% of inspected units. Agencies will be required to increase this minimum re-test percentage when discrepancies or patterns of issues are found. Inspector re-testing shall be conducted and documented by the inspector on the appropriate diagnostic forms.

Inspectors are responsible for analyzing the sealing choices made by Installers. Ignoring large leaks, and sealing quicker and easier small leaks first, shall result in an inspection fail for an agency and crews.

Appendix C Attachment 1:

RESNET 800 Procedure

10. Attachment 1: Conducting the RESNET 800 Blower Door Test

When a Blower Door test is used to calculate the Infiltration Credit for Mechanical Ventilation (CSD TRM Section 12), set-up and testing shall be performed in accordance with the following (additional) RESNET 800 procedures.

- **First**, set up and operate the Blower Door as described in Section 6.5.
- **Then** follow **Steps 1-8** in the Worksheet on the following pages.

The Worksheet is the "Test Form" referenced in the Energy Conservatory "Quick Guide", which follows. It is included to clarify what data must be collected and recorded. **Enter the final specified Blower Door reading in the applicable field of the CSD 540C for the Infiltration Credit.**

RESNET 800 Equipment Calibration Requirements

- In order to be in compliance with the RESNET 800 standard, blower doors and gauges shall be calibrated annually by: (a) the equipment manufacturer, or (b) a HERS Rating Provider or certified HERS Rater.
- Magnehelic gauges shall be calibrated only by the equipment manufacturer.
- Equipment calibration records shall be maintained in a written log for a period of three years.

<table>
<tr><th colspan="2">RESNET 800 ONE-POINT AIR TIGHTNESS TEST</th><th>NOTES</th></tr>
<tr><td>1.</td><td>Temperatures and Elevation: Record the following:
• Indoor and outdoor temperatures (to an accuracy of 10°F), and
• Altitude of the home (to an accuracy of 2,000 feet).</td><td>Temperature:

Altitude:</td></tr>
<tr><td>2.</td><td>Time Averaging: Choose and record time averaging of at least 10 seconds.</td><td>Time Averaging:</td></tr>
<tr><td>3.</td><td>Determine Level of Accuracy: Determine blower door test "Level of Accuracy":
• With fan sealed off, measure and record five (5) Baseline Pressure readings (guidelines in this Appendix).
• Subtract the smallest baseline measurement from the largest, and record this value as the Baseline Range.</td><td>Readings:
1.
2.
3.
4.
5.
Baseline Range:</td></tr>
<tr><td>4.</td><td colspan="2">Apply Level of Accuracy: Use findings in Step 3 and this table to determine what to do.
<table>
<tr><th>Baseline Range</th><th>Level of Accuracy</th><th>What To Do</th></tr>
<tr><td><5 Pa</td><td>Standard</td><td>No adjustment is required.</td></tr>
<tr><td>5 Pa to 10 Pa</td><td>Reduced</td><td>In this range, an attempt to improve the level of accuracy may be made by repeating the baseline test using a longer time averaging period.</td></tr>
<tr><td>>10 Pa</td><td>Invalid Test</td><td>A one-point airtightness test shall not be performed.</td></tr>
</table></td></tr>
<tr><td>5.</td><td>Conduct One-Point Blower Door Test:
• Use PR/FL @ 50 Mode (using DG-700 Digital Gauge; see guidelines in Attachment 1 to this Appendix).
• Use the Baseline feature, measure baseline pressure for 10 seconds, then press ENTER.
• Unblock the fan, and adjust speed to achieve House Pressure of 50 Pa approximately (or use Cruise Control).
• Change Time Averaging to 10 seconds.
• Read and Record the Induced Building Pressure[2] (Channel A) and "Nominal CFM_{50}" fan flow (Channel B).
• Change fan configuration as needed (Open Fan or Low-Flow plate installed), based on fan flow CFM.</td><td>Induced Bldg. Pressure:

Nominal CFM50:

Fan Configuration:</td></tr>
</table>

Induced Building Pressure = unadjusted Building Pressure ("House Pressure") minus the Pre-Test Baseline Pressure (which is determined automatically by the DG-700). A one-point test is valid only when the Induced Building Pressure is at least 15 Pa and greater than four times the Baseline Pressure. If the Induced Building Pressure is too low, test results shall not be used for the Infiltration Credit calculation for Mechanical Ventilation.[3] If using The Energy Conservatory blower door automation software (e.g., TECTITE 4.0), you can obtain the unabridged Quick Guide, that includes automation steps, from the Energy Conservatory website:

RESNET 800 ONE-POINT AIR TIGHTNESS TEST		NOTES
	• Record the fan configuration that was used to obtain the "Nominal CFM_{50}" fan flow reading.	
6.	**Record** the following information: (a) Blower Door model and serial number, and (b) digital gauge model and serial number. Blower Door — Model Number: ; Serial Number: Digital Gauge — Model Number: ; Serial Number:	
7.	Determine if "Nominal CFM_{50}" must be corrected to calculate "Corrected CFM_{50}." • If outside temperature is >30 °F higher than indoors, use the Temperature Correction Factor (TCF). - TCF = value in the applicable table below (Step 8) • If site altitude is >5,000 feet, use the Altitude Correction Factor (ACF). - ACF = 1+ [0.000006 x altitude (ft.)] • Equation: Corrected CFM_{50} = (Nominal CFM_{50}) x (ACF) x (TCF). - When a factor is not applicable, insert "1" into the equation for that factor. - When a correction is made, record the Corrected CFM_{50} at the right.	**Temp. Correction Factor:** **Alt. Correction Factor:** **Corrected CFM50:**
8.	Temperature Correction Factors Procedure: 1. In this Attachment, use Table 1 for Depressurization Blower Door testing. Use Table 2 for Pressurization testing. 2. Find the inside temperature along the top of the table. Then go down that column to the row representing the outside temperature. 3. The value in that cell is the Temperature Correction Factor used to adjust the "Nominal CFM_{50}" (in Step 7). 4. When actual temperature is not shown, round up or down to the nearest 5°F. ▶ Example: For 72°, use the 70° column. For 73°, use the 75° column.	

http://www.energyconservatory.com/support/manuals
In the Blower Door section, click on the link to "Quick Guide—RESNET One Point Test."

Quick Guide for Performing a Blower Door Test per RESNET 800 Using a DG-700 Digital Gauge

This abridged Quick Guide is for performing a Blower Door test without automation that is in conformance with the RESNET 800 Standard.[3] Contents are used with permission from The Energy Conservatory.

Quick Guide

Collecting Data for a Manual RESNET One-Point Airtightness Test

If you are manually collecting data for a RESNET One-Point Airtightness Test, in accordance with Chapter 8 of the RESNET Standards (adopted in 2012), follow the Quick Guide procedures below. The last page of this guide includes a form for you to record the test data.

The RESNET One-Point test requires that a series of 5 pre-test baseline building pressure readings be taken, using a time-averaging period of at least 10 seconds. From these 5 baseline readings, the RESNET test standard has you calculate a Baseline Range (defined as the largest baseline reading minus the smallest baseline reading). The calculated Baseline Range is then used to determine the accuracy level of the test:

- **Standard Accuracy** Test (Baseline Range less than 5.0 Pa)
- **Reduced Level of Accuracy** Test (Baseline Range between 5.0 and 10.0 Pa)
- **Invalid** Test (Baseline Range greater than 10.0 Pa)

If your test is classified as **Reduced Level of Accuracy** or **Invalid**, you may repeat the test and increase the time averaging period, or use one of the other approved RESNET test standards (multi-point test or repeated single-point test).

A. Collecting the 5 Pre-Test Baseline Measurements – Determining Test Accuracy Level

1. Prepare the building and install the Blower Door system and DG-700 gauge for a standard airtightness test.
2. Turn on the DG-700 gauge by pressing the **ON/OFF** button. Leave the gauge in the default **PR/PR** Mode

3. Press the **BASELINE** button once to initiate the baseline pressure measurement feature. The word "BASELINE" will begin to flash in the **Channel A** display, indicating that the baseline feature is active. At this point, the gauge is monitoring the real-time **Channel A** pressure reading, but is not recording the reading. The **Channel B** display is not active at this time.

[3] If using The Energy Conservatory blower door automation software (e.g., TECTITE 4.0), you can obtain the unabridged Quick Guide, that includes automation steps, from the Energy Conservatory website: http://www.energyconservatory.com/support/manuals
In the Blower Door section, click on the link to "Quick Guide—RESNET One Point Test."

4. With the fan inlet covered and the fan off, press the **START** button to begin the first baseline pressure measurement. Once the **START** button is pressed, the word "BASELINE" stops flashing and the gauge begins displaying a ***long term average*** baseline pressure reading on **Channel A**. During the baseline measurement procedure, the **Channel B** display is used as a timer to let the user know how long (in seconds) the baseline measurement has been active. Once the timer on **Channel B** reaches 10 seconds, record the first baseline reading from **Channel A** in **Section A** of your **Test Form** (-2.6 Pascals in the example below). **Note:** Be sure to include the sign of the baseline readings (i.e. positive or negative).

5. Once you have recorded the first baseline reading, press the **START** button again to clear the gauge and begin a second baseline reading. Record the second baseline reading after the timer reaches 10 seconds. Continue pressing the **START** button and recording your baseline readings until you have collected all 5 readings.

6. After you have collected the 5 baseline readings, press the **CLEAR** button to turn off the baseline measurement feature.

7. Complete **Section A** of the **Test Form** to determine the Accuracy Level of your Test. If your test is classified as **Reduced Level of Accuracy** or **Invalid**, you may repeat the test and increase the time averaging period, or use one of the other approved RESNET test standards (multi-point test or repeated single-point test).

B. Completing the One-Point Test

Conduct a standard one-point CFM50 test using both the **BASELINE** and the **PR/FL @50** features on the DG-700 gauge. Follow the instructions in TEC's Quick-Guide **BD-DEP700-CR**.

- Use the **PR/FL @50** Mode
- Use the **BASELINE** feature and be sure your baseline pressure reading is taken for 10 seconds before pressing the **ENTER** button.
- Once you have adjusted the fan and achieved a building pressure of approximately -50 Pascals, change the Time Averaging feature to **10 seconds.** Now record the ***Induced Building Pressure*** (**Channel A**) and ***Nominal CFM50*** (**Channel B**) in **Section B** of the Test Form.
- Fill out **Section C** of the **Test Form.** Use the charts attached to the **Test Form** to manually adjust for temperature and site elevation (if required).

C. Using a Longer Time Averaging Period

If you need to repeat your test with a longer time averaging period, follow these guidelines.

- Use a longer time period in **Section A** above when collecting your baseline readings.
- Use the Long-Term average setting rather than the 10 Second average setting in the **Section B** above.
- Once you are in the Long-Term average setting, press the **START** button to clear the gauge readings and start a new long-term average measurement.
- After pressing **START**, use a stop watch to keep track of the length of time of each measurement so that the measurement times are the same as those used to record the baseline readings in **Section A**.

Temperature Correction Factors

(Use only when outside temperature is >30°F higher than the inside temperature)

Procedure:

1. Use **Table 1** for **Depressurization** blower door testing. Use **Table 2** for **Pressurization** testing.
2. Find the **inside temperature** along the top of the table. Then go down that column to the row representing the **outside temperature.**
3. The value in that cell is the **Temperature Correction Factor** used to adjust the "Nominal CFM_{50}" (see RESNET One-Point Airtightness Test Form, Section B).
4. When actual temperature is not shown, round up or down to the nearest 5°F. Example: For 72°, use the 70° column. For 73°, use the 75° column.

Table 1

Correction Factors for Depressurization Testing

OUTSIDE TEMP (F)	50	55	60	65	70	75	80	85	90
-20	0.865	0.861	0.857	0.853	0.849	0.845	0.841	0.837	0.833
-15	0.874	0.870	0.866	0.862	0.858	0.854	0.850	0.846	0.842
-10	0.883	0.879	0.874	0.870	0.866	0.862	0.858	0.854	0.850
-5	0.892	0.887	0.883	0.879	0.875	0.871	0.867	0.863	0.859
0	0.900	0.896	0.892	0.887	0.883	0.879	0.875	0.871	0.867
5	0.909	0.905	0.900	0.896	0.892	0.888	0.883	0.879	0.875
10	0.918	0.913	0.909	0.905	0.900	0.896	0.892	0.888	0.884
15	0.927	0.922	0.918	0.913	0.909	0.905	0.900	0.896	0.892
20	0.935	0.931	0.926	0.922	0.917	0.913	0.909	0.905	0.900
25	0.944	0.939	0.935	0.930	0.926	0.922	0.917	0.913	0.909
30	0.952	0.948	0.943	0.939	0.934	0.930	0.926	0.921	0.917
35	0.961	0.956	0.952	0.947	0.943	0.938	0.934	0.930	0.925
40	0.970	0.965	0.960	0.956	0.951	0.947	0.942	0.938	0.934
45	0.978	0.974	0.969	0.964	0.960	0.955	0.951	0.946	0.942
50	0.987	0.982	0.977	0.973	0.968	0.963	0.959	0.955	0.950
55	0.995	0.990	0.986	0.981	0.976	0.972	0.967	0.963	0.958
60	1.004	0.999	0.994	0.989	0.985	0.980	0.976	0.971	0.967
65	1.012	1.008	1.003	0.998	0.993	0.988	0.984	0.979	0.975
70	1.021	1.016	1.011	1.006	1.001	0.997	0.992	0.988	0.983
75	1.029	1.024	1.019	1.015	1.010	1.005	1.000	0.996	0.991
80	1.038	1.033	1.028	1.023	1.018	1.013	1.009	1.004	0.999
85	1.046	1.041	1.036	1.031	1.026	1.022	1.017	1.012	1.008
90	1.055	1.050	1.045	1.040	1.035	1.030	1.025	1.020	1.016
95	1.063	1.058	1.053	1.048	1.043	1.038	1.033	1.028	1.024
100	1.072	1.066	1.061	1.056	1.051	1.046	1.041	1.037	1.032
105	1.080	1.075	1.070	1.064	1.059	1.054	1.050	1.045	1.040
110	1.088	1.083	1.078	1.073	1.068	1.063	1.058	1.053	1.048

Temperature Correction Factors

(Use only when outside temperature is >30°F higher than the inside temperature)
(cont.)

Table 2

Correction Factors for Pressurization Testing

OUTSIDE TEMP (F)	50	55	60	65	70	75	80	85	90
-20	1.062	1.072	1.081	1.090	1.099	1.108	1.117	1.127	1.136
-15	1.056	1.066	1.075	1.084	1.093	1.102	1.111	1.120	1.129
-10	1.051	1.060	1.069	1.078	1.087	1.096	1.105	1.114	1.123
-5	1.045	1.054	1.063	1.072	1.081	1.090	1.099	1.108	1.117
0	1.039	1.048	1.057	1.066	1.075	1.084	1.093	1.102	1.111
5	1.033	1.042	1.051	1.060	1.069	1.078	1.087	1.096	1.105
10	1.028	1.037	1.046	1.055	1.064	1.072	1.081	1.090	1.099
15	1.023	1.031	1.040	1.049	1.058	1.067	1.076	1.084	1.093
20	1.017	1.026	1.035	1.044	1.052	1.061	1.070	1.079	1.087
25	1.012	1.021	1.029	1.038	1.047	1.056	1.064	1.073	1.082
30	1.007	1.015	1.024	1.033	1.041	1.050	1.059	1.067	1.076
35	1.002	1.010	1.019	1.028	1.036	1.045	1.054	1.062	1.071
40	0.997	1.005	1.014	1.023	1.031	1.040	1.048	1.057	1.065
45	0.992	1.000	1.009	1.017	1.026	1.035	1.043	1.051	1.060
50	0.987	0.995	1.004	1.012	1.021	1.029	1.038	1.046	1.055
55	0.982	0.990	0.999	1.008	1.016	1.024	1.033	1.041	1.050
60	0.977	0.986	0.994	1.003	1.011	1.019	1.028	1.036	1.045
65	0.973	0.981	0.989	0.998	1.006	1.015	1.023	1.031	1.040
70	0.968	0.976	0.985	0.993	1.001	1.010	1.018	1.026	1.035
75	0.963	0.972	0.980	0.988	0.997	1.005	1.013	1.022	1.030
80	0.959	0.967	0.976	0.984	0.992	1.000	1.009	1.017	1.025
85	0.955	0.963	0.971	0.979	0.988	0.996	1.004	1.012	1.020
90	0.950	0.958	0.967	0.975	0.983	0.991	0.999	1.008	1.016
95	0.946	0.954	0.962	0.970	0.979	0.987	0.995	1.003	1.011
100	0.942	0.950	0.958	0.966	0.970	0.982	0.990	0.998	1.007
105	0.938	0.946	0.954	0.962	0.970	0.978	0.986	0.994	1.002
110	0.933	0.942	0.950	0.952	0.966	0.974	0.982	0.990	0.998

D. Energy Audit/Priority List Protocol

Table of Contents

1. PROTOCOL OVERVIEW D-1

2. AUDITOR MINIMUM CREDENTIALS D-1

3. DOE WAP APPROVED MEASURES D-2

3.1. Approved Materials D-2

3.2. Measure Categories D-2

3.2.2 Health & Safety Measures D-2

3.2.3 General Heat Waste Measures D-2

3.2.4 Energy Conservation Measures D-2

3.2.5 Incidental Repairs D-2

3.2.6 Ancillary Costs D-3

4. DOE APPROVED APPROACH D-3

4.5. Priority List Path D-3

4.6.2 REM/Design Audit D-4

4.6.3 TREAT Audit D-4

4.7. DOE Dwelling Eligibility D-4

4.7.1 66/50 Rule D-4

4.7.2 Whole-Building Weatherization D-4

4.7.3 Individual Units D-5

4.7.4 Vacant and Over-Income Unit Rule D-5

4.8. General Work Scope Considerations D-6

4.8.5 Measure SIR D-6

4.8.6 Dwelling SIR D-6

4.8.8 Client Refusal and Measure Skipping Overview D-6

4.8.9 Client Education D-7

4.8.10 Air Sealing (Infiltration-Reduction Activities) D-7

4.9. Required Forms D-9

5. MANAGING ALTERNATIVE FUNDING D-9

5.2. Measure Leveraging D-9

5.2.5 Full Measure Leveraging (Braiding Funds) D-10

5.2.6 Partial Measure Leveraging (Co-funding) D-10

5.3. Cost Sharing D-10

5.4. Measure Buy-down D-10

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6. PRIORITY LIST PATH METHODOLOGY D-11

6.3. PL Path Measures D-12

6.4. Developing a PL Work Scope D-13

6.4.4 Water Measures D-13

6.4.6 Heating and Cooling Replacements D-13

6.5. PL Justification Images and Narrative D-14

6.6. Incidental and Ancillary Costs in the PL Path D-14

6.7. Populating the PL D-14

6.8. PL Installation Order D-14

6.9. Client Refusal and Measure Skipping of PL Measures D-14

6.10. PL Measure Cost Maximums D-15

6.11. PL Quality Assurance Review D-15

7. AUDIT PATH METHODOLOGY D-16

7.3. Audit Path Measures D-16

7.4. Audit Path Decisions for ADMs D-18

7.5. Client Refusal and Measure Skipping of ADMs D-19

7.6. Developing an Audit Work Scope D-20

7.6.4 Work Scope Limitations D-21

7.6.5 Work Scope Reclassification D-21

7.7. ADM Cost Calculations D-21

7.8. Interactive Effects for Energy Audits D-21

7.9. Justification Image Requirements for REM/Design Energy Audits D-22

7.10. Incidental and Ancillary Costs in the Audit Path D-22

7.11. Additional Audit Path Considerations D-23

7.11.1 Air Sealing in the Audit D-23

7.11.2 Duct Repair and Sealing in the Audit D-23

7.11.3 Measure Grouping for Window Replacements D-23

7.11.4 HVAC Component Modeling D-24

7.11.5 Derating Heating and Cooling Systems D-25

7.12. Fuel Switching D-25

7.12.4 Fuel Switching as an ECM D-25

7.12.5 Fuel Switching for H&S D-26

7.13. Audit Path Installation Order D-26

8. REM/DESIGN ENERGY AUDIT PROCEDURE D-26

8.3. Energy Audit Restrictions D-27

8.4. REM/Design On-Site Visit D-27

8.5. Energy Modeling and Analysis Process D-28

8.5.2 Mobile Home Modeling Specifications D-28

8.5.3 Multi-Family Whole-Building Modeling Specifications D-28
8.5.4 Multi-Family Individual Unit Modeling Specifications D-29
8.5.5 Small Multi-family Water Heating Modeling Specifications D-30
8.5.6 Duct System Leakage Modeling D-30
8.5.7 Shell Leakage Modeling D-31
8.5.8 Insulation (Ceiling, Floor, and Wall) Grades D-32
8.5.9 Mechanical Equipment Properties D-32
8.5.10 Ventilation Strategy for Cooling D-32
8.5.11 Mechanical Ventilation D-32
8.5.12 Appliances and Lighting D-33
8.5.13 Solar Photovoltaics (PV) D-34
8.5.14 SIR Calculation Methodology D-34
8.6. REM/Design & Building Model True-up with Actual Energy Bills D-34
8.7. REM/Design Reports D-34
8.8. Quality Assurance Review—REM/Design Audits D-35
8.8.3 Submittal of Audit Versions D-36
8.8.4 Installation of Measures After Review D-36
8.8.5 Small Multi-Family Audit Review D-36
8.8.6 Partial Measure Leveraging Audit Review D-36

9. TREAT ENERGY AUDIT PROTOCOL D-36
9.2. TREAT Energy Audit Procedure D-37
9.2.7 Safety and Code Observation D-38
9.2.8 Visual Inspection and Diagnostic Testing Protocols D-38
9.2.9 Health & Safety Versus ECM Replacement D-39
9.2.10 On-Site Unit Inspection Sampling Protocols D-39
9.2.11 Renewable Energy D-39
9.3. Energy Modeling and Analysis Process D-39
9.4. Utility Rates D-40
9.5. TREAT Building Model True-up D-40
9.6. Savings to Investment Ratio (SIR) Calculations D-40
9.7. TREAT Energy Audit Report Requirements D-40
9.7.3 ENERGY AUDIT REPORT FORMAT D-41
9.8. Quality Assurance Review—TREAT Audits D-46

10. NON-ENERGY IMPACTS AND BLENDED UTILITY RATES D-47
10.1. Non-Energy Impacts (NEIs) D-47
10.2. Blended Utility Rates D-48

11. EFFECTIVE USEFUL LIFE (EUL) INPUTS D-49

11.1. REM/Design and Priority List Maximum EUL D-49

11.2. TREAT EUL D-50

12. PRIORITY LIST TABLES D-51

13. CONVERSION TABLES FOR SEER2, EER2, AND HSPF2 ..... D-55

14. LIHEAP ENERGY AUDIT PROTOCOL D-57

14.2. LIHEAP Approved Measures D-57

14.3. LIHEAP Policies for Program Enrollment D-58

14.3.2 LIHEAP 66/50 Rule D-59

14.3.3 LIHEAP Whole-Building Weatherization D-59

14.3.4 LIHEAP Individual Unit Weatherization D-59

14.4. LIHEAP Audit Methodology D-60

14.5. LIHEAP Quality Assurance Review Process D-60

Energy Audit/Priority List Protocol

1. PROTOCOL OVERVIEW

1.1 The California Department of Community Services and Development (CSD) adopts the following CSD Energy Audit/Priority List Protocol document for its Department of Energy Weatherization Assistance Program (DOE WAP).

1.2 This Protocol outlines the cost-effectiveness criteria to justify work scopes and energy conservation measures (ECMs) within the DOE WAP.

1.3 This Protocol enhances CSD's Technical Reference Manual (TRM), diagnostic protocols, field forms, and contractual policies. Any conflicts between this document and other program policies and standards should be brought to the attention of CSD for interpretation.

1.4 This document will be updated and approved by DOE every 5 years at a minimum.

1.5 CSD reserves the right to apply the policies contained in this document to other CSD-administered programs at its sole discretion.

2. AUDITOR MINIMUM CREDENTIALS

2.1 Dwelling audits and assessments shall be performed by an auditor/assessor or team qualified to perform these roles under the DOE WAP.

2.2 An assessment must be conducted to ensure that all health and safety concerns are identified. Information collected during the assessment will be used to form a work scope of measures to be installed.

2.3 For assessments, CSD requires that all diagnostics be conducted in accordance with the TRM, and all feasible measures must be assessed and defined on the work scope.

2.4 Data collection practices and calculations must be transparent. Energy audit and priority list decisions must be presented in a consistent manner; and persons completing this work shall be accountable for their work by adhering to protocol requirements, maintaining professional certifications, and providing quality control inspections.

2.5 Auditors/assessors conducting energy audits and producing work scopes shall have the skills, credentials, and experience required to effectively perform assessments/energy audits. If a single auditor lacks the required skills, a qualified team[1] may be assembled to complete the work scope.

2.5.1 At a minimum, the auditor/assessor shall be capable of effectively performing the following tasks:

2.5.1 (a) Energy modeling (utilizing approved software)

2.5.1 (b) Building assessment (identifying safety, code, durability and energy systems issues) and field data collection

2.5.1 (c) Diagnostic testing for energy efficiency and health and safety

2.5.1 (d) Combustion appliance safety testing

2.5.1 (e) Feasibility analysis for the installation of energy efficient building improvements and

2.5.1 (f) Construction cost estimating

2.5.2 Third-party auditors/assessors that assess dwelling units for energy purposes (including, but without limitation, mechanical systems), shall not be affiliated with any person or entity responsible for installation of measures or post-inspection of dwelling units for the DOE WAP.

[1]Audit teams may include qualified non-agency/subcontractor personnel for purposes of audits if such personnel are otherwise disinterested third parties who do not provide weatherization measure installation or inspections.

3. DOE WAP APPROVED MEASURES

3.1. Approved Materials

3.1.1 All energy conservation measures installed with DOE WAP funds must comply with the DOE 10 CFR 440, Appendix A government standards/materials list. This list is produced by the Consumer Product Safety Commission and is published in the Title 16, Code of Federal Regulations (CFR). The most recent copy of the document is found here: https://www.law.cornell.edu/cfr/text/10/appendix-A_to_part_440.

3.1.2 If a proposed measure will conflict with 10 CFR 440, Appendix A because of the requirements of the local jurisdiction, the local code will have precedence. A copy of the applicable code section must be maintained in the client file for justification.

3.2. Measure Categories

3.2.1 CSD divides measures into Health & Safety (H&S), General Heat Waste (GHW) and Energy Conservation Measures (ECM). The categories for measure installation are described more fully in the following sections.

3.2.2 Health & Safety Measures

3.2.2(a) Allowable H&S measures in the DOE WAP are those measures necessary to maintain the physical well-being of dwelling occupants and weatherization workers.

3.2.2(b) To be counted as a weatherized unit, a dwelling must receive at least one ECM in addition to the H&S measure(s).

3.2.3 General Heat Waste Measures

3.2.3(a) The GHW measures are generally cost effective, and do not require justification by energy audit. GHW materials are relatively low-cost items that are quickly and easily installed.

3.2.3(b) GHW measure costs (including labor) must not exceed $250 in total for all measures within this category.

3.2.4 Energy Conservation Measures

3.2.4(a) With the exception of H&S and GHW, all other measures in the DOE WAP are energy conservation measures, also known as ECMs. CSD divides the ECM category into two sub-categories:

3.2.4(a1) Audit-Driven Measures (ADMs) - ADMs are measures that have savings values dependent on climate region, fuel used, building type of the home in which they would be installed, and other variable factors. These ECMs are modeled in an audit tool to determine a site-specific cost-effectiveness.

3.2.4(a2) Priority List (PL) Measures - PL measures are specific by building type and are determined by DOE. Within the DOE WAP, these measures do not require an energy audit. The feasibility of the PL measures will be updated in the CSD 710 (DOE Energy Audit and Priority List Checklist) form when the DOE WAP provides updates and must be applied in the field by agencies no later than CSDs stated implementation deadline.

3.2.4(b) Feasibility of an ECM is determined by 1) Individual measure feasibility as defined in the TRM, and 2) Calculated savings-to-investment ratio (SIR). Additional information about the calculation of SIRs is provided in Developing an Audit Work Scope.

3.2.5 Incidental Repairs

3.2.5(a) There may be circumstances when an ADM or PL measure could become feasible if a repair is made to protect or preserve the measure(s).

3.2.5(a1) Example: Repair of a loose gutter would stop rain from pooling under a dwelling. The presence of the water currently prevents floor insulation from being installed by the weatherization program. Therefore, repair of the gutter is an incidental repair.

3.2.5(b) All incidental repairs must have a direct association with an ECM being installed and be necessary for the effective performance or preservation of that measure.

3.2.5(c) Many, but not all, incidental repairs are identified in the Limited Home Repair line item as defined in Section 1 General Installation Guidelines, Limited Home Repair. Some incidental repairs include, but are not limited to:

3.2.5(c1) Floor/platform repairs for heating/cooling sources or water heaters

3.2.5(c2) Cover plate installation to replace cracked/broken cover plates

3.2.5(c3) Minor roof repairs

3.2.5(c4) Mobile home skirting repairs

3.2.5(c5) Rough framing repair to support window or door installation

3.2.5(c6) Exhaust fan vent extension (except kitchen exhaust)

3.2.5(c7) Domestic clothes dryer moisture exhaust

3.2.5(c8) Makeup air installation for a domestic clothes dryer

3.2.5(d) Specific requirements for the application of incidental repairs are detailed in Incidental and Ancillary Costs in the PL Path and Incidental and Ancillary Costs in the Audit Path.

3.2.5(e) Dwellings requiring extensive repairs (most often structural or environmental) should be referred to a rehabilitation program, or the agency must use other sources of funding to cover these costs.

3.2.5(f) All proposed incidental repairs require photo documentation and a written justification that will be attached to the required energy audit reports.

3.2.5(g) Incidental repair cost(s) are tracked as a separate line item for all energy conservation measures.

3.2.5(h) It is not required for incidental repair materials to comply with applicable 10 CFR 440, Appendix A material specifications.

3.2.6 Ancillary Costs

3.2.6(a) Ancillary costs are low-cost materials that are necessary to ECM installations, but are not provided by the measure manufacturer (i.e., materials such as hardware, fasteners, adhesive, sealant, etc.).

3.2.6(b) Ancillary costs must be included in the installed measure cost, and the combined total may not exceed the measure maximum.

3.2.6(c) It is not required for any ancillary materials to comply with applicable 10 CFR 440, Appendix A material specifications.

4. DOE APPROVED APPROACH

4.1 When building the work scope for dwellings under the DOE WAP, there are two approved approaches: the Priority List path or the Audit path.

4.2 A single approach must be identified for each dwelling served. A hybrid approach is not allowed.

4.3 The path decision is directed by a set of criteria for each dwelling; not based on a "preferred" approach.

4.3.1 It is required to use the CSD 710 Energy Audit/Priority List Checklist to document dwelling conditions and the Audit path/Priority List path decision.

4.4 While the CSD 710 Energy Audit/Priority List Checklist decision may prompt the auditor to use the PL path, agencies may decide to conduct a site-specific energy audit for any dwelling.

4.5. Priority List Path

4.5.1 The PL path is allowable for single-family, mobile homes, and low-rise multi-family (LRMF) as defined in Appendix H References. When using the PL path, a prescribed set of measures are installed following a specific order as defined on the PL. Procedures for this method are described in Priority List Path Methodology.

4.6. Audit Path

4.6.1 The Audit path is required when specific conditions exist in the dwelling or certain measures may be feasible and will be billed to DOE WAP. Procedures for this method are described in Audit Path Methodology. There are two different approved audit softwares depending on the building type: REM/Design and TREAT.

4.6.2 REM/Design Audit

4.6.2(a) This audit software may be used for single-family, mobile home, and small multi-family buildings with 5-24 units with independent heating and/or cooling and a storage water heater.

4.6.2(b) The procedures for this method are described in REM/Design Energy Audit Procedure.

4.6.3 TREAT Audit

4.6.3(a) For small multi-family buildings with common heating and/or cooling systems, and large multi-family buildings (consisting of 25 or more units), a TREAT Audit is required to model in-unit and common area measures.

4.6.3(b) Due to the scope and expertise required to perform this type of energy audit, a qualified third-party is recommended to audit the building and identify any ECMs and H&S issues.

4.6.3(c) The TREAT audit procedure is described in TREAT Energy Audit Procedure.

4.7. DOE Dwelling Eligibility

4.7.1 66/50 Rule

4.7.1(a) Each building containing dwelling units must be evaluated and weatherized as a complete system of interconnected dwellings and systems.

4.7.1(b) To provide maximum energy savings and benefits to the residents of a building, a "whole-building approach" will be prioritized.

4.7.1(b1) When 50% of the units in a duplex or four-plex are income-qualified for weatherization (or where a unit will be occupied by low-income tenants within 180 days under a federal, state, or local government rehabilitation program), the entire building may be served.

4.7.1(b2) When 66% of the units in a triplex or building with five or more are income-qualified, the entire building may be served.

4.7.1(c) When the 66/50 rule is met, investment for the whole building (including any common area measures and in-unit measures within the building) may not exceed the number of dwelling units times the current per-dwelling average maximum. This includes income eligible, non-income eligible, and vacant units.

4.7.1(c1) Completion of the CSD 75P form is required to show that the 66/50 rule is being applied correctly.

4.7.2 Whole-Building Weatherization

4.7.2(a) The following "whole-building measures" listed below may only be considered for installation when an entire building will be served.

4.7.2(a1) Ceiling/knee wall insulation

4.7.2(a2) Common area measures: These measures must be cost-justified by energy audit and installed in common areas within the building thermal envelope of the qualified residential building).

4.7.2(a3) Cooling system energy efficiency upgrade (for a whole-building, common system)

4.7.2(a4) Floor insulation

4.7.2(a5) Heating system energy efficiency upgrade (for a whole-building, common system)

4.7.2(a6) Wall insulation

4.7.2(a7) Water heater energy efficiency upgrade (for a whole-building, common system)

4.7.2(a8) Windows for energy efficiency upgrade

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4.7.3 Individual Units

4.7.3(a) Although whole-building weatherization is the preferred approach for multi-unit buildings, weatherization of one or more individual units may be permitted to be served with CSD and DOE approval.

4.7.3(b) For individual unit weatherization, CSD requires agencies to thoroughly document the reasons that whole-building weatherization is not feasible.

4.7.3(c) When individual unit weatherization will be provided, DOE WAP whole-building measures (defined in Whole-Building Weatherization) shall not be feasible.

4.7.3(d) If an individual unit in a multi-unit building will be served, the proposed individual dwelling unit must meet the following conditions:

4.7.3(d1) The unit must be self-contained, without sharing an attic or basement with adjacent units, and has its own individual heating and cooling systems, and

4.7.3(d2) The unit will be audited with a current, approved energy audit tool and protocol that is able to adequately address a single unit within a larger structure or the most current DOE multi-family priority list is applicable, and

4.7.3(d3) The work scope is specific to allowable measures within the eligible unit(s), and

4.7.3(d4) Each unit must be submitted to CSD for approval by the DOE Project Officer prior to the start of work.

4.7.4 Vacant and Over-Income Unit Rule

4.7.4(a) When vacant or over-income units are encountered, the procedures in Table D-1 shall be followed.

TABLE D-1: VACANT OR OVER-INCOME UNIT POLICIES FOR WHOLE BUILDING AND IN-UNIT WEATHERIZATION

	Single-Family (Detached)	Duplexes & Four-plexes	Tri-plexes & 5+ Units
Level of Service	Not Eligible	When at least 50% of the units are income eligible, whole building measures shall be installed and all income eligible units shall be served for in-unit weatherization. Additional units (including vacant and/or over-income units) may also be served for in-unit weatherization.	When at least 66% of the units are income eligible, whole building measures shall be installed and all income eligible units shall be served for in-unit weatherization. Additional units (including vacant and/or over-income units) may also be served for in-unit weatherization.
Funding Allowed	Not Eligible	Multiply the total number of units in the multi-unit building by the current per-dwelling unit average maximum. This will be the total funding available for weatherizing all the units (including vacant units).	
Additional Contract Policies	Not Eligible	Vacant units must be occupied by eligible low-income tenants within 180 days.	
Combustion Appliance Repair or Replacement	Not Eligible	If power is available, and all combustion appliances are CAS tested, H&S repairs/replacements may be made to the appliances of vacant and over-income units.	
Service Limitations	Not Eligible	If a dangerous indoor air quality condition, an electrical system hazard, and/or fire hazard is found to exist, agencies may ONLY disable an appliance to eliminate the immediate hazard.	

4.8. General Work Scope Considerations

4.8.1 For each dwelling weatherized in the DOE WAP, a work scope must be created and finalized. The completed work scope is comprised of all required CSD forms, photographic documentation (when required), energy bills and identification of all feasible H&S, GHW, and ECMs to be installed.

4.8.2 A lack of adequate agency training is not an allowable reason to skip measures. If training is identified, the agency shall notify CSD before jobs are postponed and adequate training is acquired by the agency.

4.8.3 To be included on a work scope, all ECMs must meet DOE WAP cost-effectiveness criteria.

4.8.3(a) Measure SIRs must be calculated by the energy audit tool for ADMs, or they are assumed to be cost effective with a Measure SIR ≥1.0 for a PL measure.

4.8.3(b) General heat waste, H&S, or other non-energy (administrative) costs shall not be included in the Measure SIR or Dwelling SIR calculations.

4.8.4 For the Measure SIR and Dwelling SIR calculations, the following shall apply:

4.8.4(a) For the DOE WAP, the discount rate applied for the "present value" calculation shall be 3%, unless otherwise communicated by CSD. Energy escalation and inflation shall not be included.

4.8.4(b) All savings calculations must be adjusted for interaction of other installed ECMs with a higher SIR.

4.8.5 Measure SIR

4.8.5(a) The Measure SIR is the ratio of present value of the measure energy savings compounded annually over the life of the measure, divided by the total installed cost of the measure given by Equation 1 below.

Equation 1: $SIR\ measure = S*((1+i)^n - 1)/(i(1+i)^n)/C$

Where: S = 1st year savings of measure ($)

i = discount rate (%)

n = effective useful life of measure (years)

C = installed cost of measure ($)

4.8.6 Dwelling SIR

4.8.6(a) The Dwelling SIR is the ratio of present value of the package savings compounded annually over the life of the package divided by the total installed cost of the package (including all WAP and all non-WAP funds).

4.8.6(b) The present value (PV) of an individual measure is shown in Equation 2.

Equation 2: $PV\ measure = S*((1+i)^n - 1)/(i(1+i)^n)$

Where: S = First year savings of measure

i = discount rate (%)

n = effective useful life of measure

4.8.7 For an ADM to be included in a final work scope, the measure must have an SIR ≥1.0 (except air sealing, by DOE WAP policy). All Priority List measures are considered cost-effective.

4.8.8 Client Refusal and Measure Skipping Overview

4.8.8(a) Skipping H&S Measures

4.8.8(a1) Feasible H&S measures shall not be skipped.

4.8.8(a2) Feasible H&S measures cannot be removed from the work scope (for client refusal or other reason), or the dwelling shall be deferred.

4.8.8(b) Skipping ECMs

4.8.8(b1) Measure skipping means not installing, in order of decreasing SIR or Priority List order, cost justified ECMs and related incidental repairs. In no case shall measures with higher Measure SIRs or measures higher in Priority List order be skipped unless the measure is unfeasible, as defined by the CSD TRM.

4.8.8(c) Client refusal of any measure must be documented in the dwelling work scope on the CSD 540 Form and noted on the CSD 710 Form.

4.8.8(d) Path-specific client refusal and measure skipping policies are defined in Client Refusal and Measure Skipping of PL Measures and Client Refusal and Measure Skipping of ADMs.

4.8.9 Client Education

4.8.9(a) Client education is important to inform a client of planned measures and material use.

4.8.9(b) Client refusal of any measures and/or materials included in a work scope must be addressed with additional measure education to determine the source of the client's concern(s) and an attempt to address the concern.

4.8.9(b1) If a client is resistant to an ECM because of the type of materials that would be used, and prefers installation with an alternate material (for example, energy efficiency upgrade of the dwelling's windows, but with wood frame rather than vinyl-framed windows), the alternate material must comply with 10 CFR 440, Appendix A and cost-effectiveness criteria.

4.8.9(b2) If the client continues to resist the ECM, and no cost-effective option can be identified, the auditor must identify if refusal would cause the dwelling to be deferred. It also may be necessary to discuss the situation with the building owner if the dwelling is tenant-occupied.

4.8.9(b3) If the building owner or occupant still declines a measure, the situation must be fully documented in the client file and Client Refusal and Measure Skipping of PL Measures and Client Refusal and Measure Skipping of ADMs must be followed.

4.8.10 Air Sealing (Infiltration-Reduction Activities)

4.8.10(a) Blower door testing and feasible air sealing activities (see Table D-2) are mandatory for every dwelling weatherized in the DOE WAP or the dwelling must be deferred. Client refusal of the diagnostic test also requires deferral.

4.8.10(b) Infiltration-reduction activities must be installed following the priority order of activities on the CSD 704 Shell Leakage Data Sheet and Appendix C Shell Leakage Test Protocol.

TABLE D-2: EXAMPLES OF AIR SEALING ACTIVITIES

Air Sealing
Caulking
Cover plate gaskets
Glass replacement
Minor envelope repair
Vent covers (interior)
Weatherstripping - door
Weatherstripping - other (i.e., access covers, enclosure doors, windows, etc.

4.8.11 The replacement of doors, sliding glass doors and windows for catastrophic leakage (as defined by the Appendix C Shell Leakage Testing Protocol and Section 32 Infiltration Reduction) is not allowed with DOE WAP funding. These replacements may be performed only when cost-justified by energy audit as an energy efficiency upgrade or as an incidental repair under certain conditions. Agencies are encouraged to use alternative funds for these items when catastrophic leakage is present.

4.8.12 Duct Repair and Sealing Activities

4.8.12(a) Duct leakage testing and feasible sealing and repair of the duct system is mandatory for every dwelling with ductwork in the DOE WAP. If the testing is unfeasible or the client refuses testing, the dwelling must be deferred.

4.8.12(b) Duct repair and sealing activities must be installed following the priority order of activities on the CSD 706 Duct Leakage Data Sheet and Appendix B Duct Leakage Test Protocol.

4.8.13 Restrictions for Door/Window Repairs and Replacements, & Roof Repairs

4.8.13(a) Installation of doors, sliding glass doors (SGD), window repairs and replacements, and for roof repairs, to resolve catastrophic leakage in the DOE WAP is not allowed.

4.8.13(a1) Agencies are encouraged to use alternative funds for these items when catastrophic leakage is the sole rationale for repair or replacement.

4.8.13(b) For the PL path, these measures must not be installed unless explicitly allowed.

4.8.13(c) For the Audit path, these measures must be included in the energy audit as defined in Audit Path Decisions for ADMs.

4.8.14 Minor Roof Repairs and Window, Door, or Sliding Glass Door (SGD) Repairs

4.8.14(a) Window, door, or SGD repairs may never be completed within the air sealing measure category.

4.8.14(b) In the DOE WAP, minor repairs may be completed if it meets all of the requirements for:

4.8.14(b1) Incidental Repair. These minor repairs must be made only to protect, preserve, or to allow installation of one or more measures. To be in this category, the incidental repair must be documented with photos and a written justification to define why the repair is necessary and what measure is being protected.

4.8.14(b2) The incidental repair cost maximum must be tracked separately, and it is cost-limited by the PL or audit.

4.8.15 Window, Door, or SGD Replacements

4.8.15(a) Window, door, or SGD replacements may never be completed within the air sealing measure category. Instead, replacements may only be completed as part of the following scenarios:

4.8.15(a1) Cost-Justified ECM. Windows or SGDs proposed to be replaced first must be explicitly included in the PL or cost-justified in an energy audit. Exterior doors do not qualify as an energy efficiency upgrade.

4.8.15(a2) Incidental Repair. Window, door, or SGD replacements may be considered as an incidental repair to preserve the integrity of an associated ECM. An example of this type of replacement is to prevent excess exfiltration when a heating or cooling unit is being installed. To be in this category, the incidental repair must:

- Be completed to protect or preserve a measure being installed, and
- Have photos and written justification to demonstrate why the repair is necessary and what measure is being protected
- Cost maximum is limited by the PL or audit. The associated cost must be tracked separately as an Incidental Repair line item.

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4.9. Required Forms

4.9.1 CSD requires that the following forms be used for the identification of ADM and PL measures. The latest published versions of the forms must be used and are posted to the CSD Local Agencies Portal. Instructions are provided with each of the forms below. No contractor-equivalent forms will be allowed.

4.9.1(a) **CSD 544 Single-Family/Small Multi-Family Audit Input Report:** The CSD 544 mirrors the REM/Design data collection software inputs to ensure all data is collected while present during the on-site visit. This form applies to the DOE WAP and to LIHEAP when an audit will be conducted.

4.9.1(b) **CSD 710 DOE Energy Audit and Priority List Checklist (DOE WAP only):** The CSD 710 form is used to verify and document the decision-making process relative to use of the Audit and PL paths.

4.9.1(c) **CSD 808 REM/Design Multi-Family Input Sheet:** The CSD 808 is used to allocate unit-level data when small multi-family projects are completed. Since an Improvement Analysis Report (IAR) is generated by REM/Design to reflect the entire building, all units need to be tracked and costs allocated using this form and include the appropriate information allocated by unit.

4.9.1(d) **CSD 696 Multi-Family TREAT Energy Audit Bid Request Form**: The CSD 696 form is an aid for agencies in the solicitation of TREAT audit consultants.

4.9.1(e) **CSD 871 Pre-Weatherization Scope of Work (SOW)/Sources & Uses (S&U) Tool**: For TREAT audits, the CSD 871 spreadsheet is completed prior to the initial technical review to identify the proposed measure energy savings, measure cost, EUL, and SIR.

4.9.1(f) **CSD 872 Post-Weatherization Scope of Work (SOW)/Sources & Uses (S&U) Tool**: For TREAT audits, the CSD 872 spreadsheet is completed following the measure installation to confirm the final measure costs, SIR, EUL, etc.

4.9.2 It is the responsibility of the agencies to update to the latest version of forms as soon as they are released, but no later than by the implementation date set by CSD. It is also the agency's responsibility to distribute these documents to field staff and subcontractors within required timeframes.

5. MANAGING ALTERNATIVE FUNDING

5.1 CSD Weatherization programs may use a combination of federal and non-federal funds to complete the work scope.

5.1.1 Federal funds include, but are not limited to:

5.1.1(a) DOE WAP funds

5.1.1(b) DOE WAP competitive funds (e.g., SERC, E&I, etc.)

5.1.1(c) Low Income Home Energy Assistance Program (LIHEAP) funds

5.1.1(d) Community Development Block Grant Program (CDBG)

5.1.2 Non-federal funds include, but are not limited to:

5.1.2(a) Utility investments from systems benefit charges or efficiency programs

5.1.2(b) State funds from special set-asides

5.1.2(c) Other rehabilitation funds

5.1.2(d) Private funds from landlord contributions or foundations

5.1.2(e) Other private sources

5.2. Measure Leveraging

5.2.1 There are two ways leveraged funds are handled within the DOE WAP – braiding funds, and co-funding. Leveraging may be applied to all housing types.

5.2.2 DOE policies and protocols shall prevail when any amount of DOE funding is used towards the cost of the measure.

5.2.3 When no DOE funds are used for a measure, the alternative funding source policies apply.

5.2.3(a) Exception: For Mandatory Priority List measures in a combined work scope, DOE policies will always be applied regardless of funding source and/or leveraging.

5.2.4 Measures that do not meet the SIR requirements for cost effectiveness, can be leveraged with another funding source as long as the measure meets the feasibility criteria for the program in which the measure is being leveraged.

5.2.5 Full Measure Leveraging (Braiding Funds)

5.2.5(a) Full measure leveraging or braiding of funds is when the entire measure cost will be paid for by the funds of any non-DOE program.

5.2.5(b) Full measure leveraging can be applied to measures of any category.

5.2.5(c) When an ADM will be fully leveraged the energy audit must include the installed condition as the "as-is" or base case before the energy audit is finalized. This policy is detailed in Interactive Effects for Energy Audits.

5.2.6 Partial Measure Leveraging (Co-funding)

5.2.6(a) Partial measure leveraging or co-funding is where the cost of a measure is divided between the DOE WAP and an alternative funding source.

5.2.6(b) Partial measure leveraging is only allowed for ADMs.

5.2.6(c) Measures must have a Measure SIR < 1.0, but ≥ 0.5, to qualify for partial measure leveraging. The amount billed under both DOE and the alternative funding source cannot exceed the total cost of the installation for the measure.

5.2.6(d) When DOE WAP funds are used for partial measure leveraging, the following conditions must be met:

5.2.6(d1) Where DOE WAP funds are used to co-fund a measure, the amount of DOE funds must result in a Measure SIR of 1.0.

5.2.6(d2) Partial measure leveraging must be applied to measures from highest to lowest Measure SIR. For example, partial measure leveraging must be applied to a measure with an SIR of 0.8 before a measure with an SIR of 0.5.

5.2.6(d3) The use of partial measure leveraging cannot change the installation order of measures based on the full measure costs. If partial measure leveraging results in a change of installation order, the measure with an SIR ≥ 1.0 prior to the partial measure leveraging must be installed.

5.2.6(d4) The package of measures, limited to the DOE investment, must have a Dwelling SIR ≥ 1.0. Measures that are not included in this package do not qualify for partial measure leveraging.

5.3. Cost Sharing

5.3.1 Cost sharing is not leveraging. It applies only to Health & Safety, PL, and General Heat Waste measures. This billing option shall not be used for ADMs.

5.3.1(a) This option provides flexibility to agencies to meet: (1) the average cost per unit (ACPU), or (2) the maximum average reimbursement per unit (known as Contractor ACPU at the agency level), or (3) maximum Health and Safety expenditures.

5.3.2 When cost sharing, all labor must be billed to DOE WAP. Material costs may be billed entirely to another program or shared between the DOE WAP and another program.

5.3.3 Total cost sharing amounts for a measure cannot exceed the actual cost and the maximum measure rate established by contract.

5.4. Measure Buy-down

5.4.1 The multi-unit building buy-down creates flexibility in buildings where the property owner/ landlord contributes to the cost of a measure as a "buy-down".

5.4.1(a) Owners/landlords of single-family (2-4 unit buildings only), small multi-family, or large multi-family rental properties may contribute funds or rebates.

5.4.1(b) Measure buy-down is optional.

5.4.2 Buy-downs apply to all units, except the dwelling unit(s) occupied by the owner/landlord.

5.4.3 When a measure buy-down occurs, the following criteria must be met:

5.4.3(a) The Measure SIR shall be ≥1.0, using the reduced measure cost (i.e., DOE WAP portion) within the energy audit.

5.4.3(b) The Dwelling SIR must be ≥1.0, using the total installed cost of the measures (reduced cost + owner/landlord contribution) of all measures to be installed in the dwelling.

5.4.4 Buy-down measures may not be installed before other measures in the work scope.

5.4.5 Owners/landlords may only buy-down measures with a Measure SIR <1.0.

5.4.6 Buy-downs cannot be used to change the order of installation. They may only be installed after all other cost-effective measures not requiring buy-down have been installed.

6. PRIORITY LIST PATH METHODOLOGY

6.1 Rather than perform a site-specific energy audit, the PL path allows for a defined list of measures to be installed. The PL can only be used when DOE WAP funds will be used.

6.1.1 The PL path may be used when ALL of the dwelling criteria for a specific dwelling type are met:

6.1.1(a) To use the PL path, the answer must be YES to all statements for that dwelling type and the "Applies to All Building Types" section. If the answer is NO to any of the statements, the Audit path is required.

6.1.1(a1) Single-Family

- The home is a single-family residence.
- The home is 3-stories or less above grade.
- The home structure is wood-framed and site-built.
- The primary heating system is:
  - NOT a closed (sealed) combustion natural gas furnace originally rated for ≥90% AFUE.
  - NOT a heat pump manufactured after 2006.
- Incidental Repair costs paid for with DOE WAP funds will be less than $500.

6.1.1(a2) Mobile Home

- The home is a single-wide or double-wide manufactured home.
- The home was manufactured before 2010.
- The home has an accessible unconditioned subspace.
- The home does NOT have an attached conditioned addition.
- The primary heating system is NOT a natural gas furnace originally rated for ≥80% AFUE.
- Incidental Repair cost paid for with DOE WAP funds will be less than $500.

6.1.1(a3) Multi-Family

- The building is 3-stories or less above grade (low-rise).
- The building contains 5 or more dwelling units.
- The building structure is wood-framed.
- Incidental Repair cost paid for with DOE WAP funds will be less than 10% of the project's total ECM package.

6.1.1(b) Applies to All Building Types

6.1.1(b1) If included in the final work scope, any heating, cooling or water heating appliance repairs or replacements for H&S, and the associated thermostat (when applicable) will be paid for by another funding source (non-DOE WAP).

6.1.1(b2) No additional ECMs (other than those on the PL) will be included on the work scope to be billed to DOE WAP. See Audit Path Decisions for ADMs.

6.2 There are three different PLs, one for each building type listed below. Dwelling types that are not listed below are not eligible for Priority List measures.

6.2.1 Single-family: 1-4 dwelling units

6.2.2 Mobile homes: A permanent, full-time residence with a floor area of at least 330 feet.

6.2.3 Low-rise multi-family (LRMF): 5+ dwelling units per building, with no more than 3 stories above grade in height.

6.3. PL Path Measures

6.3.1 PL measures are divided into two categories: mandatory and optional measures.

6.3.1 (a) All feasible measures included in the mandatory category must be installed when DOE WAP funds are used for the job.

6.3.1 (b) Measures in the optional category may be installed in the dwelling with any funding source, including DOE WAP funds, if all other feasible mandatory measure are also installed.

6.3.2 A summary of the measures included in the PL path are detailed in Table D-3 along with the assigned measure category. The final PL will be determined for a dwelling based on the dwelling type and primary heating source fuel.

6.3.3 Priority list minimum specification tables for each building type are provided in Priority List Tables.

TABLE D-3: PRIORITY LIST MEASURES

Priority List Path - Measures	Single-Family	Mobile Home	Multi-Family
Health and Safety (defined in CSD 710)	M	M	M
LED bulbs	M	M	M
Air sealing	M	M	M
Duct sealing	M	M	M
Duct insulation	M	N/A	M
Window replacement	N/A	O[1]	N/A
Ceiling insulation	M	M	M
Wall insulation	M	N/A	M
Floor insulation	M[1]	N/A	N/A
Faucet aerators	O	O	O
Showerhead (low-flow, handheld, thermostatic)	O	O	O
Water heater blanket	O	O	O
Water heater pipe insulation	O	O	O
Refrigerator	O	O	O
LED fluorescent tube lighting	N/A	N/A	O
Cooling replacements	O[2]	O[2]	O[2]
Heating replacements	O[1,2]	N/A	O[1,2]

M – Mandatory Measure; O – Optional Measure; N/A – Not an allowable PL measure

[1]Dependent on primary heat fuel type

[2]Dependent on existing equipment type.

6.4. Developing a PL Work Scope

6.4.1 Only ECMs listed on the PL may be installed when using the PL path.

6.4.1(a) The PL does not include every measure that may be cost effective for a specific dwelling.

6.4.1(a1) When any energy conservation measure(s) not included within the PL may be feasible, or if the dwelling does not meet the basic PL conditions, a site-specific audit is required.

6.4.2 Additional PL measure-specific feasibility and installation requirements are addressed in the DOE-Specific criteria sections of the TRM for each measure.

6.4.3 All required Health and Safety (H&S) measures must be installed in the dwelling.

6.4.3(a) H&S measures for the PL path are listed in Table D-4.

TABLE D-4: PRIORITY LIST PATH - H&S MEASURES

Priority List Path - Health & Safety Measures
Carbon monoxide alarms
Smoke alarms
Cooling source repairs and replacements[1]
Combustion and ventilation air repairs
Heating source repairs and replacements[1]
Kitchen exhaust installation, repair, and replacements
Lead-safe weatherization
Limited home repair-health and safety support
Mechanical ventilation
Thermostats (manual and programmable)[1]
Water heater repairs and replacements[1]
[1]All H&S-related heating, cooling, water heating repairs and replacements (including an associated thermostat, when applicable), must be fully leveraged with an alternative funding source or a site-specific audit is required if billed to DOE WAP.

6.4.4 Water Measures

6.4.4(a) The measures in this group include faucet aerators, showerheads (low-flow, handheld and thermostatic), water heater blankets and water heater pipe insulation.

6.4.4(b) Total water measure costs (including labor) must not exceed $250 in total for all measures within this category.

6.4.5 Refrigerator replacements in the PL path must have a Measure SIR ≥ 1.0. using the CSD 540E Refrigerator Calculator to be installed.

6.4.6 Heating and Cooling Replacements

6.4.6(a) Heating and cooling replacements are limited to the primary system.

6.4.6(b) Only the specific replacements listed on the CSD 710 for the PL are allowed.

6.4.6(b1) Programmable thermostats are a required part of the PL path heating and cooling appliance replacements, and must be installed or present when indicated by the Priority List.

6.4.6(b2) Energy efficiency upgrades to heating and cooling appliances other than those listed on the PL require a site-specific energy audit.

6.4.6(c) No fuel switching measures will be allowed using the PL path.

6.4.7 If no measures meet the Measure SIR or Dwelling SIR requirements based on the energy audit inputs, and the PL path dwelling conditions apply, the CSD 710 Energy Audit/Priority List Checklist will be updated and the PL path will be used to determine the final work scope.

6.5. PL Justification Images and Narrative

6.5.1 For measures on the PL that are unfeasible (e.g., cannot structurally be installed, do not meet measure feasibility criteria, etc.), it is required to document the existing dwelling conditions that prohibit installation.

6.5.1 (a) Photo of the affected location(s) is required.

6.5.1 (b) Using TRM feasibility criteria, a written justification shall be provided on the CSD 540 Dwelling Assessment form and the CSD 710 Energy Audit/Priority List Checklist.

6.5.1 (c) All required photographs in TRM Section 1 Required Photographs (Justification Images) also shall apply.

6.6. Incidental and Ancillary Costs in the PL Path

6.6.1 The DOE WAP requires the cost of all ECMs (and associated incidental repairs) to be tracked for priority list measures in accordance with the following requirements:

6.6.1 (a) Ancillary materials used must be included in the total cost of the PL measure. If the cost of the ancillary item added to the measure cost would exceed the defined measure maximum, then the PL measure is no longer feasible.

6.6.1 (b) Incidental repairs necessary for the installation of a PL measure shall be tracked separately from the installed measure cost, and the total incidental repair cost shall not exceed the maximum amount allowed by the PL path criteria as defined below:

6.6.1 (b1) For Single-Family Dwellings: The total cost of all Limited Home Repairs shall not exceed $500. This applies to detached homes and multi-unit buildings with 1–4 units.

6.6.1 (b2) For Mobile Homes: The total cost of all Limited Home Repairs shall not exceed $500.

6.6.1 (b3) For Low-Rise Multi-Family Buildings: The total cost of all Limited Home Repairs shall not exceed 10% of the project's total ECM package of measures (all units).

6.6.2 All incidental repairs must be documented with 1) cost justification for each incidental repair, and 2) photos and written explanation to justify the need for the incidental repair in the client file.

6.7. Populating the PL

6.7.1 Once the PL path decision has been made on the CSD 710 Energy Audit/Priority List Checklist, select the building type for the dwelling to be served (one of three available types) and the primary heat source fuel.

6.7.2 The PL measures will automatically fill into the form in the order of cost-effectiveness.

6.8. PL Installation Order

6.8.1 Measures on the final work scope must be installed in the order of measures defined by the CSD 710 form.

6.8.2 All mandatory PL measures must be installed prior to optional PL measures.

6.9. Client Refusal and Measure Skipping of PL Measures

6.9.1 If a client refuses a measure, client education must be provided in accordance with Client Education and Table D-5.

TABLE D-5: PL PATH – MEASURE SKIPPING POLICIES

Circumstance	CSD Policy
Before work begins, client refuses a feasible **Mandatory** measure	• Client education about planned measures and materials shall be provided. • If a client refuses a Mandatory measure and an alternate material is acceptable to the client and does not exceed the measure maximum, the alternate material may be used. • If the client continues to refuse the Mandatory measure, the refusal must be documented in the CSD 540 and CSD 710 and the dwelling must be deferred.
After installation work has begun, client refuses a feasible **Mandatory** measure	• If a client refuses a higher priority Mandatory measure after lower priority measures are already installed (due to timing of the physical installation work): – Work must stop at the time the client declines the higher priority measure. – No further measure installations are allowed. – The job must be inspected by a QCI and closed out as a completed unit. • Further work may be done under a different program.
Before or after work begins, client refuses a feasible **Optional** measure	• If a client refuses an Optional measure, client education about planned measures and materials shall be provided. • If an alternate material is acceptable to the client and does not exceed the measure maximum, the alternate material may be used. • If no cost-effective option can be identified and/or the client still refuses the measure, the client refusal must be documented in the client file on the CSD 540 and CSD 710, then all other cost-effective measures may be installed.

6.10. PL Measure Cost Maximums

6.10.1 The billed measure cost must not exceed the contract maximum reimbursement for any measure on the PL or the measure is unfeasible. A CSD waiver will not be approved.

6.11. PL Quality Assurance Review

6.11.1 During its monitoring of agencies, CSD will review PLs applied by the assessor/auditor to ensure that:

6.11.1(a) Audit/PL path decision was correctly made, and

6.11.1(b) All cost-effective ECMs were installed.

7. AUDIT PATH METHODOLOGY

7.1 Energy audits identify the cost-effectiveness of feasible ADMs for the dwelling work scope. Auditors/assessors must conduct a standard assessment to identify all feasible measures allowed by CSD.

7.1.1 The Audit path must be used when:

7.1.1 (a) Any one or more of the PL dwelling criteria cannot be met.

7.1.1 (b) Heating, cooling, or water heating appliance repairs or replacements (not on the PL) and an associated thermostat, when applicable, will be billed to DOE WAP.

7.1.1 (c) ECMs included in the proposed work scope are not on the PL, and will be billed to DOE WAP.

7.2 The required audit tool depends on the dwelling type and number of units defined in Table D-6. Small multi-family buildings also consider whether heating and/or cooling systems are independent or common systems.

TABLE D-6: ALLOWABLE AUDIT TOOL BASED ON BUILDING TYPE

Building Type	ECM Evaluation Tools	
	REM/Design	TREAT
Single-family, 1-4 units	X	
Mobile Home, individual unit	X	
Small Multi-family Building, 5-24 units with independent heating and/or cooling units, and a storage water heater (independent or common system)	X	
Small Multi-family Building, 5-24 units with common (shared) heating and/or cooling systems, or common water heating utilizing a non-storage system (i.e., boiler)		X
Large Multi-family, 25 units or more		X

7.3. Audit Path Measures

7.3.1 There are three measure categories included as part of the Audit path: Health & Safety, General Heat Waste, and ADMs.

7.3.1 (a) Audit Path Health & Safety (H&S) Measures

7.3.1 (a1) All required H&S measures must be installed and do not require a Measure SIR ≥1.0.

7.3.1 (a2) Table D-7 defines H&S measures that must be included in the Audit path.

TABLE D-7: AUDIT PATH - H&S MEASURES

Audit Path - Health & Safety Measures
Carbon monoxide alarms
Smoke alarms
Cooling source repairs and replacements
Combustion and ventilation air repairs
Heating source repairs and replacements
Kitchen exhaust installation, repair, and replacements
Lead-safe weatherization

TABLE D-7: AUDIT PATH - H&S MEASURES

Audit Path - Health & Safety Measures
Limited home repair-health and safety support
Mechanical ventilation
Thermostats (manual and programmable)
Water heater repairs and replacements

7.3.1 (b) H&S Fund Limitations for Audits

7.3.1 (b1) When paid for with DOE WAP funds, a heating, cooling, and/or water heating repair or replacement, or thermostat measure can qualify either as H&S or as an ECM (i.e., an energy efficiency upgrade).

- All heating, cooling and water heating replacements, and the associated thermostat (when applicable), must be modeled in the audit to determine if an energy efficiency upgrade is feasible prior to billing DOE WAP H&S.
  - When replacement with a more efficient appliance has a Measure SIR ≥ 1.0 calculated by the energy audit, replacement as an ECM is required. The cost maximum is determined by the energy audit.
  - H&S repair or replacements will be considered only after an energy efficiency upgrade would not be cost-effective (Measure SIR is <1.0). The cost maximum is determined by contract.
    - When an audit is performed it must include a cost benefit analysis to determine the optimal appliance type. If replacement is necessary for the safety of occupants, an open combustion appliance should be replaced with a closed combustion or direct vent type.
    - The primary heating appliance may be replaced, repaired, or installed when the appliance has been "red-tagged," is inoperable, or is nonexistent.
    - The primary air conditioning system may be replaced, repaired, or installed only in homes where an occupant is "at-risk".
      - CSD defines an "at-risk" occupant as a client with a qualifying "medical condition" that requires temperature control. The condition must be verified by a doctor's recommendation or other objective evidence gathered at the time of application.
      - The occupant is a member of a vulnerable population, and the absence of the appliance creates an emergency health and safety need.
    - When a water heating replacement does not qualify for an ECM replacement, the system may be repaired or replaced using H&S funds if repair/replacement requirements are met.

7.3.1 (c) General Heat Waste (GHW) Measures

7.3.1 (c1) GHW can only be installed using the Audit path. GHW costs (including labor) must not exceed $250 in total for all measures in this category.

7.3.1 (c2) Table D-8 includes GHW measures included in the Audit path.

TABLE D-8: AUDIT PATH - GENERAL HEAT WASTE MEASURES

Audit Path - GHW Measures
Air filters (heating and/or cooling)
Faucet aerators
Showerheads (low-flow, handheld, thermostatic)
Water heater pipe insulation
Water heater blanket

7.3.1 (d) Audit-Driven Measures (ADMs)

7.3.1 (d1) ADMs must be included in the audit. ADMs resulting in a Measure SIR ≥ 1.0 are to be included in the final work scope.

7.3.1 (d2) Table D-9 includes all ADMs included in the Audit path.

TABLE D-9: AUDIT PATH - AUDIT DRIVEN MEASURES

Audit Path - ADMs
Ceiling insulation (and attic ventilation, when required)
Ducting repair, sealing, and insulation
Energy efficiency upgrade – cooling source replacement
Energy efficiency upgrade – heat source replacement
Energy efficiency upgrade – programmable thermostat
Energy efficiency upgrade – smart thermostat
Energy efficiency upgrade – water heater replacement
Energy efficiency upgrade – window replacement
Floor insulation (and floor foundation venting, when required)
Air sealing (infiltration reduction)
LED lighting (bulbs and tube lighting)
Refrigerators
Wall insulation

7.4. Audit Path Decisions for ADMs

7.4.1 When the auditor determines that an ADM is not on the PL and the ADM would be billed to the DOE WAP, the auditor must follow this procedure.

7.4.1 (a) If one or more of the measures in Table D-10 is feasible according to the measure-specific feasibility criteria in the TRM, and criteria described below also applies, a site-specific energy audit is required.

7.4.1 (b) For reference, the Effective Useful Life for heating, cooling, and water heating equipment is included in Effective Useful Life (EUL) Inputs.

TABLE D-10: INSTALLATION CRITERIA FOR ADMS NOT ON A PRIORITY LIST

ADMs Not on the Priority Lists	An Audit Will Be Required When...
Energy efficiency upgrade – cooling source replacement	The existing cooling source is past its EUL.
Energy efficiency upgrade – heat source replacement	The existing heating source is past its EUL.
Energy efficiency upgrade – programmable thermostat	A manual thermostat is present.[1]
Energy efficiency upgrade – smart thermostat	A manual thermostat is present.[1]
Energy efficiency upgrade – water heater replacement	The existing water heater is past its EUL.
Energy efficiency upgrade – window replacement	One or more single-paned windows are present.
Floor insulation (includes floor foundation venting, when required)	No existing floor insulation is present.
Wall insulation	No existing wall insulation is present.
[1]The auditor must assess feasibility for a smart thermostat. If material costs cause the Measure SIR to be < 1.0, then a programmable thermostat shall be considered.	

7.5. Client Refusal and Measure Skipping of ADMs

7.5.1 "Major measures" shall not be skipped. For the Audit path, measure skipping policies for the Audit path are outlined in Table D-11. Major measures are defined as:

7.5.1(a) Air sealing (infiltration-reduction)

7.5.1(b) Sealing of ducts (located outside the thermal boundary)

7.5.1(c) Attic insulation

7.5.1(d) Wall insulation

7.5.1(e) Floor insulation (conventional homes) or belly insulation (mobile homes)

TABLE D-11: AUDIT PATH – MEASURE SKIPPING POLICIES

Circumstance	CSD Policy
Before work begins, client refuses a feasible **Major** measure	• Client education about planned measures and materials shall be provided. • If a client refuses a major measure and an alternate material that is acceptable to the client is identified, an audit will be re-run to recalculate the SIR. • If the client continues to refuse the major measure, the refusal must be documented in the CSD 540 and CSD 710 and the dwelling must be deferred.

TABLE D-11: AUDIT PATH – MEASURE SKIPPING POLICIES

Circumstance	CSD Policy
After installation work has begun, client refuses a feasible **Major** measure	• If a client refuses a higher priority major measure after lower priority measures are already installed (due to timing of the physical installation work): – Work must stop at the time the client declines the higher-SIR measure. – No further measure installations are allowed. – The job must be inspected by a QCI and closed out as a completed unit. • Further work may be done under a different program.
Work must stop at the time the client declines the higher-SIR measure.	• If a client refuses a non-major measure or material that has SIR ≥1.0, client education about planned measures and materials shall be provided. • If the client refuses and there is a cost-effective alternative the audit must be re-run with materials that are acceptable to the client. • If no cost-effective option can be identified and/or the client still refuses the measure, the client refusal must be documented in the client file on the CSD 540 and CSD 710, then all other cost-effective measures may be installed.

7.6. Developing an Audit Work Scope

7.6.1 For the Audit path, auditors/assessors must include all proposed/feasible ADMs (and incidental repairs) in the audit software to create a preliminary work scope.

7.6.2 Measure SIRs will be calculated by the energy audit tool.

7.6.2(a) When calculating the Measure SIR, all interactive effects of other measures in the package specified by the energy audit must be accounted for.

7.6.2(a1) To be included in the work scope, all measures must have a Measure SIR ≥ 1.0.

7.6.2(a2) Exception: Air sealing is the only measure allowed to be installed when the Measure SIR < 1.0, however the Dwelling SIR must be ≥ 1.0.

7.6.2(b) After the first audit run, if the Dwelling SIR is <1.0, it is required to remove the ADM (and its associated incidental repair) with the lowest SIR.

7.6.2(b1) Exception: Per DOE WAP policy, do not remove air sealing when the Measure SIR < 1.0.

7.6.3 Using the audit tool, all final ADM Measure SIRs and any incidental repair costs must be "grouped". This grouped SIR becomes the "Dwelling SIR"

7.6.3(a) The Dwelling SIR must be ≥1.0 or individual measures are not feasible.

7.6.3(a1) If the Dwelling SIR <1.0, remove the lowest ECM and its associated incidental repair) from the work scope, then re-group the measures to check the new Dwelling SIR. Continue this process until the Dwelling SIR achieves a final SIR of ≥1.0.

7.6.3(a2) The Dwelling SIR must be ≥1.0 or the job must be deferred.

7.6.3(a3) The final Dwelling SIR value must be transferred from the audit to the CSD 710.

7.6.3(a4) The finalized work scope must show the ranking of all ADMs from highest to lowest SIR to guide the installation order.

7.6.4 Work Scope Limitations

7.6.4(a) An individual unit work scope may be limited by the contractor (agency) average cost per unit (ACPU).

7.6.4(b) When expenditures would cause substantial overage to the contractor ACPU, feasible measures may be removed from a work scope as long as the following cost management procedure is used:

7.6.4(b1) To allow the contractor ACPU to be maintained, feasible measures with a Measure SIR ≥ 1.0 may be removed from the work scope in order, from the lowest Measure SIR to the highest Measure SIR.

7.6.4(b2) Major measures cannot be removed from the work scope without resulting in dwelling deferral. See Client Refusal and Measure Skipping of ADMs.

- When removing a measure with the lowest Measure SIR ≥ 1.0, and a Major measure is the next highest Measure SIR on the work scope, the Major measure and all additional feasible measures (with higher Measure SIRs than the Major measure) must remain in the final work scope.

7.6.5 Work Scope Reclassification

7.6.5(a) If no measures meet the Measure SIR or Dwelling SIR requirements based on the energy audit inputs, and the PL path dwelling conditions apply, the CSD 710 Energy Audit/Priority List Checklist will be updated and the PL path will be allowed to determine the final work scope.

7.7. ADM Cost Calculations

7.7.1 For all ADMs, the installed cost of a measure entered into the audit should reflect the actual cost to install the measure as closely as possible. In cases where the cost to install a measure changes after approval of the finalized work scope, an updated cost shall be input into the audit, and the measure will be reimbursed as follows:

7.7.1(a) If the updated cost is less than the original estimated cost, CSD will reimburse for the actual cost of the measure.

7.7.1(b) If the updated cost is greater than the reported cost, CSD will reimburse for the reported cost of the measure based on the following:

7.7.1(b1) The full measure cost may be reimbursed if an updated SIR calculation shows that the Measure SIR and Dwelling SIR remain ≥ 1.0 based on the updated cost.

7.7.1(b2) If the increased cost reduces the Measure or Dwelling SIR < 1.0, the measure shall be reimbursed only up to the cost where the SIR remains ≥ 1.0. No additional cost will be paid for that measure with DOE WAP funds.

7.8. Interactive Effects for Energy Audits

7.8.1 The interactive effect between measures is the way in which the installation of one measure will affect other measures in the work scope.

7.8.1(a) When calculating both the Measure SIR and Dwelling SIR, the audit must account for all ECMs included in the dwelling's work scope regardless of the program/funding source. It is not allowed to conduct separate audits by program.

7.8.1(a1) When a Measure SIR is < 1.0 and will be paid for by a different funding source, it must be updated in the base case of the energy audit before the work scope Measure SIRs and the Dwelling SIR are calculated.

7.8.1(a2) When a Measure SIR is ≥ 1.0 and will be installed under another program, the ECM will remain in the package of improvement measures and the base case would not be updated.

7.8.1 (a3) When evaluating a heating, cooling, or water heating measure as an energy efficiency upgrade, and the resulting Measure SIR is < 1.0 and the appliance has an identified H&S issue, the ECM may be recategorized as a H&S measure. When this occurs, the energy audit must be re-run based on actual equipment that will be installed included as the base case before the energy audit is finalized.

7.9. Justification Image Requirements for REM/Design Energy Audits

7.9.1 Justification images (photos) are required that show the key characteristics of the audited dwelling. Photos submitted are used for quality assurance and aid in answering questions that arise during the audit review.

7.9.1 (a) The following photos must be kept on file for any REM/Design audited dwelling:

7.9.1 (a1) *Front View of Dwelling:* View of all walls, windows, and any shading, including but not limited to, trees, other buildings, etc.

7.9.1 (a2) *Back View of Dwelling:* View of all walls, windows, and any shading, including but not limited to, trees, other buildings, etc.

7.9.1 (a3) *Right Side View of Dwelling:* View of all walls, windows, and any shading, including but not limited to, trees, other buildings, etc.

7.9.1 (a4) *Left Side View of Dwelling:* View of all walls, windows, and any shading, including but not limited to, trees, other buildings, etc.

7.9.1 (a5) *Close-up of Each Window Type:* Close-ups to determine window type, one picture required for each type.

7.9.1 (a6) *Whole Attic View:* Show as much attic space as possible.

7.9.1 (a7) *View of Attic Insulation:* Up-close view of attic insulation showing a measuring tool confirming thickness of insulation or a visible R-value.

7.9.1 (a8) *View of Floor Insulation:* Up-close view of crawlspace showing a measuring tool confirming thickness of existing insulation or a visible R-value.

7.9.1 (a9) *Primary Heating Source:* Include nameplate if possible, must photograph the primary heating source for all units in a multi-family dwelling and associated thermostats.

7.9.1 (a10) *Primary Cooling Source:* Include condenser coil and nameplate if possible, must photograph the primary cooling source for all units in a multi-family dwelling and associated thermostats.

7.9.1 (a11) *Primary Water Heating Source:* Include a view of the full tank and associated platform when present. Close up view of nameplate.

7.9.1 (a12) *Other:* Any unusual circumstance of the dwelling which may cause question.

7.9.1 (b) CSD may request justification image copies or additional images at any time.

7.9.2 For TREAT energy audits, required photographs are identified in TREAT Energy Audit Report Requirements, and are mandatory when applicable to a specific project.

7.10. Incidental and Ancillary Costs in the Audit Path

7.10.1 In the DOE WAP, ancillary materials used must be included in the cost of an ADM measure. If the cost of the ancillary item added to the measure cost would cause the SIR to be <1.0 then the measure is no longer feasible.

7.10.2 For ADMs, costs of all incidental repairs must be "grouped" in a separate line item within the audit and included in the calculation of the Dwelling SIR.

7.10.2 (a) All incidental repairs must be documented with 1) cost justification for each incidental repair, and 2) photos and written explanation to justify the need for the incidental repair in the client file.

7.10.2 (b) After the first audit run, if the Dwelling SIR <1.0, it is required to remove the combination of the ECM and its associated incidental repair with the lowest SIR. This process (removing the lowest ECM and its associated incidental repair) continues until the Dwelling SIR is ≥1.0.

7.10.2(c) If an incidental repair is necessary to protect more than one ADM, (e.g., roof repair to protect attic insulation and a heating system upgrade located in the attic), then all of those ECMs together must be considered for removal from the package of measures until the SIR for the package of measures is ≥1.0.

7.10.2(c1) Removal of measures and incidental repairs could result in temporary deferral of a dwelling until another funding source is found to pay for the incidental repair(s).

7.11. Additional Audit Path Considerations

7.11.1 Air Sealing in the Audit

7.11.1(a) The total cost for all air sealing activities must be included in the energy audit and an infiltration/reduction line item must be included in the calculation for the Dwelling SIR.

7.11.1(b) To be feasible, the Dwelling SIR (including all infiltration reduction activities) must remain ≥1.0.

7.11.1(c) If feasible air sealing activities exist but do not meet the Dwelling SIR requirement, or an audit is not required because all ADMs are already installed, agencies may use alternative funds for this work (when available).

7.11.1(d) When this measure will be leveraged, the measure must be modeled as described in Shell Leakage Modeling.

7.11.2 Duct Repair and Sealing in the Audit

7.11.2(a) The Measure SIR for all duct sealing/repair work must be calculated separately from the infiltration-reduction measures in the DOE WAP.

7.11.2(b) The costs for all duct sealing, repair, and insulation activities shall be grouped together to calculate the Measure SIR for this item. This Measure SIR must be included in the calculation of the Dwelling SIR as a separate line item.

7.11.2(c) Both the Measure SIR and the Dwelling SIR require an SIR ≥1.0 to be a feasible DOE WAP measure.

7.11.2(d) When this measure will be leveraged, the measure must be modeled as described in Duct System Leakage Modeling.

7.11.3 Measure Grouping for Window Replacements

7.11.3(a) For window replacements to be considered cost effective, the windows must have a Measure SIR ≥1.0. In order to accurately characterize all window replacements, the upgrade must be considered in a "group" or "package".

7.11.3(b) Whenever windows are included in the energy audit, the individual characteristics shall be included in the as-is model, then grouped by measure type during the improvement analysis using the process defined by the audit software.

7.11.3(b1) The measure may be subdivided and grouped by "type", such as all aluminum frame windows would be included in Group 1, all wood frame windows included in Group 2, etc.

7.11.4 HVAC Component Modeling

7.11.4(a) Within the energy audit, HVAC system components are modeled in two ways (See Table D-12).

TABLE D-12: HVAC MODELING TYPES FOR ENERGY AUDITS

Separate Heating & Cooling Models	Single Heating & Cooling Models
Split System	Heat Pump
Package Unit	
Mini-Split Unit	

7.11.4(a1) When separate heating and cooling components are modeled (i.e., for split systems, package units, and mini-split units), heating and cooling will each have a separate, calculated Measure SIR.

- If the Grouped SIR ≥1.0, then both components shall qualify and be replaced by the higher efficiency units.
- If the Grouped SIR <1.0, then:
  - If only the heating component has an SIR ≥1.0, the heating unit shall be billed as an ECM. If the SIR is <1.0 and there is a qualifying H&S issue, the heating unit can be billed to DOE WAP H&S or leveraged with LIHEAP or another funding source.
  - If only the cooling component has an SIR ≥1.0, the cooling unit shall be billed as an ECM. If the SIR is <1.0, the following question shall be considered:
    - Is the client "at-risk"? CSD defines an "at-risk" occupant as a client with a qualifying "medical condition" that requires temperature control. The condition must be verified by a doctor's recommendation or other objective evidence gathered at the time of application.
      - If the answer is "yes", the cooling unit can be billed to DOE WAP Health & Safety or leveraged with LIHEAP or another funding source.
      - If the answer is "no", the cooling unit will not qualify as a DOE WAP Health & Safety measure but can be leveraged with LIHEAP or another funding source to allow for installation. If other leveraged funding is not available, the measure will not be installed.

7.11.4(a2) When both heating and cooling components are modeled as a single unit (i.e., heat pumps), the audit will result in a single SIR value.

- If the SIR is ≥1.0, the unit will be replaced as an energy efficiency upgrade.
- If the SIR is <1.0 and there is a qualifying H&S issue, the unit can be repaired or replaced as a DOE WAP H&S measure or leveraged under another funding source.

7.11.5 Derating Heating and Cooling Systems

7.11.5(a) Air conditioners and heat pumps cannot accurately be measured for efficiency while on-site. When evaluating a system that utilizes a compressed refrigerant cycle (does not apply to evaporative coolers), Equation 3 may be used in the audit.

Equation 3: Derated Efficiency = (Base EFF) x $0.99^{\text{appliance age}}$

Where:

Base EFF = Typical efficiency of Pre-Retrofit equipment when new (Seasonal Energy Efficiency Ratio (SEER), Energy Efficiency Ratio (EER), or Heating Seasonal Performance Factor (HSPF))

Appliance Age = Age of equipment in years.

7.11.5(b) *For example: An existing HVAC unit that is 20 years old, was originally rated at 10 SEER.*

Derated SEER = 10 x $0.99^{20\text{ years}}$

Derated SEER = 10 x 0.818

Derated SEER = 8.18

7.11.5(c) Any other variation of this process or formula is not allowed. Derating of combustion appliances in lieu of testing for combustion efficiency is not allowed.

7.12. Fuel Switching

7.12.1 Allowed fuel switching consists of the replacement of a non-electric fueled appliance with an electric appliance.

7.12.2 Fuel switching will be allowed only within the Audit path for one of the following reasons:

7.12.2(a) As an ADM, when a site-specific energy audit demonstrates the cost-effectiveness of the fuel switch over the life of the measure with a Measure SIR ≥ 1.0.

7.12.2(b) As a H&S measure to remedy or resolve a H&S condition for a heating, cooling, or water heating appliance when the energy audit determines that the energy efficiency upgrade would not be cost-effective (Measure SIR is < 1.0).

7.12.3 Table D-13 lists examples of possible fuel switching scenarios.

7.12.4 Fuel Switching as an ECM

7.12.4(a) A site-specific energy audit must result in a Measure SIR ≥ 1.0 for the fuel switching measure to be installed as an ECM.

7.12.4(b) The energy audit model must include all energy costs associated with both the existing and proposed appliances.

7.12.4(b1) For example, when modeling a heat pump or other combined heating-and-cooling system to replace a heating-only (or cooling-only) system, no savings may be attributed to the previously non-existent cooling (or heating) system.

7.12.4(c) All upgrades to the home (e.g., insulation, air sealing, etc.) associated with the fuel switching must be included in the fuel-switching model to ensure the energy savings is based on post-weatherization home specifications.

7.12.4(d) Fuel cost information must be the actual cost as incurred by the client. Each household must produce a copy of a current fuel bill including a list of charges including: the costs charged for the energy commodity, base and service charges, taxes, supply and transmission charges and renewable energy or energy conservation adjustments. These components are all part of standard utility bills in the state of California.

7.12.4(d1) No Non-Energy Impacts can be added to the fuel costs.

TABLE D-13: EXAMPLES OF DOE WAP APPROVED FUEL SWITCHING SCENARIOS

Existing Heating or Cooling Appliance	Proposed Conversion
Natural gas forced air furnace (heating only) or Natural gas split system (heating and cooling)	Central heat pump (heating and cooling)
Natural gas wall furnace or Natural gas wall furnace + window/wall AC	Ductless heat pump mini-split
Propane forced air furnace (heating only) or Propane split system (heating and cooling)	Central heat pump (heating and cooling)
Propane wall furnace or Propane wall furnace + window/wall AC	Ductless heat pump mini-split
Woodstove (heat only) or Wood stove + window/wall AC	Ductless heat pump mini-split
Water heater, natural gas or propane	Heat pump water heater

7.12.4(e) All costs related to fuel-switching, (i.e., permits and new or improved utility connections) must be included in the SIR calculation. The SIR calculation for fuel switching will follow the same calculation methodology as all other ECMs.

7.12.5 Fuel Switching for H&S

7.12.5(a) All heating, cooling, and water heating replacements proposed for fuel switching first must be evaluated in the audit to determine if an energy efficiency upgrade is feasible.

7.12.5(a1) When a fuel switching measure has a Measure SIR ≥ 1.0, replacement as an ECM is required.

7.12.5(a2) Fuel switching as H&S is allowed only when the audit results in a Measure SIR < 1.0 and when there is a qualifying H&S condition.

7.12.5(b) Any fuel switch made with H&S funds must not increase the client's net utility cost.

7.12.5(b1) The energy audit must be used to verify that the dwelling's utility cost will not increase after the fuel switch and weatherization. See REM/Design Reports.

7.13. Audit Path Installation Order

7.13.1 Once the SIR order is calculated, scheduling of the actual order of the physical installation of measures may be adjusted. When a job is complete, measures with a higher SIR must have been installed over measures with a lower SIR unless an SIR-ordered measure is not feasible as defined by the TRM measure section.

7.13.2 Measures may be leveraged with another funding source if the measure meets all feasibility criteria for the leveraged program. See Managing Alternative Funding.

8. REM/DESIGN ENERGY AUDIT PROCEDURE

8.1 Applies to:

- Single-family dwellings
- Mobile homes

- Small multi-family dwellings (with independent heating and/or cooling, and storage water heaters)

8.2 The three main processes that constitute the REM/Design energy audit include the:

8.2.1 On-site visit

8.2.2 Energy modeling with energy savings analysis, and

8.2.3 Report submittal

8.3. Energy Audit Restrictions

8.3.1 A REM/Design energy audit is part of the assessment and cannot be run after work has been installed to justify installation or recategorization of measures.

8.3.2 When an audit is conducted in multi-family buildings, the audit modeling must include the features of the whole building. Individual units with feasible ADMs must meet the criteria in Individual Units or only H&S and GHW measures may be feasible. Audit models may be used to justify measures for individual units located within a building complex.

8.4. REM/Design On-Site Visit

8.4.1 Energy audits must begin with a complete assessment of the building and building systems, including all environmental, structural, and health and safety checks. In addition, the energy audit collects additional data for energy calculations and an audit report is produced. The on-site visit by a qualified auditor/assessor is required to collect the data listed below.

8.4.2 Data listed below shall be recorded on the CSD 544 On-Site Data Collection Form, then entered into the REM/Design software:

8.4.2(a) General Building Design Characteristics

8.4.2(a1) Foundation type

8.4.2(a2) Total conditioned area

8.4.2(a3) Approximate conditioned area of each floor

8.4.2(a4) Number of bedrooms

8.4.2(a5) Ceiling height and ceiling/attic characteristics

8.4.2(b) Building Envelope Characteristics

8.4.2(b1) Ceiling type and insulation level

8.4.2(b2) Above-grade wall type and insulation level

8.4.2(b3) Foundation wall type and insulation level

8.4.2(b4) Frame floor type and insulation level

8.4.2(b5) Door type and insulation level

8.4.2(c) Window Properties of All Windows

8.4.2(c1) Window area for each glazing unit. Includes: sliding glass doors, glass block, etc.

8.4.2(c2) Window type (single pane, dual pane low-E, etc.)

8.4.2(c3) Window material (metal frame, wood, vinyl, metal clad etc.)

8.4.2(c4) Window orientation (typically associated with each wall surface)

8.4.2(c5) Window overhang (shading) details:

- Depth of overhang
- Distance between top of window and bottom of overhang
- Distance between bottom of window and bottom of overhang

8.4.2(d) Mechanical Equipment Properties

8.4.2(d1) Heating equipment

- Fuel type
- Location and type
- Rated output capacity (in Btu/hour)

- Seasonal equipment efficiency (AFUE, HSPF, %EFF, COP)

8.4.2(d2) Cooling equipment

- Fuel type
- Location and type
- Rated output capacity (in Btu/hour)
- Seasonal equipment efficiency (SEER, EER, %EFF, COP)

8.4.2(d3) Ventilation types (if applicable)

- Ventilation rate (CFM)
- Hours/day of operation
- Ventilation strategy for passive cooling (i.e., natural ventilation or whole house fan installed)

8.4.2(d4) Distribution systems for HVAC systems

- For ducted HVAC system (central HVAC) or ductless systems (i.e., evaporative cooler or mini-split system)
- Duct insulation level

8.4.2(d5) Water heating equipment

- Water heater type
- Fuel type
- Energy factor
- Tank size
- Extra tank insulation R-value

8.5. Energy Modeling and Analysis Process

8.5.1 Once data is collected, an energy model of the building's pre- and post-weatherization energy performance is generated in the REM/Design software. REM/Design calculates SIRs for each weatherization measure to determine its cost-effectiveness. For the calculations, some additional information is necessary and must be input by the auditor/ assessor, including the EUL, measure cost, utility costs, building specifications, and default entries.

8.5.1(a) Measure cost calculations shall be handled in accordance with the policies of ADM Cost Calculations.

8.5.1(b) Measure buy-downs shall be addressed in accordance with Measure Buy-down.

8.5.1(c) EUL shall be calculated in accordance with REM/Design and Priority List Maximum EUL.

8.5.2 Mobile Home Modeling Specifications

8.5.2(a) When a mobile home will be served, the energy model must consider the special inputs related to mobile home construction. These inputs, which differ from a standard single-family home energy model, are detailed in Table D-14.

TABLE D-14: MOBILE HOME MODELING SPECIFICATIONS

Parameter	Requirement
Housing Type	Mobile Home: The conditioned floor area input is disabled, instead input the outside length, width, and height
Ceiling and Floor Type	Input mode must be "Quick Fill Mobile Home"
Foundation Wall Type	Account for existing mobile home skirting

8.5.3 Multi-Family Whole-Building Modeling Specifications

8.5.3(a) In REM/Design, when an entire multi-family building is being served it must be modeled as one whole building with all units and mechanical components. The whole-building specifications outlined in Table D-15 must be input into the model.

TABLE D-15: REM/DESIGN MULTI-FAMILY WHOLE-BUILDING MODELING SPECIFICATIONS

Parameter	Requirement
REM/Design Input Mode	Detailed Mode
Housing Type	Multi-family, whole building
Number of Units	Enter the total number of units for the whole building.
Ceiling	Account for all ceilings adjacent to unconditioned space such as attics or vaulted ceilings adjacent to outdoors. Do not include any ceilings adjacent to other apartments or conditioned space. All interior walls and ceilings must be omitted.
Walls	Account for all walls adjacent to unconditioned space such as garages or outdoors. Do not model walls between units.
Floor	Account for all floors adjacent to unconditioned space such as garages, ground, crawlspace, etc. Do not include floors adjacent to other apartments or common areas.
Number of Bedrooms	When inputting the number of bedrooms, the model must account for the TOTAL number of bedrooms in the entire building, not just the number of bedrooms per dwelling unit.
Mechanical Equipment	Each model of similar equipment types must be included. When inputting mechanical equipment, each piece can be manually created, or if all pieces of equipment are identical, the number of units can be increased on the "Mechanical Equipment Properties Summary" page. The program will automatically split the system load based on capacity.

8.5.4 Multi-Family Individual Unit Modeling Specifications

8.5.4(a) In REM/Design, when in an Individual Units in a multi-family building will be modeled, and after CSD and DOE approval has been obtained, all inputs should reflect only the single unit. The individual unit specifications outlined in Table D-16 must be input into the model.

TABLE D-16: REM/DESIGN INDIVIDUAL UNIT MODELING SPECIFICATIONS

Parameter	Requirement
REM/Design Input Mode	• Detailed Mode
Housing Type	• Selection based on the unit being served. Choose one of the following: – Townhouse, end unit – Townhouse, inside unit – Apartment, end unit – Apartment, inside unit – Duplex, single unit
Level Type	• This field is required if the housing type selected is an apartment. If the building is more than one floor, select either top floor, mid-level, or lowest level.

TABLE D-16: REM/DESIGN INDIVIDUAL UNIT MODELING SPECIFICATIONS

Parameter	Requirement
Ceiling/Wall/Floor	• Model inputs should reflect and be appropriate for the Housing Type being served. Some of these inputs are not necessary for apartments, depending on whether they are located on the top, middle, or lower level of the building. – Ceiling/roof and floor/foundation information is not required for a mid-level apartment. – Floor/foundation information is not required for a top floor apartment. – Ceiling/roof information is not required for the lowest level apartment when apartments are vertically attached.
Number of Bedrooms	• When inputting the number of bedrooms, the model must account for the TOTAL number of bedrooms in the dwelling unit.
Mechanical Equipment	• Account for mechanical equipment located in the dwelling unit only.

8.5.5 Small Multi-family Water Heating Modeling Specifications

8.5.5(a) For *independent* storage water heaters in small multi-family buildings, the required data and modeling shall be as defined in Multi-family Whole-Building Modeling Specifications or the Multi-Family Individual Unit Modeling Specifications when only an individual unit is served.

8.5.5(b) When a *common* water heating system (one water heater serving multiple dwelling units) is present in a multi-family building, the required approach is defined by the existing equipment. For common storage/tank type water heaters, they shall be modeled the same as Multi-family Whole-Building Modeling Specifications or the Multi-Family Individual Unit Modeling Specifications when only an individual unit is served. For any other type of water heating equipment (i.e. boiler), this is outside of the program scope. The building cannot be modelled in REM/Design.

8.5.6 Duct System Leakage Modeling

8.5.6(a) The duct sealing and repair measure requires the calculation of both a Measure SIR and a Dwelling SIR using the appropriate energy audit tool. As an ECM, the duct sealing and repair measure must be cost-effective (having both a Measure SIR of ≥1.0 and the Dwelling SIR ≥1.0) at all times. CSD allows three methods for the calculation of the duct sealing and repair SIR values:

8.5.6(a1) **Option A**: Conduct a pre-duct leakage test and use the reading for the base case in the audit. To model the improvement, enter the leakage reduction as 15% leakage and estimate how much the feasible sealing work will cost. Once the duct sealing work is completed by installers, input the post-duct leakage reading into the audit in CFM25. Then input the final (actual) measure costs to confirm the final Measure SIR and Dwelling SIR values are still ≥1.0.

- Note: When ≥25 feet of duct is replaced, total duct leakage must be reduced to 10%, and the improvement must be modeled also to 10%.

8.5.6(a2) **Option B**: It is not required to conduct a pre-duct leakage test during the audit. Estimate how much duct leakage there is (based on the types of leaks present) and the cost to complete feasible sealing work (materials and labor). Then:

- Input the duct leakage estimate in the audit as the base case.
- In the improvement, estimate the final duct leakage in CFM25 based on the feasible duct sealing activities. Based on these activities, estimate the cost to complete the work.
  - Note: When ≥25 feet of duct must be replaced, Title 24 requires total duct leakage to be reduced to not more than 10%.

- Decrease or increase the estimated *base case* leakage until the Measure SIR and Dwelling SIR are 1.0. This may take several tries of re-running the audit and re-grouping the work scope measures.
- Before any duct sealing reduction work begins:
  - Installers must run the duct leakage test. If the pre-test reading is lower than the modeled base case leakage, duct sealing under DOE WAP is not feasible and it must be removed from the work scope or billed to another funding source.
  - When duct sealing is feasible, the improvement cost estimate when the Measure SIR and Dwelling SIR = 1.0 becomes the duct sealing cost maximum. Work cannot exceed that amount for the measure.
- After the proposed duct sealing work is completed, enter the post-test reading and the actual work cost into the audit to ensure that the final Measure and Dwelling SIRs are still 1.0 or greater.

8.5.6(a3) **Option C:** When duct testing and sealing is fully leveraged using another funding source, the audit base case will comply with Title 24 and assume a duct leakage of 15%. No improvement will be modeled. No SIR will be calculated.

8.5.6(b) In options A and B, if the Measure SIR and/or Dwelling SIR is ever <1.0, the agency may only be reimbursed up to the 1.0 SIR amount (agency would be responsible for any additional cost).

8.5.6(c) When duct sealing will be billed to DOE WAP, the finalized audit must include the actual pre- and post- test duct test values (in CFM25) from the CSD 706 form.

8.5.7 Shell Leakage Modeling

8.5.7(a) Air sealing activities must be included in the Dwelling SIR; however, the air sealing "measure" does not require a Measure SIR of ≥1.0. The Dwelling SIR must be ≥1.0 at all times. CSD allows three options to calculate the air sealing SIR values:

8.5.7(a1) **Option A:** Conduct a pre-blower door test and use the reading for the base case in the audit. To model the improvement, enter the leakage reduction as 5 ACH50 and estimate how much the feasible sealing work will cost. Once the air sealing work is completed by installers, input the post-blower door reading into the audit in CFM50. Then input the final (actual) measure costs to confirm the final Dwelling SIR value is still ≥1.0.

8.5.7(a2) **Option B:** It is not required to conduct a pre-blower door test during the audit. Estimate how much shell leakage there is and the cost to complete feasible sealing work (materials and labor). Then:

- Input the shell leakage estimate in the audit as the base case.
- In the improvement, estimate the final shell leakage in CFM50 based on the feasible infiltration reduction activities. Based on these activities, estimate the cost to complete the work.
- Decrease or increase the estimated *base case* leakage until the Dwelling SIR is 1.0. This may take several tries of re-running the audit and re-grouping the work scope measures.
- Before any infiltration reduction work starts:
  - Installers must run the blower door. If the pre-blower door reading is lower than the base case leakage, infiltration reduction under DOE WAP is not feasible and it must be removed from the work scope or billed to another funding source.
  - When infiltration reduction is feasible, the improvement cost estimate when the Dwelling SIR = 1.0 becomes the infiltration reduction cost maximum. Work cannot exceed that amount for the measure.
- After the proposed shell sealing work is completed, enter the final blower door reading and the actual cost into the audit to ensure that the final Dwelling SIR is still 1.0 or greater.

8.5.7(b) **Option C**: When blower door testing and sealing is fully leveraged using another funding source, the audit base case will assume a shell leakage of 5 ACH50. No improvement will be modelled. No SIR will be calculated.

8.5.7(c) In options A and B, if the Dwelling SIR is ever <1.0, the agency may only be reimbursed up to the Measure SIR = 1.0 amount (agency would be responsible for any additional cost).

8.5.7(d) When infiltration reduction will be billed to DOE WAP, the finalized audit must include the actual pre- and post-test shell sealing CFM50 values from the CSD 704 form.

8.5.8 Insulation (Ceiling, Floor, and Wall) Grades

8.5.8(a) Existing insulation shall be "graded" based on how well the insulation is installed. The default level for all existing insulation shall be a three ("III"), which presumes degraded or poorly installed material. When modeling the improvement measure, the default value will be a one ("I"), which assumes that all installed insulation will be complete, level, and without voids.

8.5.9 Mechanical Equipment Properties

8.5.9(a) Whenever possible, actual (existing) equipment information indicated on the equipment label or made available by manufacturer are to be input as existing properties, e.g., AFUE, SEER, and EF, for a furnace, air conditioner, and hot water heater.

8.5.9(b) 2022 Title 24 uses a system of SEER2, EER2, and HSPF2 for rating air conditioners and heat pumps. It is required to convert these improved mechanical equipment efficiency ratings to SEER, EER, and HSPF prior to input in the energy audit.

8.5.9(b1) Conversion tables for these efficiencies are provided in Conversion Tables for SEER2, EER2, and HSPF2.

8.5.9(c) Default properties are to be used ONLY when values are unavailable from equipment nameplates, labels, etc., and must not be used as a standard procedure.

8.5.9(c1) Using the REM/Design energy audit for change-out of mechanical equipment is strictly for "efficiency" purposes. The actual existing (not hypothetical) equipment must be represented as in its original installation; however, equipment efficiencies for air conditioners and heat pumps can be de-rated based on the policy outlined in Derating Heating and Cooling Systems.

8.5.9(d) The performance adjustment must be left at 100%. All equipment derating must follow the policy outlined in Derating Heating and Cooling Systems.

8.5.9(e) Sealed-combustion, direct-vent appliances shall be modeled to determine if they meet the SIR requirements. If not cost-effective, non-direct-vent appliances shall be utilized.

8.5.9(f) To qualify for replacement, the unit must reflect a Measure SIR of ≥1.0. Noting a piece of equipment is inoperable or using a "default" value (without some type of reliable substantiation) is not allowed.

8.5.9(g) The client file must contain justification for use of any mechanical equipment "default" including photographs (identifiable to the existing equipment being audited for efficiency change-out) and, if applicable, any printed research results. For example, a printout from the AHRI website (http://www.ahridirectory.org) referenced in the REM/Design Program "help". This applies to any mechanical equipment measure considered for installation.

8.5.9(h) Setpoint temperatures for mechanical equipment must be set to the default settings of 68 (heating) and 78 (cooling). Clients requiring special heating and cooling may have alternative values only when justification/documentation is included in the client file.

8.5.10 Ventilation Strategy for Cooling

8.5.10(a) "Cooling Season Strategy" input shall be set to "Natural Ventilation".

8.5.11 Mechanical Ventilation

8.5.11(a) Mechanical ventilation will be assessed (based on the CSD 540C and CSD 540D Forms) and installed during weatherization. Existing conditions will be modeled on the "Infiltration/Ventilation" page in REM/Design under the "Mechanical Ventilation System for IAQ" and are usually "Type: None".

8.5.12 Appliances and Lighting

8.5.12(a) The "Lights & Appliances Audit Summary" tab must be used.

8.5.12(b) For the following appliances and lighting sources, the default values listed below shall be applied as in Table D-17. To apply the defaults, select the "Use in Calculations" checkbox and select the "Set Lights & Appliances Defaults" button on the top right corner of the screen.

8.5.12(c) Update the default values for only the lights and appliances that will be upgraded (measures that are ADMs). Update these values based on the existing condition.

8.5.12(d) Many of these values can be set on the "RESENT" tab prior to switching to the "Audit" tab.

8.5.12(e) For any lights and appliances not included in the table below, leave the values at the default setting.

TABLE D-17: APPLIANCE AND LIGHTING VALUES

Appliance	Default Values
Lighting: Interior, Exterior or Garage (DOE ADM)	• When LED lighting is part of the work scope: – Quantity: Enter the quantity of bulbs. A new entry will need to be created for each type of existing bulb (incandescent, CFL, LED, etc.) – Rate: Enter the average wattage of the lighting. Select the units of "Watts" – Use: Enter the average hours/day the light(s) are in use. Select the units of "Hours/day" – An improvement will be added to the model to calculate the Measure SIR. • When LED lighting is not part of the work scope use default values.
Refrigerator (DOE ADM)	• When refrigerator replacement is an audited measure, the Measure SIR must be calculated within the energy audit. • At least 10% of replaced refrigerators under DOE WAP must be metered. All other refrigerators must use "Lookup Data" from the DOE WAP Refrigerator and Freezer Database at: https://www.energy.gov/scep/wap/articles/refrigerator-and-freezer-energy-rating-database-search-tool • When entering the metering or lookup data into the audit, enter the kWh/year of the existing refrigerator. – Rate: Enter the kWh/year. Select the units "kWh/use" – Use: Enter 1. Select the units "Uses/year" – An improvement will be added to the model to calculate the Measure SIR. • When refrigerator replacement is not part of the work scope, use the default value.
Dishwasher	• Energy Factor (EF) 0.46 • kWh/year entry will be "0" (zero) • Place setting capacity is "12" (standard) or "8" (compact)
Range/Oven	• Select the correct "Fuel" used for cooking. • If the range and oven use different fuels, select the dominant use fuel (usually the range). • If an Induction Range or Convection Oven, select the appropriate boxes.

TABLE D-17: APPLIANCE AND LIGHTING VALUES

Appliance	Default Values
Clothes Dryer	• REM/Design will auto-fill the Modified Energy Factor (MEF) field for the Dryer and Washer.
Clothes Washer	• "Capacity Cubic Ft" (washer tub capacity) will be auto-filled with a default value. • The "Electric Rate", "Gas Rate", and "Annual Gas Cost" will be auto-filled with default values.
Ceiling Fans	• Model with no ceiling fans in the home, i.e. input "0" (zero).

8.5.13 Solar Photovoltaics (PV)

8.5.13(a) All existing and active solar PV system specifications must be entered into the energy audit as the base case.

8.5.13(b) No specifications should be entered if the system is not existing or operational at the time of the audit.

8.5.14 SIR Calculation Methodology

8.5.14(a) When using REM/Design, the Measure SIRs and Dwelling SIR for ADMs will be calculated by the software. CSD requires that all SIRs calculated in REM/Design be calculated "Using DOE Methodology". This methodology can be selected under the Economic Factors button on the Improvement Analysis Criteria screen.

8.5.14(b) All energy efficiency measures in REM/Design and the cost to implement the measure must be carefully defined in the software. When calculating the cost to implement a measure, it shall only reflect the labor and materials needed to complete the measure.

8.5.14(c) Incidental repair costs must be tracked and reported separately in the audit.

8.5.14(d) No administrative costs shall be included in the SIR calculation.

8.5.14(e) This Dwelling SIR must be transferred to the CSD 710 form.

8.6. REM/Design & Building Model True-up with Actual Energy Bills

8.6.1 An energy usage true-up is not required for single-family buildings, mobile homes, or small multi-family audits with independent heating and/or cooling systems.

8.7. REM/Design Reports

8.7.1 CSD requires that each of the following energy audit reports be generated from REM/Design and stored in the client file (except as noted below).

8.7.1(a) CSD 710 Energy Audit and Priority List Checklist (DOE only)

8.7.1(b) REM/Design Building File Report (BFR) – Must be generated and saved from REM/Design

8.7.1(c) REM/Design Digital Building File (*.blg)

8.7.1(d) REM/Design Improvement Analysis Report (IAR) copies, as defined below:

8.7.1(d1) Measure Level (All): Includes all measures run in the software listed with separate Measure SIRs (measures with SIR ≥1.0 and those measures with an SIR <1.0).

- When fuel switching for H&S, at least two copies of this IAR will be required to show all measures at the actual fuel rates and when using the blended rates.

8.7.1(d2) Measure Level (Final): Includes the final work scope, measures with an SIR ≥1.0 and air sealing.

8.7.1(d3) Dwelling SIR: The SIR created by grouping all ADMs with an SIR ≥1.0 (includes a line item for any incidental costs). Note: Air sealing shall be included in the Dwelling SIR calculation, even if the Measure SIR <1.0.

8.7.2 Additional IARs are required:

8.7.2(a) If any partial leveraging measures were identified, the IARs must show the Measure SIRs of each individual measure at the full measure cost and at the partially leveraged measure cost (DOE investment).

8.7.2(a1) The CSD 710 form must include the name(s) of any other source that funded each partially leveraged measure.

8.7.2(b) When the energy audit justifies fuel switching for H&S, an IAR must show that net utility costs do not increase for the client after weatherization and the fuel switch.

8.7.2(b1) The IAR must show the final work scope, plus all cost-effective and non-cost effective fuel switching improvement(s) with their Measure SIRs, irrespective of funding source. Measures shall not be grouped for this IAR.

8.8. Quality Assurance Review—REM/Design Audits

8.8.1 To ensure accuracy and integrity of energy audits, and to assist service providers in improving the quality of audits, all energy audits are subject to review by CSD or a representative of CSD. There are two review levels: TIER 1 and TIER 2. All auditors/assessors begin at the TIER 1 level.

8.8.1(a) Auditors/assessors are required to submit all audits, including those where *no measures* were found to have an SIR ≥1.0.

8.8.2 CSD may, at its sole discretion, review any submitted energy audit for completeness and accuracy. Level of review will be determined on case-by-case basis by CSD staff and may require (re)submission of supporting documentation and/or site visit. The full energy audit submittal policy for REM/Design is provided below.

8.8.2(a) **TIER 1 Submittal**

8.8.2(a1) Tier 1 auditors/assessors must submit 100% of completed energy audits to CSD via the Local Agency Portal. Each audit submittal shall consist of the following:

- All reports listed in REM/Design Reports shall be submitted for each audit reviewed.
- Justification Images (See Justification Image Requirements for REM/Design Energy Audits)
- When fuel switching is proposed, a client fuel bill shall be submitted for each fuel type used in the home.

8.8.2(a2) CSD will review a *minimum* of 60% (3/5) of the first five audits from new agencies or new auditors/assessors within an agency.

8.8.2(a3) Upon successful completion of a minimum of three audits, with minor or no changes required, and at the sole discretion of CSD, the auditor/assessor will receive a letter from CSD documenting advancement to TIER 2 review status.

8.8.2(b) **TIER 2 Submittal**

8.8.2(b1) Tier 2 auditors/assessors must submit 100% of completed energy audits to CSD via the Local Agency Portal. Each audit submittal shall consist of the following:

- All reports listed in REM/Design Reports shall be submitted for each audit reviewed.
- When fuel switching is proposed, a client fuel bill shall be submitted for each fuel type used in the home.
- Although not required at the time of the initial submittal, CSD may request Justification Images on TIER 2 submissions at its discretion.

8.8.2(b2) Once an auditor/assessor has successfully advanced to TIER 2 status, CSD will review approximately 15% (1/7) of all audits submitted by each TIER 2 auditor/assessor.

8.8.2(c) "Notice of Approval" of all approved (reviewed and non-reviewed) audits submitted to CSD will be issued electronically within 3 business days of receipt of the required reports/documents listed in REM/Design Reports.

8.8.2(c1) If, during the quality assurance review, additional information is required prior to CSD approval, CSD will contact the agency electronically to request information to complete the review. This contact normally will occur within three business days of receipt of required reports/documents.

8.8.2(d) When an auditor/assessor is found to have submitted an energy audit that does not meet CSD energy audit standards, the auditor's/assessor's TIER 2 status will revert to TIER 1 technical review status.

8.8.3 Submittal of Audit Versions

8.8.3(a) For Tier 1 and Tier 2 auditors/assessors, all versions of energy audits must be submitted, including:

8.8.3(a1) Initial audit submittal

8.8.3(a2) Resubmittal(s), to address any changes to the audit based on CSD feedback

8.8.3(a3) Final audit submittal, to address one or more of the following:

- Changes in measure cost as defined in Measure Cost Calculations.
- Input of final duct or shell leakage readings, in lieu of estimated leakage used for the initial improvement analysis.
- Changes to the final work scope
- Any additional decisions related to full or partial measure leveraging

8.8.3(a4) Once all measures have been installed, any changes to the measure pricing or quantities must be re-submitted to CSD through the Local Agencies Portal.

8.8.4 Installation of Measures After Review

8.8.4(a) TIER 1: Installation of measures may begin immediately after notice of audit approval from CSD has been received.

8.8.4(b) TIER 2: Installation of audited ECMs with Measure SIRs ≥1.0 may begin immediately after the submittal process and need not wait for a notice of approval from CSD.

8.8.5 Small Multi-Family Audit Review

8.8.5(a) 100% of small multi-family energy audits will be reviewed by CSD due to increased complexity of modeling. These audits should be discussed with CSD prior to submittal to ensure conformance with current policy.

8.8.6 Partial Measure Leveraging Audit Review

8.8.6(a) Auditor status (Tier 1/Tier 2) is independent of the partial measure leveraging (PML) quality assurance reviews.

8.8.6(b) When an audit contains PML, the auditor/assessor must indicate "partial measure leveraging" in the audit submittal "Measure Leveraging" field. 100% of each auditor's initial audits will be reviewed by CSD or a CSD-authorized representative.

8.8.6(c) After CSD reviews and approves a minimum of three (3) energy audits demonstrating PML with minimal or no changes required of the auditor, and at the sole discretion of CSD, the auditor will be allowed to resume their Tier 1/Tier 2 auditor status for PML files.

8.8.7 Fuel Switching

8.8.7(a) 100% of energy audits which include fuel switching (ECM and/or H&S) will be reviewed by CSD.

9. TREAT ENERGY AUDIT PROTOCOL

9.1 Applies to:

- Small multi-family (5 – 24 units) with common heating and/or cooling, or common water heating using a non-storage system (i.e., boiler)

- Large multi-family (25+ units)

9.2. TREAT Energy Audit Procedure

9.2.1 Energy Modeling Software Requirements

9.2.1(a) TREAT is an energy audit software tool provided by Performance Systems Development and approved for CSD in its weatherization programs.

9.2.1(b) CSD requires the agencies or its energy audit subcontractor to use the latest available version of the TREAT software.

9.2.1(c) TREAT software-based energy simulations shall be conducted to determine the feasibility and cost effectiveness of all available ECMs.

9.2.2 TREAT Overview

9.2.2(a) TREAT will be used to estimate annual energy consumption and energy cost savings of potential measures for the above-defined multi-family buildings. All energy and cost savings results from the TREAT model must be verified against known conditions and usage profiles.

9.2.2(b) For qualifying multi-family buildings in the DOE WAP, H&S measures and GHW measures will be installed in accordance with Audit Path Measures.

9.2.2(c) A site-specific TREAT energy audit must be used to justify all ECMs, which may only be installed when cost-effective with an SIR of ≥1.0. Use of the Priority List to justify measure installation is not applicable to these housing types.

9.2.2(d) Multi-family buildings analyzed by the TREAT software are also eligible for common area measures and additional large multi-family heating and cooling appliances which must be cost justified by TREAT audit. An SIR of ≥1.0 is required in order for any of these ECMs to be installed in TREAT-eligible buildings.

9.2.3 Energy Audit Restrictions

9.2.3(a) A TREAT energy audit is part of the assessment and cannot be run after work has been installed to justify installation or recategorization of measures.

9.2.3(b) When a TREAT audit is conducted, the audit modeling must include the features of the whole building. TREAT audit models may not be used to justify measures for individual units located within a building complex.

9.2.4 On-Site Visit Preparation

9.2.4(a) It is recommended that the following items be addressed prior to arrival:

9.2.4(a1) Review the initial building assessment or intake report which establishes the building's eligibility to participate in the program. Verify that the accrual of benefits is sufficiently justified.

9.2.4(a2) Review 12-24 months of prior utility bills (including gas, electric, and water) to know annual utility cost by fuel type and seasonal variations.

9.2.4(a3) Identify a sampling of units that is representative of unit types, conditions, sizes, and locations.

9.2.4(a4) Arrange access to units to be reviewed with building representative and provide necessary formal notification of inspection.

9.2.4(a5) Verify availability of as-built drawings.

9.2.4(a6) Review any historical improvement data available.

9.2.4(a7) Review Operations & Maintenance records, logs, and protocols.

9.2.4(a8) Review existing mechanical equipment information as available.

9.2.4(a9) Verify availability of property representative with access to all portions of the property.

9.2.4(a10) Verify availability of Building Management staff familiar with the building facilities and history.

9.2.5 Scheduling A Site Visit and Tenant Notification

9.2.5(a) Tenant notification and scheduling of the site visits shall be the responsibility of the agency, auditor/assessor, and the property owner or its representative.

9.2.5(b) The auditor/assessor shall schedule the site visit(s) with the designated person(s) at a time that is convenient for the project contact person(s). To the extent possible, individual unit appointments should be coordinated so as to cause minimal disruption to the tenants and neighbors.

9.2.6 On-Site Visit Components

9.2.6(a) The on-site visit by the auditor/assessor is required to facilitate collection of all appropriate energy, water, and health and safety analyses, including sufficient information to complete an energy model.

9.2.6(b) The on-site visit also provides the opportunity to fully explain the DOE WAP process to the building representative, answer questions, and define mandatory participation policies. In addition, a qualified auditor/assessor shall complete the following tasks:

9.2.6(c) Project Interview

9.2.6(c1) The auditor/assessor shall interview at least one of the following designated person(s) prior to, or at the time of, the site visit:

- Property manager
- Maintenance director or maintenance staff
- Owner or owner representative

9.2.6(c2) The purpose of the interview(s) is to:

- Discuss project energy performance
- Discuss tenant comfort, health, and safety and agree on a tenant synopsis for the site visit
- Discuss any behavioral or other factors affecting energy performance (occupancy rates, tenant usage patterns, etc.)
- Discuss operations and maintenance procedures
- Address any other questions or concerns

9.2.6(c3) The interview shall include questioning on operations and maintenance issues and will address issues including, but not limited to, those identified in TREAT Energy Audit Report Requirements. If any project team member wishes their responses to remain confidential, the auditor shall respect those requests.

9.2.7 Safety and Code Observation

9.2.7(a) Each site visit shall address specific minimum health and safety checks. The following minimum health and safety checks shall be conducted and recorded in the Energy Audit Report or form as listed below:

9.2.7(a1) Note lead, asbestos, or other environmental hazards in the CSD 540 Assessment Form, based on age of building or location, and in conformance with the EPA RRP Rule, Department of Public Health, and CAL/OSHA Title 8 Standards.

9.2.7(a2) Assess mold and moisture present in unit and common area, documented on the CSD 540A Form.

9.2.7(a3) Note structural, electrical, and mechanical system issues in the CSD 540 Form.

9.2.7(a4) Conduct combustion Appliance Safety Testing on the CSD 700 Form Series.

9.2.8 Visual Inspection and Diagnostic Testing Protocols

9.2.8(a) The site visit shall require visual inspections and diagnostic testing of the building envelope, HVAC, combustion appliances, and lighting systems. Minimum visual and diagnostic testing criteria are provided in the CSD TRM Appendices A, B, and C. These documents provide the minimum required testing procedures for Combustion Appliance Safety, Duct Leakage Testing, and Shell Leakage Testing.

9.2.8(b) Shell leakage testing is required to be conducted on a representative sample number of units in accordance with CSD contracts, standards, and policy documents. Multi-family buildings of four stories and more are excluded from these sampling requirements.

9.2.8(c) Where the CSD standards do not address specific diagnostic tests applicable to the commercial systems, BPI standards for Multi-family Building Analyst and CEC HERS II standards shall apply. Where conflicts exist between these two standards, the most conservative standard shall apply.

9.2.8(d) BPI Multi-family Building Analyst standards are available for download at BPI's website (www.bpi.org). The California Title 24 Energy Efficiency Standards in use for HERS II are available for download at the Energy Commission's website at http://www.energy.ca.gov/title24.

9.2.8(e) The auditor/assessor shall identify any building information required to complete the energy and cost analysis. At a minimum, all relevant data listed in TREAT Energy Audit Report Requirements of this document shall be collected and applied in the energy modeling and analysis phase of the audit.

9.2.9 Health & Safety Versus ECM Replacement

9.2.9(a) For the TREAT energy audit, any common heating or cooling (and associated thermostats), and/or water heating appliance that has an identified H&S condition first requires an energy audit to determine if the appliance will be replaced as an energy efficiency upgrade as described in Audit Path Health & Safety (H&S) Measures.

9.2.9(b) These appliances have an established reimbursement rate for H&S repair or replacement, and no established measure maximum for energy efficiency upgrade (the maximum will be determined by the energy audit).

9.2.10 On-Site Unit Inspection Sampling Protocols

9.2.10(a) At least one in seven (1/7) of every unit type (defined as having same/similar floor plan), with representation from differing building floors and including all four building orientations, shall be inspected. In no case shall the inspection of units be <10% of total units.

9.2.10(b) The auditor/assessor will ensure that a discussion of unit sampling addresses special building circumstances that may result in an increased level of unit inspections and testing.

9.2.11 Renewable Energy

9.2.11(a) During the on-site visit, the auditor/assessor may also examine, evaluate, and propose to incorporate renewable energy opportunities including, but not limited to solar hot water.

9.2.11(b) Any existing renewable energy systems (wind, solar thermal, solar PV, fuel cell, etc.) shall be included in the audit analysis.

9.3. Energy Modeling and Analysis Process

9.3.1 An energy model of a multi-unit building's pre- and post-retrofit performance shall be completed using building plans, visual inspection data, and diagnostic data collected during the on-site visits.

9.3.2 Audit emphasis should be placed on the assumptions that have the most impact on estimated energy savings.

9.3.3 All major assumptions used to develop the energy model and analysis shall be clearly stated in the final report.

9.3.4 Equipment efficiencies for air conditioners and heat pumps can be derated based on the policy outlined in Derating Heating and Cooling Systems.

9.3.5 When certain building features are inaccessible and cannot be physically verified, default values from Title 24 for existing buildings shall be used as the conditions for the energy model and analysis.

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9.4. Utility Rates

9.4.5(a) Utility rates are used for documentation of historical energy charges, estimated monetary savings when energy efficient measures are implemented, and justification of energy savings measures based on SIR.

9.4.5(b) Model the building using the current local utility rate schedules as verified during the review of client utility bills to document historic energy costs and predictions of future energy costs accountable to the building owner or building tenant. When possible, include tiered rate structures, demand charges, time of use charges, and usage fees in the utility rate.

9.4.5(c) For purposes of determining SIR of each proposed ECM, the energy consultant shall model electricity and natural gas utility rates using the blended utility rates contained in Blended Utility Rates & Effective Useful Life (EUL) Inputs. These rates are based on statewide and utility-wide blended market rates.

9.5. TREAT Building Model True-up

9.5.1 Building model/energy use true-up is required for all whole-building projects where the TREAT energy audit is required.

9.5.1(a) The true-up must demonstrate that the building has been modeled correctly. The energy model shall be calibrated to actual utility billing data, based on master-metered data or aggregation of individual unit energy bills.

9.5.1(b) When individual bills are used, billing data shall be collected from at least 50% of qualified units. If this billing data minimum cannot be met for any reason, a waiver request shall be submitted to CSD, and an approval received, before audit work may proceed. Waivers can be requested from treat@csd.ca.gov.

9.5.2 Modeled baseline energy consumption shall be calibrated to monthly utility bills for a minimum of twelve months. The intent is to qualify the energy model by demonstrating similarity to the metered energy usage over a 12-month period.

9.5.2(a) The energy model estimates of electricity and natural gas should calibrate to actual monthly consumption to ±10%.

9.5.2(b) Typical Meteorological Year (TMY) 30-year average weather data can be used in lieu of actual year weather, which may be difficult to obtain.

9.5.3 Any adjustments made to the building description inputs used to calibrate the simulated building to actual energy usage shall be justified with explicit, transparent information and documented in the "Model Calibration" section of the TREAT Energy Audit Report.

9.5.4 In the event that the building is served by more than one meter, the bills for those meters shall be aggregated against the building calculated consumption as a whole.

9.6. Savings to Investment Ratio (SIR) Calculations

9.6.4(a) When using TREAT, the individual Measure SIRs and Dwelling SIR shall be calculated automatically by the software.

9.6.4(a1) Measure cost calculations shall be handled in accordance with the policies of ADM Cost Calculations.

9.6.4(a2) Measure buy-down shall be addressed in accordance with Measure Buy-down.

9.6.4(a3) Effective Useful Life shall be calculated in accordance with TREAT EUL.

9.6.4(a4) "Measure SIR" and "Dwelling SIR" shall be calculated in accordance with Developing an Audit Work Scope.

9.7. TREAT Energy Audit Report Requirements

9.7.1 The following format is provided as a suggested template for the TREAT energy audit report generation. The template identifies the minimum scope and level of detail that is to be included in all reports submitted to CSD.

9.7.2 Programmatic requirements of the DOE WAP may be addressed in an addendum to the submittal package but is not necessarily part of an energy audit report prepared by an energy consultant.

9.7.3 ENERGY AUDIT REPORT FORMAT

9.7.3(a) **Section 1: Executive Summary**

9.7.3(a1) Summarize the main points of the project. When possible, labeled tables and graphs should be used to present data.

9.7.3(a2) General Overview

- Project Description
  - Location, building configurations
  - Building sizes, # units and common areas description, utilities, energy cost summaries
  - Statement of eligibility: verify eligibility of the property
    - Income Eligibility Criteria
      - Property appears on HUD/DOE or USDA/DOE eligibility list; or
      - At least 66% of the units in the building are income qualified
    - Building Eligibility Criteria
      - Recent building upgrades have not already been performed
    - Accrual of benefits
      - Measures will result in reduction of tenants' energy costs; or
      - Demonstrated benefit to tenant as outlined in DOE WPN 22-12 if tenant energy cost not directly paid by tenant
    - Maximum Allowable Benefit for Property
      - Identification of maximum allowable benefit for property based on number of units times the per-unit funding limit
  - Summary of site visit (dates, interviews, project team)
- Description of any special analysis or conditions
- Historical energy use summary
- Recommended measures summary
  - Name of measure
  - Cost of measure
  - Recommended improvement package documentation arranged in descending order of SIR
    - Total Cost
    - Total Dwelling SIR
    - Total CSD Weatherization Program Contribution
    - Total Owner Contribution
    - Total Contribution of non-federal funds used for measure "buy-down"
- Measures evaluated but not recommended
  - Description
  - Cost
  - SIR
  - Documentation of non-feasibility (already installed, not feasible, etc.)
- Total and measure specific projected energy use summary after proposed measure package implementation

9.7.3(b) **Section 2: Existing Conditions**

9.7.3(b1) The narrative section of the report should guide the reviewer through the steps taken to conduct the energy audit and analysis. When applicable, labeled photos shall be included as defined below.

9.7.3(b2) Existing Building Conditions

- Site layout

- Number of units
- Occupancy
- Building construction types
- Number of stories
- Year built
- Total building area identified by use (residential community/common, commercial)
- History of previous retrofits or rehabs
- Other significant building features
- Photos as needed to document existing building conditions.

9.7.3(b3) Existing building components and energy systems

- Building envelope
  - Wall construction and insulation
  - Roof construction and insulation
  - Types of windows found on each face of building
  - Photos, as relevant
- Common area lighting
  - Fixture type
  - Lamp and ballast type
  - Quantity of lamps per fixture
  - Fixture wattage
  - Quantity of fixtures
  - Spaces served
  - Lighting control
  - Annual/daily hours used
  - Photos, as relevant
- Water fixtures
  - Common area fixtures
    - List all fixtures using hot water (e.g., common lavatories, laundry, kitchen, etc.)
    - Water usage for each fixture, as relevant
    - Code requirements for each fixture
    - Photos, as relevant
- Unit fixtures
  - List all fixtures using hot water (e.g., lavatory, laundry, kitchen)
  - Water usage for each fixture, as relevant
  - Code requirements for each fixture
  - Photos, as relevant
- HVAC systems
  - Heating system description
    - Make, model, age, capacity, and measured characteristics of all heating equipment
    - Characterization of distribution system
    - Photos of relevant equipment
  - Cooling system description
    - Make, model, age, capacity, and measured characteristics of all cooling equipment

        - Characterization of distribution system
        - Photos of relevant equipment
    - Water heating description
        - Make, model, age, capacity, and measured characteristics of all water heating equipment
        - Characterization of distribution system, regardless of type (i.e., standard storage/tank, boiler, etc.)
        - Photos of relevant equipment
- Forced ventilation systems
    - Make, model, age, capacity, and measured characteristics of all heating equipment
    - Ability of ventilation system to provide adequate ventilation
    - Photos of relevant equipment
- Annual utility bill breakdown
    - Monthly utilities breakdown for all applicable fuels

9.7.3(c) **Section 3: Evaluated Measures**

9.7.3(c1) Recommended energy efficiency measures

- Short narrative of each recommended energy efficiency measure should include all replacement measure parameters.
- Recommended replacement specifications
- Installed cost summary of measure
- Projected annual energy and monetary savings
- Measure SIR
- Measure EUL

9.7.3(c2) Energy efficiency measures <u>not</u> recommended

- Short narrative of each measured investigated and reasons why it is not recommended.

9.7.3(c3) Recommended health and safety measures

- Short narrative of recommended health and safety measures including description, frequency, and cost.

9.7.3(d) **Section 4: Cost Benefit Analysis**

9.7.3(d1) Table of all reviewed measures in order of decreasing SIR:

- Baseline measure description
- Improvement measure description
- Total cost of measure
- Portion of non-federal buy down funds for each measure
- Baseline measure fuel usage
- Fuel usage of proposed measure
- Measure savings
- Measure EUL
- Measure SIR

9.7.3(d2) Package cost analysis

- Total cost of all improvements
- Portion of non-federal buy down funds for each measure
- Baseline package fuel usage
- Fuel usage of proposed work scope
- Dwelling SIR

9.7.3(e) **Section 5: Analysis**

9.7.3(e1) Analysis overview

- Overview of energy simulation tool(s) used and order of operations
- Summary of the approach, and detailed calculations, used in any exceptional calculations
- True-up of base model energy consumption to measured usage

9.7.3(e2) Utility analysis and end use breakdown

- Describe the applicable end uses for each type of fuel at the project and show a breakdown of the annual energy usage and energy cost by fuel type. The auditor/assessor shall:
  - Graph energy usage for each fuel type for a minimum of 12 months.
  - Review the utility rate structure to determine if it seems appropriate for the project.
  - Make a recommendation for further investigation if the auditor/assessor finds that the rate structure does not match the utility data.

9.7.3(e3) Source of information

- Briefly describe all sources of information used to inform the analysis, including:
  - Source and scope of utility billing data supplied to the auditor/assessor including the data source, the duration in months that the data covers, and whether the auditor/assessor received copies of the actual utility bills or electronic interval data
  - Construction cost information used in economic analysis
  - Whether building plans or site verified data were used in the analysis
  - Any discrepancies between plans and verified conditions
  - Utility rate and schedules
  - Source of deemed energy savings

9.7.3(e4) Energy Model Inputs and Assumptions

- State any assumptions used when analyzing energy and water utility data.
- Reference the CSD 696 Multi-Family Energy Audit Bid Request Form as well as the building simulation program input file.

9.7.3(e5) Full Documentation Energy Model Inputs and Outputs

- TREAT Reports
  - Actual Model to Billing Report
  - Base Building Data Report
  - Model Energy Comparison Report
  - Base Load Reports
    - Base Building
    - Recommended Package
  - Improvement Package Report

9.7.3(f) **Section 6: Qualifications and Certifications**

9.7.3(f1) Names and qualifications (as applicable) of parties responsible for following:

- Project management
- Energy auditing and analysis
- Building assessment (if different from the auditor/assessor)
- Construction cost estimating (if different from above)

9.7.3(g) **Section 7: Representation**

9.7.3(g1) Include a representation from an officer or owner of the firm conducting the Audit stating that the Audit meets the DOE WAP audit specifications without exception, and that the final Audit Report has been reviewed for quality assurance purposes by a principal or officer of the firm.

9.7.3(g2) The TREAT energy audit submittal checklist is provided in Table D-18 to assist the auditor/assessor in the preparation of the total audit submittal.

TABLE D-18: TREAT ENERGY AUDIT SUBMITTAL CHECKLIST

Submittal Package	Compliant? Yes	No
Includes TREAT files		
General Overview		
Report is complete and organized		
Executive summary includes recommended measure package organized by descending SIRs		
Measure package cost and SIR clearly identified		
Health and safety measures clearly identified		
Consistent information used throughout report		
Report demonstrates property eligibility and sufficient funding available based on number of qualified units		
Site Evaluation		
Includes names of the auditor/assessor and site representatives interviewed		
Building size and occupancy reported		
Sufficient description building envelope including windows, walls, roof, etc.		
At least 1/7 of each unit type inspected		
At least 10% of total units inspected		
Comprehensive inventory of existing lighting, water heating, space heating and space cooling equipment, etc.		
Comprehensive inventory of existing hot water fixtures (lavatories, showers, sinks, bathtubs, water closets)		
Sufficient detail of existing heating equipment		
Sufficient detail of existing cooling equipment		
Sufficient detail of existing water heating equipment		
Sufficient detail of existing ventilation equipment		
CAS testing performed per CSD general policy		
Environmental Hazard testing performed per CSD Health & Safety policy		
12-24 months of utility bills included to verify fuel usage and cost		
Analysis		
TREAT analysis used for calculations		
TREAT input values consistent with data collected during site visit		
Sample calculations provided for analysis performed outside of TREAT		

TABLE D-18: TREAT ENERGY AUDIT SUBMITTAL CHECKLIST

Submittal Package	Compliant? Yes	No
Projected energy usage true-up to utility bills performed		
Projected energy usage is reasonable with respect to industry standards		
All savings calculations are reasonable and within industry standard ranges (Note: When savings calculations are outside of expected ranges, TREAT input files or other means may be reviewed to verify accuracy and reasonable assumptions, to ensure reasonable savings.)		
All measure EULs are within industry standard ranges		
All SIR calculations are executed properly		
Recommended Measures		
All measures listed in measure package are allowed measures		
Total requested funds do not exceed average maximum per unit		
Total Dwelling SIR ≥1.0 regardless of funding source		
Verifiable source of any non-federal funds used to implement package		
All measures described with enough detail to justify measure feasibility		

9.8. Quality Assurance Review—TREAT Audits

9.8.1 CSD reviews all TREAT energy audit packages and their components to ensure that only cost-effective ECMs have been identified. Through the review process, if TREAT audit results are found to not be defensible based on information from the site visit and/or via the audit measure calculations, the TREAT model must be re-evaluated.

9.8.2 100% of TREAT energy audits must be submitted and reviewed by CSD for accuracy and completeness. Agencies and auditors shall also be required to include with their audit submittals any audits where no measures are found to have an SIR of ≥1.0.

9.8.3 Questions about data collection or the modeling process should be directed to CSD's third-party representative at treat@csd.ca.gov for assistance. Due to the complex nature of these energy audits, questions about the review process will be handled on a case-by-case basis, where the reviewer will provide direct agency mentoring to the auditor/assessor who submitted the audit.

9.8.4 100% of the TREAT audits submitted by agencies to CSD will be sent to DOE for review and approval by the DOE project officer. All TREAT audits that will apply DOE funds (in any amount) must be approved by DOE prior to the start of work. Approvals will be on a case-by-case basis.

9.8.5 The following process will be applied to all submitted TREAT energy audits.

9.8.5(a) The auditor/assessor will run an initial audit with all potential measures identified that might be installed.

9.8.5(b) The auditor/assessor will submit the draft narrative report, scope of work, energy audit documentation, and "TPG" report file to the Local Agency Portal. A CSD third-party representative will review these initial components to ensure that all potential measures are correctly identified. During this review, the reviewer will:

9.8.5(b1) Review bill disaggregation compared to the base model

9.8.5(b2) Review modeling parameters of major mechanical equipment

9.8.5(b3) Check agreement between documented conditions and software

9.8.5(b4) Verify reasonable human factors (base case) are assumed

9.8.5(b5) Analyze measure assumptions

9.8.5(b6) Evaluate external calculations

9.8.5(b7) Compare EULs used against those listed in TREAT EUL.

9.8.5(c) If there are questions on specific measures, CSD or its representative may request additional detail from the auditor/assessor.

9.8.5(d) Once the audit has been approved on technical merit, CSD will generate a Preliminary Approval Letter. Upon receipt, the agency may begin the procurement process (if subcontracting work).

9.8.5(d1) The Preliminary Approval Letter will define the approved measures including the approved energy savings and EULs. Measure cost is not included in this letter as actual measure costs may change during procurement.

9.8.6 After final bids have been procured by the agency for all potential measures, the CSD 871 Pre-Weatherization Scope of Work/Sources & Uses (SOW/S&U) Worksheet must be completed and submitted to the Local Agency Portal in accordance with the form instructions provided in the electronic file. The spreadsheet utilizes information provided in the CSD's Energy Audit Approval letter and the final bid costs to identify the measure energy savings, measure cost, EUL, and SIR.

9.8.7 For measures with an SIR <1.0, where external non-federal funds are applied, the amount and source of external funds will be identified. This spreadsheet must be approved before any measures may be installed.

9.8.8 In addition to the CSD 871 Pre-Weatherization SOW/S&U Spreadsheet, submit these documents concurrently:

9.8.8(d1) Description and justification for any specific ADMs and Health & Safety measures being requested, including line items and cost allocations.

9.8.8(d2) Demonstration of the benefits of weatherization will accrue to the resident of the property if master-metered (to be kept on file at agency).

9.8.8(d3) State Historic Preservation Office (SHPO) Review—Verification that property has been submitted for SHPO review (if required) and approved for all installed measures (to be kept on file at agency).

9.8.8(a) The SOW/S&U Worksheet submittal will initially be reviewed by CSD's third-party representative, then submitted to the DOE WAP Project Officer for approval.

9.8.8(b) When DOE approval is received, a Final Scope of Work Approval Letter will be issued by CSD in coordination with its third-party representative. Once this letter is received, measure installations may begin.

9.8.8(c) After the entire multi-family job is completed, a CSD 872 Post-Weatherization SOW/S&U Worksheet shall be submitted to the Local Agency Portal. The worksheet shall be updated with all actual ECM costs, and final Measure SIRs and Dwelling SIR. All audits returned for correction by the third-party reviewer will be reviewed again upon re-submittal, to the extent deemed necessary by the reviewer.

10. NON-ENERGY IMPACTS AND BLENDED UTILITY RATES

10.1. Non-Energy Impacts (NEIs)

10.1.1 NEIs identify benefits for weatherization recipients beyond the energy cost savings gained from installing energy efficient measures. NEIs include benefits such as: reduced emissions and related environmental costs, water savings, comfort and productivity improvement and reduced risk of utility service disruptions or price spikes.

10.1.2 Including NEIs in the DOE WAP increases the cost-effectiveness of WAP measures, and also may increase the number of measures that can be installed with DOE WAP funds.

10.1.3 To address the long-term impacts of carbon emissions, CSD has adopted the Social Cost of Carbon (SCC) NEI as a fuel cost modifier. There is a fuel cost modifier for each fuel type as detailed in Table D-19.

TABLE D-19: NON-ENERGY IMPACT MODIFIERS	
Fuel Type	Social Cost of Carbon Fuel Cost Modifier
Electric (per kWh)	$ 0.0199
Natural Gas (per therm)	$ 0.2804
Liquid Propane (per gallon)	$ 0.3048
Heating Oil (per gallon)	$ 0.5401

10.2. Blended Utility Rates

10.2.1 REM/Design and TREAT audits are modeled using electricity and natural gas blended utility rates. The utility blended rates provided below will be updated annually in accordance with the DOE WAP policy. CSD will notify agencies of the updated rates and will provide a transition period by which the new rates must be applied.

10.2.2 Rates are based on California utility-wide blended market rates. Applicable monthly service charges are factored into these rates.

10.2.2(a) Table D-20 shows the blended electric rate for the major electric utilities.

10.2.2(b) Table D-21 shows the blended natural gas rate for the major gas utilities.

10.2.2(c) If a utility is not explicitly listed in Table D-20 or Table D-21, use the "All Other Utilities" values.

10.2.3 For the utilities listed in Table D-20 and Table D-21, the value in the column "Blended Rates + SCC Fuel Cost Modifier" must be used when calculating the SIRs of ADMs.

10.2.3(a) For all other heat source fuel types such as wood, propane, fuel oil, kerosene, and others, fuel costs shall be based on available billing data (actual billing rates) on a case-by-case basis.

10.2.3(b) For dwelling using other heat source fuel types, the SCC fuel cost modifier may be added to the actual billing rate.

10.2.4 Fuel switching projects must continue to use actual customer fuel costs and cannot include the SCC fuel cost modifier.

TABLE D-20: BLENDED ELECTRIC RATE BY UTILITY

Utility	Electric Blended Rate ($/kWh)	Blended Rate + SCC Fuel Cost Modifier ($/kWh)
PG&E	$ 0.310	$ 0.330
SCE	$ 0.246	$ 0.266
SDG&E	$ 0.379	$ 0.399
LADWP	$ 0.222	$ 0.242
SMUD	$ 0.167	$ 0.187
Burbank MUD	$ 0.160	$ 0.180
Glendale Water and Power	$ 0.233	$ 0.253
Pasadena Water and Power	$ 0.212	$ 0.232
Imperial Irrigation District	$ 0.156	$ 0.176
All Other Utilities	$ 0.247	$ 0.267

TABLE D-21: BLENDED NATURAL GAS RATE BY UTILITY

Utility	Natural Gas Blended Rate ($/therm)	Blended Rate + SCC Fuel Cost Modifier ($/therm)
PG&E	$ 2.15	$ 2.43
SCG	$ 1.79	$ 2.07
SDG&E	$ 1.94	$ 2.22
All Other Utilities	$ 1.94	$ 2.22

11. EFFECTIVE USEFUL LIFE (EUL) INPUTS

11.1. REM/Design and Priority List Maximum EUL

11.1.1 For ADM calculations, the maximum Effective Useful Life (EUL) of ADMs shall be determined using values listed in Table D-22 for the REM/Design energy audit. In the event that a proposed EUL would exceed those listed below, justification must be provided in writing for review and approval by CSD before the measure will be installed.

TABLE D-22: EULS OF AUDIT-DRIVEN MEASURES

Measure Type	Audit-Driven Measures	EUL (in years)
Building insulation	Attic insulation: blown in and batt	30
Building insulation	Attic insulation: all other types	20
Building insulation	Floor insulation: loose and batt types installed in fully en-closed air-tight cavities, and rigid insulation	30
Building insulation	Floor insulation: all other types including loose-fill and batt not installed in fully enclosed air-tight cavities	20
Building insulation	Kneewall insulation: loose and batt types installed in fully enclosed air-tight cavities, and rigid insulation	30
Building insulation	Kneewall insulation: all other types including loose and batt types not installed in fully enclosed air-tight cavities	20
Building insulation	Wall insulation: dense pack insulation, rigid insulation and full-cavity batt insulation in fully enclosed air-tight cavities	30
Building insulation	Wall insulation: all other types	20
Ducts/infiltration	Air sealing	10
Ducts/infiltration	Duct sealing and repair	10
Doors and windows	Door replacement	20
Doors and windows	Window replacement	20
HVAC systems	Heating system replacement: fossil fuel fired furnaces and boilers, standard and condensing	20
HVAC systems	Heating system replacement: all other heating systems except heat pumps	18
HVAC systems	Air conditioner replacement	15
HVAC systems	Evaporative cooler	15
HVAC systems	Heat pump replacement: ducted and non-ducted	15
HVAC systems	Programmable thermostat	15

TABLE D-22: EULS OF AUDIT-DRIVEN MEASURES

Measure Type	Audit-Driven Measures	EUL (in years)
Baseloads	LED lighting	15
Baseloads	Showerheads	15
Baseloads	Refrigerator replacement	15
Baseloads	Water heater replacement: gas or electric	13
Baseloads	Water heater replacement: heat pump	15

11.2. TREAT EUL

11.2.1 The EULs utilized in Table D-23 below are the DOE-approved maximum useful lives of these measures and are to be used in the TREAT energy audit. If the auditor/assessor recommends EULs exceeding the DOE-approved maximums, justification must be provided and is subject to review prior to the start of any work.

TABLE D-23: EULS FOR TREAT-AUDITED MEASURES

Measure Type	Measure Name	Life (in years)*
Building insulation	Attic insulation: blown in and batt	30
Building insulation	Attic insulation: all other types	20
Building insulation	Sillbox insulation	20
Building insulation	Foundation wall insulation	20
Building insulation	Slab insulation	20
Building insulation	Floor insulation: loose and batt types installed in fully enclosed air-tight cavities, and rigid insulation	30
Building insulation	Floor insulation: all other types including loose and batt not installed in fully enclosed air-tight cavities	20
Building insulation	Wall insulation: dense pack insulation, rigid insulation and full-cavity batt insulation in fully enclosed air-tight cavities	30
Building insulation	Wall insulation: all other types	20
Building insulation	Kneewall insulation: loose and batt types installed in fully enclosed air-tight cavities, and rigid insulation	30
Building insulation	Kneewall insulation: all other types including loose and batt types not installed in fully enclosed air-tight cavities	20
Building insulation	Duct insulation†	20
Building insulation	White roof coating†	7
Building insulation	Radiant barrier †	15
Ducts/infiltration	Whole house air sealing	10
Ducts/infiltration	Duct sealing and repair	10
Doors and windows	Window replacement	20
Doors and windows	Door replacement	20

TABLE D-23: EULS FOR TREAT-AUDITED MEASURES

Measure Type	Measure Name	Life (in years)*
HVAC systems	Thermal vent damper	10
HVAC systems	Electric vent damper †	10
HVAC systems	Intermittent Ignition Device (IID) †	10
HVAC systems	Electric vent damper and IID †	10
HVAC systems	Flame retention burner †	10
HVAC systems	Heating system replacement: fossil fuel fired furnaces and boilers†, standard and condensing	20
HVAC systems	Heating system replacement: all other heating systems except heat pumps	18
HVAC systems	Smart/programmable thermostat	15
HVAC systems	Air conditioner replacement	15
HVAC systems	Evaporative cooler	15
HVAC systems	Heat pump replacement	15
Baseloads	Lighting retrofit: LED	30,000 hours
Baseloads	Lighting retrofit: halogen †	4,000 hours
Baseloads	Refrigerator replacement	15
Baseloads	Water heater tank insulation	13
Baseloads	Water heater pipe insulation	13
Baseloads	Low flow showerhead†	15
Baseloads	Water heater replacement: gas or electric	13
Baseload	Water heater replacement: heat pump	15
Baseloads	Water heater setpoint reduction†	13

* Except where otherwise noted.
† Measures that are not currently incorporated into the CSD measure list for small multi-family buildings with common systems or large multi-family buildings may be considered for incorporation into the TREAT audit; however, an approved CSD waiver would be required.

12. PRIORITY LIST TABLES

12.1 Priority List tables, with minimum specifications, are included for single-family, mobile home and multi-family in Table D-24, Table D-25, and Table D-26 respectively.

TABLE D-24: MINIMUM SPECIFICATIONS FOR SINGLE-FAMILY PRIORITY LIST

Single-Family Priority List *Measures must be installed in order as listed below.*
Mandatory Measures *Mandatory measures may only be skipped if physically impossible to install - regardless of funding source.*
1. Health and safety measures *When DOE-Specific feasibility criteria are met the following may be installed: CO alarms, smoke alarms, CVA venting, kitchen exhaust, lead-safe weatherization, LHR-H&S support, and mechanical ventilation.*

TABLE D-24: MINIMUM SPECIFICATIONS FOR SINGLE-FAMILY PRIORITY LIST

Single-Family Priority List *Measures must be installed in order as listed below.*
2. LED bulbs *Replace all existing thread-based incandescent, halogen or compact fluorescent lighting used for a minimum of one hour per day.*
3. Infiltration reduction *Follow shell sealing procedures defined in TRM Appendix C and in the CSD 704 instructions.* *Apply the Target value of 1 CFM/sq. ft. of conditioned floor area.*
4. Ducting repair and sealing *Follow duct sealing procedures defined in TRM Appendix B. Title 24 (1/1/2023) requirements apply.*
5. Duct insulation *Insulate ducts located outside of the thermal boundary to R-8. Insulate to R-12 if exposed to the outdoors.*
6. Ceiling insulation *Insulate all accessible attics based on Title 24 requirements (up to R-49). When required by the local jurisdiction, sealing of the attic floor and installation of IC-rated fixtures or approved cover also must be installed.*
7. Wall insulation *When no insulation exists, insulate wall cavities to capacity with dense pack insulation to a minimum R-13 for 2x4 framing, and R-19 for 2x6 framing.*
8. Floor insulation ***(for homes with propane or oil-fired primary heat)*** *When no insulation is existing, insulate floors to R-30 or to full joist capacity. Installation of insulation must include complete ground moisture barrier over any exposed dirt floor.*
Optional Measures *Optional measures may only be installed if all other applicable mandatory measures are also installed.*
9. Faucet aerators *Replacement aerator must be ≤ 1.8 GPM in a kitchen and ≤ 1.2 GPM in a bathroom at 60 psi.*
10. Showerheads ***(low-flow, handheld, thermostatic)*** *Replacement showerhead must be ≤ 1.8 GPM at 80 psi.*
11. Water heater insulation *Insulation minimum of R-11.*
12. Water heater pipe insulation *Insulate the first 6' of cold-water lines nearest the water heater and any accessible hot water lines to minimum one inch or minimum R-7.7 based on pipe diameter.*
13. Refrigerators *Refrigerator replacement as justified by the SIR calculated using the CSD 540E form.*
14. Central heat pump ***(to replace primary ducted electric resistance FAU and AC combo)*** *Heat pump (split system or package unit) must be a minimum 15.2 SEER2 / 7.8 HSPF2. Includes an EC air handler motor and a programmable thermostat.*
15. Mini-split heat pump ***(to replace primary non-ducted electric resistance heat and non-ducted AC)*** *Mini-split heat pump must be a minimum 19 SEER2 / 10 HSPF2. Includes a programmable thermostat.*
16. Window/wall AC ***(primary and manufactured pre-2014)*** *Replacement window/wall AC must be minimum 12 combined EER or higher and of the same or lesser BTU capacity.*

TABLE D-25: MINIMUM SPECIFICATIONS FOR MOBILE HOME PRIORITY LIST

Mobile Home Priority List *Measures must be installed in order as listed below.*
Mandatory Measures *Mandatory measures may only be skipped if physically impossible to install - regardless of funding source.*
1. Health and safety measures *When DOE-Specific feasibility criteria are met the following may be installed: CO alarms, smoke alarms, CVA venting, kitchen exhaust, lead-safe weatherization, LHR-H&S support, and mechanical ventilation.*
2. LED bulbs *Replace all existing thread-based incandescent, halogen or compact fluorescent lighting used for a minimum of one hour per day.*
3. Infiltration reduction *Follow shell sealing procedures defined in TRM Appendix C and in the CSD 704 instructions.* *Apply the Target value of 1 CFM/sq. ft. of conditioned floor area.*
4. Ducting repair and sealing *Follow duct sealing procedures defined in TRM Appendix B. Title 24 (1/1/2023) requirements apply.*
5. Ceiling insulation *Fill ceiling to R-49 or to capacity with blown insulation, whichever is less.*
Optional Measures *Optional measures may only be installed if all other applicable mandatory measures are also installed.*
6. Replace single-paned metal-framed windows ***(for homes with propane or oil-fired primary heat)*** *Low-E double-paned windows must have a U-value of 0.30 or less. Single pane windows with storm windows are not feasible for replacement.*
7. Faucet aerators *Replacement aerator must be ≤ 1.8 GPM in a kitchen and ≤ 1.2 GPM in a bathroom at 60 psi.*
8. Showerheads ***(low-flow, handheld, thermostatic)*** *Replacement showerhead must be ≤ 1.8 GPM at 80 psi.*
9. Water heater insulation *Insulation minimum of R-11.*
10. Water heater pipe insulation *Insulate the first 6' of cold-water lines nearest the water heater and any accessible hot water lines to minimum one inch or minimum R-7.7 based on pipe diameter.*
11. Refrigerators *Refrigerator replacement as justified by the SIR calculated using the CSD 540E form.*
12. Window/wall AC ***(primary and manufactured pre-2014)*** *Replacement window/wall AC must be minimum 12 combined EER or higher and of the same or lesser BTU capacity.*

TABLE D-26: MINIMUM SPECIFICATIONS FOR MULTI-FAMILY PRIORITY LIST

Multi-Family Priority List *Measures must be installed in order as listed below.*
Mandatory Measures *Mandatory measures may only be skipped if physically impossible to install - regardless of funding source.*
1. Health and safety measures *When DOE-Specific feasibility criteria are met the following may be installed: CO alarms, smoke alarms, CVA venting, kitchen exhaust, lead-safe weatherization, LHR-H&S support, and mechanical ventilation.*
2. LED bulbs *Replace all existing thread-based incandescent, halogen or compact fluorescent lighting used for a minimum of one hour per day.*
3. Infiltration reduction *Follow shell sealing procedures defined in TRM Appendix C and in the CSD 704 instructions.* *Apply the Target value of 1 CFM/sq. ft. of conditioned floor area.*
4. Ducting repair and sealing *Follow duct sealing procedures defined in TRM Appendix B. Title 24 (1/1/2023) requirements apply.*
5. Duct insulation *Insulate ducts located outside of the thermal boundary to R-8. Insulate to R-12 if exposed to the exterior.*
6. Ceiling insulation *Insulate all accessible attics based on Title 24 requirements (up to R-49). When required by the local jurisdiction, sealing of the attic floor and installation of IC-rated fixtures or approved cover also must be installed.*
7. Wall insulation *When no insulation exists, insulate wall cavities to capacity with dense pack insulation to a minimum R-13 for 2x4 framing, and R-19 for 2x6 framing.*
Optional Measures *Optional measures may only be installed if all other applicable mandatory measures are also installed.*
8. Faucet aerators *Replacement aerator must be ≤ 1.8 GPM in a kitchen and ≤ 1.2 GPM in a bathroom at 60 psi.*
9. Showerheads ***(low-flow, handheld, thermostatic)*** *Replacement showerhead must be ≤ 1.8 GPM at 80 psi.*
10. Water heater insulation *Insulation minimum of R-11.*
11. Water heater pipe insulation *Insulate the first 6' of cold-water lines nearest the water heater and any accessible hot water lines to minimum one inch or minimum R-7.7 based on pipe diameter.*
12. Refrigerators *Refrigerator replacement as justified by the SIR calculated using the CSD 540E form.*
13. LED tube lighting *Replace fluorescent tube lighting with LED.*
14. Central heat pump ***(to replace primary ducted electric resistance FAU and AC combo)*** *Heat pump (split system or package unit) must be a minimum 15.2 SEER2 / 7.8 HSPF2. Includes an EC air handler motor and a programmable thermostat.*
15. Mini-split heat pump ***(to replace primary non-ducted electric resistance heat and non-ducted AC)*** *Mini-split heat pump must be minimum 19 SEER2 / 10 HSPF2. Includes a programmable thermostat.*

TABLE D-26: MINIMUM SPECIFICATIONS FOR MULTI-FAMILY PRIORITY LIST

Multi-Family Priority List *Measures must be installed in order as listed below.*
16. Central heat pump ***(to replace primary central heat pump manufactured pre-2006)*** *Heat pump (split system or package unit) must be a minimum 15.2 SEER2 / 7.8 HSPF2. Includes an EC air handler motor and a programmable thermostat.*
17. Window/wall AC ***(primary and manufactured pre-2014)*** *Replacement window/wall AC must be minimum 12 combined EER or higher and of the same or lesser BTU capacity.*

13. CONVERSION TABLES FOR SEER2, EER2, AND HSPF2

13.1 If an appliance efficiency is not listed below that is needed, contact the CSD Technical Hotline at Wx.Hotline@csd.ca.gov.

13.2. Split System Air Conditioners

TABLE D-27: SPLIT SYSTEM AIR CONDITIONER, **<45,000 BTU/HOUR**

SEER2	SEER	EER2	EER
12.4	13.0	11.2	11.7
13.3	14.0	11.5	12.0
14.3	15.0	11.7	12.2
15.3	16.0	11.9	12.4
16.2	17.0	12.1	12.6
17.2	18.0	12.3	12.8
18.1	19.0	12.5	13.0
19.1	20.0	12.7	13.2
20.0	21.0	12.8	13.4
21.0	22.0	13.0	13.6
21.9	23.0	13.2	13.8
22.9	24.0	13.4	14.0
23.8	25.0	13.6	14.2

TABLE D-28: SPLIT SYSTEM AIR CONDITIONER, **≥45,000 BTU/HOUR**

SEER2	SEER	EER2	EER
12.4	13.0	9.8	10.2
13.3	14.0	11.2	11.7
14.3	15.0	11.5	12.0
15.2	16.0	11.7	12.2
16.2	17.0	11.9	12.4
17.1	18.0	12.1	12.6
18.1	19.0	12.2	12.8

TABLE D-28: SPLIT SYSTEM AIR CONDITIONER, ≥45,000 BTU/HOUR

SEER2	SEER	EER2	EER
19.0	20.0	12.4	13.0
20.0	21.0	12.6	13.2
20.9	22.0	12.8	13.4
21.9	23.0	13.0	13.6
22.8	24.0	13.2	13.8
23.8	25.0	13.4	14.0

13.3. Split System Heat Pumps

TABLE D-29: SPLIT SYSTEM HEAT PUMP

SEER2	SEER	HSPF2	HSPF
12.4	13.0	7.5	8.8
13.3	14.0	7.7	9.0
14.3	15.0	7.8	9.2
15.3	16.0	8.0	9.4
16.2	17.0	8.2	9.6
17.2	18.0	8.4	9.8
18.1	19.0	8.5	10.0
19.1	20.0	8.7	10.2
20.0	21.0	8.9	10.4
21.0	22.0	9.0	10.6
21.9	23.0	9.2	10.8
22.9	24.0	9.4	11.0
23.8	25.0	9.5	11.2

13.4. Packaged Air Conditioners and Packaged Heat Pumps

TABLE D-30: PACKAGED AIR CONDITIONER AND PACKAGED HEAT PUMP

SEER2	SEER	EER2	EER	HSPF2	HSPF
12.4	13.0	10.6	11.0	6.8	8.0
13.4	14.0	10.8	11.2	7.5	8.8
14.4	15.0	11.0	11.4	7.7	9.0
15.3	16.0	11.8	12.2	7.8	9.2
16.3	17.0	11.9	12.4	8.0	9.4
17.2	18.0	12.1	12.6	8.2	9.6
18.2	19.0	12.3	12.8	8.3	9.8
19.1	20.0	12.5	13.0	8.5	10.0

14. LIHEAP ENERGY AUDIT PROTOCOL

14.1 The energy audit is a tool that CSD applies for certain measures in the Low Income Home Energy Assistance Program (LIHEAP). Measures that require an energy audit are defined by the measure matrix for the LIHEAP contract, and are generally the same or similar to the measures defined for the DOE WAP.

14.2. LIHEAP Approved Measures

14.2.1 All measures to be installed with LIHEAP funds must comply with the installation requirements and materials specifications identified in the most recent copy of CSD's TRM. Approved measures for the program are defined by CSD's contract measure matrix, which is located on the CSD Providers' website. Measure categories for LIHEAP include those provided in Table D-27 through Table D-30.

TABLE D-31: LIHEAP HEALTH & SAFETY MEASURES

Health & Safety Measures
Carbon monoxide alarm
Cooking appliance repair (range, cooktop, built-in oven)
Cooking appliance replacement (range, cooktop, built-in oven)
Cooling repair
Cooling replacement
CVA venting
Environmental hazard work/lead-safe
Heating source repair
Heating source replacement
Smoke alarm
Water heater repair
Water heater replacement

TABLE D-32: LIHEAP MANDATORY MEASURES

Mandatory Measures	
Attic ventilation	Hardwired sconce fixture
Ceiling insulation	LED night-light
Door repair/replacement	LED torchiere lamp
Door, sliding glass	LED replacement bulbs
Duct insulation	LED tube lighting
Duct repair, sealing, and replacement	Limited home repair
ECM blower motor	Low-flow toilet
Efficient fan controller	Mechanical ventilation (if MV assessment is required by blower door diagnostics)
Filter replacement	
Faucet restrictor (aerator)	Microwave oven
Low-flow showerhead	Refrigerator replacement
Infiltration reduction measures (excludes door & window repair/replacement)	Thermostat-manual

TABLE D-32: LIHEAP MANDATORY MEASURES

Mandatory Measures	
Kitchen exhaust repair and replacement	Thermostat-programmable
Knee wall insulation	Thermostat-smart
LED downlight retrofit kits	Water heater insulation
Hardwired porch light fixture	Water heater pipe insulation
Hardwired security fixture	Whole house fan
Hardwired ceiling fixture	Window repair/replacement (catastrophic)
Hardwired vanity fixture	Vacancy sensor switch

TABLE D-33: LIHEAP OPTIONAL MEASURES

LIHEAP Optional Measures	
Ceiling fans	Power strips, tier 2 advanced
Clothes dryer replacement	Shade screens
Clothes washer replacement	Storm windows
Dishwasher replacement	Thermostatic shower valve
Exterior water pipe wrap	Thermostatic showerhead
Floor foundation venting	Timer, electric water heater
Floor insulation	Tinted window film
Mechanical ventilation	Wall insulation

TABLE D-34: LIHEAP OPTIONAL–AUDIT REQUIRED MEASURES

LIHEAP Optional–Audit Required Measures	
Ceiling insulation (including attic ventilation, if needed)	Limited home repair (ECM support)
Cooling replacement (energy efficiency upgrade)	Refrigerator replacement
Duct insulation	Thermostat-programmable
Duct repair, sealing, and replacement	Thermostat-smart
Floor insulation (including crawlspace ventilation, if needed)	Wall insulation
Heating source replacement (energy efficiency upgrade)	Water heater installation (energy efficiency upgrade)
Infiltration reduction measures (excludes door & window repair/replacement)	Window replacement (energy efficiency upgrade)
Knee wall insulation	

14.3. LIHEAP Policies for Program Enrollment

14.3.1 The following policies for program enrollment and service shall apply to LIHEAP weatherization.

14.3.2 LIHEAP 66/50 Rule

14.3.2(a) A "whole-building approach" is encouraged:

14.3.2(a1) When 50% of the units in a duplex or four-plex are income-qualified for weatherization (or where a unit will be occupied by low-income tenants within 180 days under a federal, state, or local government rehabilitation program), the entire building may be served.

14.3.2(a2) When 66% of the units in a triplex or building with five or more are income-qualified, the entire building may be served.

14.3.2(b) If the 66/50 rule is met for income eligible units, investment for the whole building including any common area measures and in-unit measures within the building may not exceed the number of dwelling units times the current per-dwelling average maximum. This includes income eligible, non-income eligible, and vacant units. Completion of the CSD 75P form is required to show that the 66/50 rule is being applied correctly.

14.3.3 LIHEAP Whole-Building Weatherization

14.3.3(a) The following "whole building measures" listed below may only be considered for installation when an entire building will be served:

14.3.3(a1) Ceiling/knee wall insulation

14.3.3(a2) Common area measures: These measures must be cost-justified by energy audit and installed in common areas within the building thermal envelope of the qualified residential building).

14.3.3(a3) Cooling system energy efficiency upgrade (for a whole-building, common system)

14.3.3(a4) Floor insulation

14.3.3(a5) Heating system energy efficiency upgrade (for a whole-building, common system)

14.3.3(a6) Wall insulation

14.3.3(a7) Water heater energy efficiency upgrade (for a whole-building, common system)

14.3.3(a8) Windows for energy efficiency upgrade

14.3.3(b) For attic/ceiling and floor insulation, individual unit installation is allowed under LIHEAP for a duplex, tri-plex, or four-plex when:

14.3.3(b1) An energy audit will not be conducted,

14.3.3(b2) There is no shared attic space/crawlspace between the dwelling units (i.e., the attic spaces are separated by a complete and continuous pressure boundary or firewall), and

14.3.3(b3) The units to be served have separate heating and/or cooling units.

14.3.4 LIHEAP Individual Unit Weatherization

14.3.4(a) CSD has established a policy for weatherizing single-family and multi-family buildings that views the entire building as a complete system of interconnected dwellings and systems. In order to provide maximum energy savings and benefits to the residents of a building, a "whole-building approach" is preferred.

14.3.4(b) Although whole-building weatherization is preferred and encouraged, individual unit weatherization is allowed when as long as the reasons that whole-building weatherization is not feasible are thoroughly documented. With the Individual Unit approach, however, measures designed to be installed in the entire building (see LIHEAP Whole-Building Weatherization)are not eligible when only an individual unit is served. Note: Appliance repairs/replacements for Health & Safety as defined by CSD are not considered whole-building measures.

14.3.5 LIHEAP Vacant and Over-Income Unit Rule

14.3.5(a) When vacant or over-income units are encountered, the procedures in Vacant and Over-Income Rule shall be followed.

14.4. LIHEAP Audit Methodology

14.4.1 LIHEAP shares the energy efficiency goals of the DOE WAP, however there is some programmatic flexibility to address issues of occupant comfort, address crisis situations in households, and provide measures under multiple categories to simplify installation. CSD utilizes the same Technical Reference Manual for the installation requirements of both programs.

14.4.2 In LIHEAP, an energy audit can be conducted at the discretion of the agency if seeking to make improvements for energy efficiency upgrades. Some measures within LIHEAP that can be audited as an energy efficiency upgrade may also be installed prescriptively without the requirement to conduct an audit. An energy audit is required when any measure from the "Optional—Audit Required" category will be billed to that category. When none of the measures in the category will be installed, an energy audit is not required. Agencies are strongly encouraged to perform an energy audit for energy efficiency upgrades and whole building weatherization.

14.4.3 When an energy audit will be conducted for LIHEAP, the following policies from this document shall apply:

14.4.3(a) Developing an Audit Work Scope
14.4.3(b) ADM Cost Calculations
14.4.3(c) Interactive Effects for Energy Audits
14.4.3(d) Justification Image Requirements for REM/Design Energy Audits
14.4.3(e) Incidental and Ancillary Costs in the Audit Path
14.4.3(f) Additional Audit Path Considerations
14.4.3(g) Audit Path Installation Order
14.4.3(h) REM/DESIGN Energy Audit Procedure
14.4.3(i) Energy Audit Restrictions
14.4.3(j) REM/Design On-Site Visit
14.4.3(k) Energy Modeling and Analysis Process
14.4.3(l) REM/Design & Building Model True-up with Actual Energy Bills
14.4.3(m) REM/Design Reports
14.4.3(n) Quality Assurance Review—REM/Design Audits

14.5. LIHEAP Quality Assurance Review Process

14.5.1 The process for quality assurance review energy audits is the same as Quality Assurance Review—REM/Design Audits and Quality Assurance Review—TREAT Audits, however the step to submit the audit to the DOE project officer for approval is not required.

E. Health and Safety Requirements

Table of Contents

1. INTRODUCTION E-1

2. PROGRAM GOAL E-1

3. HEALTH AND SAFETY REGULATIONS E-1

4. CLIENT HEALTH AND SAFETY E-2

5. WORKER PROTECTION AND PERSONAL PROTECTIVE EQUIPMENT E-3

6. GENERAL WORK SAFETY PRACTICES E-3

7. JOBSITE SAFETY REQUIREMENTS E-5

7.5. Drinking Water E-6

7.6. First Aid Kit and Emergency Aid Information E-6

7.7. Heat Stress/Heat Stroke Prevention E-6

7.8. Slips, Trips, and Falls E-6

7.9. Material Safety E-7

8. JOBSITE SAFETY ASSESSMENT E-7

9. IDENTIFICATION OF HEALTH AND SAFETY (H&S) MEASURES E-8

9.2. Safety Devices E-8

9.3. Identification of Appliance Issues E-8

9.3.4 Cooling Source Repair/Replacement E-9

9.4. Portable Heating and Cooling E-10

10. ENVIRONMENTAL HAZARD IDENTIFICATION AND NOTIFICATION E-10

10.4. Asbestos E-11

10.5. Biologicals E-11

10.6. Viruses/Bacteria E-12

10.7. Pests/Poisonous Bites and Stings E-12

10.8. Dwelling Structure Hazards E-13

10.9. Combustion Gases E-13

10.9.3 Personal CO monitors E-13

10.10. Combustion Safety Worker Requirements E-14

10.11. Confined Spaces E-14

10.12. Electrical Hazards E-15

10.13. Fire/Flammable Materials E-15

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10.14. Lead-Based Paint E-16
10.15. Methane Gas E-16
10.16. Mold and Moisture E-16
10.17. Plumbing Assessment E-17
10.18. Pesticides E-17
10.19. Radon E-17
10.20. Unvented Space Heating E-17
10.21. Ventilation Measures and Indoor Air Quality (IAQ) E-18
10.22. Volatile Organic Compounds (VOCs) E-18
10.23. Task-Oriented Worker Safety E-18

11. ENVIRONMENTAL HAZARD POLICIES E-20
11.1. General Policy for Environmental Hazard Resolution E-20
11.2. Agency/Subcontractor Oversight Responsibilities for Environmental Hazards E-21
11.3. Deferral and Referral Policy E-22
11.4. Asbestos Policy E-23
11.4.1 Asbestos Regulation E-23
11.4.2 Health and Safety Policies for Work with ACM/PACM E-24
11.4.3 Crew Responsibilities with ACM/PACM E-25
11.4.4 ACM/PACM Classified by Type and Condition of Material E-25
11.4.5 Diagnostic Testing and ACM E-27
11.5. Weatherization Installation Activities and ACM/PACM E-29
11.5.2 Additional Asbestos Resources E-31
11.6. Lead Safe Weatherization (LSW) Policy E-31
11.6.5 Required Dwelling Deferral E-32
11.6.6 Lead-Related Regulations E-32
11.6.7 Lead Risk Factor Evaluation E-33
11.6.8 Worker Exposure Limits E-35
11.6.9 Lead-Safe PPE E-35
11.7. LSW Minimum Work Standards for Field Personnel E-36
11.7.2 Agency/Subcontractor Responsibilities E-36
11.7.3 Certified Renovator Responsibilities E-37
11.7.4 Required Worker Safety Procedures E-37
11.7.5 Prohibited Lead-Safe Field Practices E-37
11.7.6 LSW Client Education and Notification E-38
11.7.7 Containment E-39
11.7.8 Jobsite Cleaning E-42
11.7.9 Certification Requirements E-45
11.7.10 Lead-Safe Resources E-46

11.8. Radon Policy E-46

12. AGENCY AND SUBCONTRACTOR RESPONSIBILITIES E-46

12.2. Cal/OSHA Required Documents E-46

12.3. IIPP Requirements E-47

12.4. HazCom Program Requirements E-47

12.5. Respirator Protection Program (RPP) E-48

12.6. Agency/Subcontractor Recordkeeping E-49

13. HEALTH AND SAFETY TRAINING REQUIREMENTS FOR WORKERS E-50

13.3. Tailgate Safety Meetings E-50

13.4. OSHA-10 and OSHA-30 Training Requirement E-50

13.5. Lead-Safe Weatherization Training Requirements E-50

13.6. Training Records E-51

Health and Safety Requirements

1. INTRODUCTION

1.1 These Health and Safety Requirements provide policies and practices applicable to the weatherization programs administered by the California Department of Community Services and Development (CSD). These requirements apply to all agencies, subcontractors, and their field personnel who provide weatherization services.

2. PROGRAM GOAL

2.1 It is CSD's goal that its programs enhance clients' quality of life without creating an adverse condition in the home, and that work be conducted in a manner that protects the health and wellbeing of workers, occupants, and others who may be impacted (e.g., visitors, neighbors, pets, etc.).

2.2 Field personnel are to "do no harm" to residents and their property while working in each client's home. In addition, field personnel are to work in such a manner to protect their coworkers' safety. Safety decisions must take into consideration existing conditions, possible health effects that could be created by materials or activities at a jobsite, and potential hazards at agency/subcontractor offices, shops, and warehouses where preparatory weatherization activities take place.

2.3 Furthermore, it is not the goal of CSD's weatherization programs to bring all treated residences "up to code" or to fix all health and safety issues identified at the residence. Some conditions will be the sole responsibility of the property owner to correct. However, to protect occupants and workers, hazards and unsafe conditions affecting the health and safety of workers and/or occupants must be resolved whenever feasible and allowed by the program, before any program measures will be installed.

3. HEALTH AND SAFETY REGULATIONS

3.1 CSD weatherization agencies and their subcontractors must follow all applicable federal, state, and local health and safety laws and regulations pertaining to worker safety. Under California state law, worker safety is regulated by the:

- 3.1.1 California Occupational Safety and Health Administration (Cal/OSHA) General and Construction Safety Orders
- 3.1.2 California Code of Regulations (CCR)
- 3.1.3 California Department of Health Services—Health and Safety Code
- 3.1.4 California Labor Code (Department of Occupational Safety and Health)
- 3.1.5 Division of Occupational Safety and Health
- 3.1.6 California and national building codes (e.g., mechanical, electrical, and plumbing)
- 3.1.7 California Business and Professions Code
- 3.1.8 Department of Industrial Relations

3.2 Additional entities at the federal, state, and local level also may have jurisdiction over components of CSD's weatherization programs, and include, but are not limited to:

- 3.2.1 California Contractors State License Board
- 3.2.2 Environmental Protection Agency
- 3.2.3 California Environmental Protection Agency
- 3.2.4 Occupational Safety and Health Administration
- 3.2.5 Local Air Quality Management Districts

3.3 The CSD H&S Requirements do not supplant these federal, state, or local health and safety regulations. Rather, they are intended to supplement them, and provide clarification for Program interpretation.

3.4 All field personnel are required to follow CSD's health and safety requirements and their employer's (agency or subcontractor) internal health and safety policies to protect dwelling occupants, the individual worker, the crew, agency, and the program. Field personnel also are required to participate in scheduled safety trainings and meetings to reinforce safety practices in the shop and in the field.

4. CLIENT HEALTH AND SAFETY

4.1 Agency workers and subcontractors shall take all reasonable steps to "do no harm" to clients and their property. Before, during, and after all weatherization work, all field staff and subcontractors are required to identify and remedy (when within the program scope) potentially hazardous, unsafe, and unhealthy conditions that might affect clients during the weatherization process and use the least toxic materials feasible.

4.2 When the health and safety of the workers or residents may be jeopardized by the installation of a weatherization measure due to the presence of a hazardous condition, such measures shall not be installed until appropriate corrections have been made. When appropriate and feasible, minor repairs to correct hazardous conditions should be accomplished to eliminate hazardous materials or the threat to health and safety caused by their presence. While the program can remedy many unsafe and unhealthy conditions associated with the installation of measures, it does not have the resources to fix work outside of the program scope.

4.3 Assessors and crew members shall:

4.3.1 Thoroughly assess the condition of the dwelling, noting all potential safety hazards.

4.3.2 Conduct a weatherization assessment of each jobsite to identify existing and potential health and safety concerns.

4.3.3 Identify if a person's health condition is such that work activities would create a health or safety hazard for them. Occupants that may have health issues with the work being performed will be required to leave the home during these work activities.

4.3.4 Perform weatherization activities in a manner which:

4.3.4(a) Ensures that client/occupants' and workers' health and safety is protected during all phases of the weatherization process; and

4.3.4(b) Avoids subjecting the client/occupants to undue discomfort (e.g., blowing cold/damp air on frail or ill persons by pressurizing the home during winter).

4.3.5 Pay particular attention to elderly and disabled persons, and to young children who may be playing in areas where work is being done.

4.4 Note: If an H&S hazard exists prior to weatherization, installation of weatherization measures shall not proceed until such problems are remedied.

5. WORKER PROTECTION AND PERSONAL PROTECTIVE EQUIPMENT

5.1 All field personnel are required to wear appropriate gear to protect the worker while on the job, and to prevent the transfer of harmful materials from the jobsite to work vehicles and warehouses, and even home to workers' families. Careful selection of work clothing and personal protective equipment is the first step in protecting everyone.

5.1.1 Worker Clothing

5.1.1(a) Loose or frayed clothing, dangling ties, chains and necklaces, bracelets, rings, etc. shall not be worn around moving machinery or other sources of entanglement. Appropriately safe footwear shall be worn, such as closed-toed work shoes or work boots suited to the task.

5.1.2 Personal Protective Equipment (PPE)

5.1.2(a) In addition to proper work wear, when a hazard cannot be eliminated or controlled by work practices or other protections, workers also must use PPE (up to and including respirators) when applicable.

5.1.2(b) Cal/OSHA requires that agencies/subcontractors conduct a hazard assessment at each job, and inform workers of the correct PPE that is required. The amount and type of PPE is determined by the level of assessed or presumed hazard, and based on the weatherization materials to be used.

5.2 Workers are required to wear PPE if instructed to by their employer. Employees can choose to wear PPE even if the hazard assessment shows that no exposure to a hazard will occur.

5.2.1 According to Cal/OSHA, workers are required to use PPE in these situations:

5.2.1(a) Eye and face protection, when there is a risk of eye injury from flying particles, harmful chemicals, or harmful light rays.

5.2.1(b) Foot protection, for workers who are exposed to foot injury from hot, corrosive, or harmful substances, from falling objects, or from crushing or penetrating actions.

5.2.1(c) Hand protection, for workers who are exposed to cuts, burns, electrical current, or harmful physical or chemical agents. Hand protection includes durable and wrist-protecting gloves when needed to provide protection.

5.2.1(d) Body protection, for workers who are exposed to harmful materials.

5.2.1(e) Hearing protection, for construction work because noise levels often exceed 90 decibels.

5.2.1(f) Head protection, for workers who could be exposed to flying or falling objects, electric shocks and burns, head injury from sharp objects such as protruding nails, or potential fall hazards.

6. GENERAL WORK SAFETY PRACTICES

6.1 Field workers must regularly assess workplace conditions and equipment before going to jobsites to ensure that correct tools and equipment are selected, and hazardous materials are stored properly.

6.1.1 Shop/Work Areas

6.1.1(a) The shop and all work areas shall be free of obstacles and other hazards. The following precautions apply:

6.1.1(b) Aisles and passageways shall be kept clear to allow for the safe movement of employees and material handling equipment.

6.1.1(c) Stored materials must never block exits or fire doors.

6.1.1(d) Combustible materials shall not be stored near combustion appliances, electrical outlets or circuit control panels.

6.1.1(e) Lumber shall be stacked on level and solidly supported sills so that it is stable and self-supporting. Lumber piles that are handled manually shall be stacked no more than 6' high.

6.1.1(f) All scrap lumber, waste material, and work debris shall be removed from the immediate work area and be properly stored, recycled, or disposed of.

6.1.1(g) Tools and equipment shall be cleaned regularly and properly stored to prevent the transfer of particles and dust between jobsites.

6.1.1(h) Covers shall be provided for all containers used to store or transport oily or flammable chemicals and hazardous waste.

6.1.2 Work Vehicles

6.1.2(a) Agency crews and subcontractors are responsible for maintaining work vehicles in proper running order. All equipment, parts, and accessories that affect safe operation shall be checked regularly to assure that they are in proper working order and free from defects. Any vehicle that is unsafe shall be repaired before it is allowed in service.

6.1.2(a1) All seats in a vehicle shall be equipped with safety belts. Each operator and passenger riding in a vehicle shall occupy a standard seat (not a portable chair or other makeshift seat) and shall wear a safety belt.

6.1.2(a2) When performing service or repairs, employees shall not work under vehicles supported by jacks or chain hoists without protective blocking to prevent injury in case of mechanical failure.

6.1.3 Proposition 65 Materials

6.1.3(a) Proposition 65 (Prop 65), the Safe Drinking Water and Toxic Enforcement Act of 1986 requires the state to annually publish a list of chemicals known to cause cancer or birth defects or other reproductive harm, which is available at https://oehha.ca.gov/proposition-65/proposition-65-list. Compliance information is available from Cal/EPA's California Office of Environmental Health Hazard Assessment (OEHHA) at https://oehha.ca.gov/proposition-65.

6.1.3(b) Prop 65 mandates that a "clear and reasonable warning" be given to all individuals prior to exposure to chemicals on the list that can cause cancer, birth defects, or other reproductive harm. An agency and its subcontractors) may have one or more of the listed chemicals in the workplace as an ingredient in a material they use. If any materials are to be installed that contain chemicals that are Prop 65 listed, the agency/subcontractor must review the SDS with workers and provide a "warning" to the occupants before starting the job.

6.1.3(c) They must inform the homeowner of the presence of any listed chemicals (e.g., fiberglass insulation or solvents) before they are brought into a dwelling, unless the agency can prove that the exposure causes no significant risk.

6.1.3(d) The following chemicals/products are examples of some, but not all, listed chemicals that may be found on a weatherization worksite:

- Benzene (solvent)
- Butadiene (ABS, plastics)
- Carbon monoxide
- Ethyl chloride (in paints and similar products)
- Formaldehyde (in fiberglass insulation, particle board)
- Glass wool fibers (fiberglass)
- Lead-containing paint chips or dust
- Methyl chloride (in polystyrene foam, refrigerant)
- Methyl isobutyl ketone (solvent)
- Naphthalene (drywall)
- Toluene (solvents)
- Trichloroethylene (solvents, refrigerants)
- Urethane (insulations)
- Wood dust

6.1.4 Tools and Equipment

6.1.4(a) Agencies/subcontractors must provide workers with tools and equipment that are in good, safe-working condition and are ergonomically appropriate for the specific work task. When utilizing this equipment, workers shall:

6.1.4(a1) Check tools and equipment before each use to ensure that they are in good condition.

6.1.4(a2) Use hand tools only for their intended purpose.

6.1.4(a3) Avoid the use of materials and tools that are dull, bent, damaged, broken, have frayed or unsafe electrical cords (including cutting the ground lug off a 3-prong plug), etc.

6.1.4(a4) Use three-wire extension cords with all portable electrical tools, even if the tool has only two prongs and is internally insulated.

6.1.4(a5) Frequently inspect power tools, and use them only in accordance with manufacturer specifications to eliminate misuse of power tools, excessive noise, and improper or defective cords or extension cords.

6.1.4(a6) Verify that all electrical devices used are GFCI protected or double insulated.

6.1.4(a7) Connect metal insulation fill tubes to a grounding wire.

6.1.4(a8) Prevent exhaust gases from compressors and generators from entering living space.

6.1.5 Ladder Safety

6.1.5(a) Many workplace injuries or deaths could be avoided if proper ladder safety procedures were followed. Cal/OSHA mandates in Title 8, Section 3203 and subsection 3276(f) that all employees and supervisors who will use a ladder must be provided training unless the agency/subcontractor can prove that they have already been trained in ladder safety.

6.1.5(b) The following questions will be employed to ensure each worker knows how to properly use a ladder:

6.1.5(b1) **The Right Ladder for The Job.** An American National Standards Institute (ANSI) rating sticker should be on every ladder stating the ladder use and weight restrictions. Ensure that the ladder will hold the weight of the user and equipment. Avoid using metal ladders when performing electrical work.

6.1.5(b2) **Inspection.** Is a ladder in good condition? Are there any missing screws or bolts? Are there any loose pieces? Never use a damaged ladder.

6.1.5(b3) **Ladder Set Up.** The base of a ladder should be 1' from the building (or top support, such as an eave) for every 4' of ladder length up to the resting position. If a ladder square is on the side of the ladder, make sure it is parallel to both the ground and the vertical surface. If a stepladder is used, ensure braces are locked.

6.1.5(b4) **Ladder Location.** Is it safe to get on the ladder where it is located? If the work is outdoors, is it windy? Is the ground solid? Are there any power lines? Will the ladder be a hazard to another worker? What other hazards are nearby?

6.1.5(b5) **Climbing a Ladder.** Do not climb a ladder carrying tools or equipment. Hands (and feet) should be free of impediments. Workers must keep at least "three points of contact" until on the ground again.

6.1.5(b6) **Reaching.** Many accidents happen on ladders because the worker is reaching for something and loses balance.

7. JOBSITE SAFETY REQUIREMENTS

7.1 Workers are required to assess each jobsite and be vigilant about protecting their own, and their coworkers' safety. Common on-site safety precautions are described below.

7.1.1 Dangerous Jobsite Areas

7.1.1(a) Workers shall use care when working in unsafe or potentially dangerous locations, including areas that may be contaminated by a pollutant or be structurally unsafe. Standard precautions include the following:

7.1.1(a1) Utilize adequate ventilation in work areas where gas-powered equipment is used.

7.1.1(a2) Wear appropriate PPE during all phases of work (assessment through inspection).

7.1.1(a3) Avoid entry into unsafe structures.

7.1.1(a4) Use walk/crawl boards when working in attics and crawlspaces to prevent falls and facilitate worker removal if necessary.

7.2 Clients must be informed of identified contaminants found during assessment (e.g., sewage, dead animals, needles, hazardous material, etc.) in work areas. The Deferral and Referral Policy shall be followed.

7.3 The appropriate local service agency (i.e., health department, animal control service, licensed clean-up or abatement contractor, etc.) must correct, repair, or remove the contaminant source before weatherization personnel can perform any work that requires access to the affected areas. When appropriate, contaminants shall be neutralized and/or a protective barrier shall be installed around the area.

7.4 Clients also must be informed that the client's clean-up of an area will not be considered acceptable for the removal of hazardous materials (such as asbestos, lead, or radon). Such removals must be performed and documented by a licensed abatement contractor for weatherization work to become feasible.

7.5. Drinking Water

7.5.1 A supply of potable water (safe to drink) shall be provided in all places of employment. Portable drinking water containers shall be equipped with a tap and tightly closing lid. Common drinking cups are not allowed.

7.6. First Aid Kit and Emergency Aid Information

7.6.1 Each agency/subcontractor(s) shall supply a Cal/OSHA-approved first aid kit for each work vehicle so they are readily available. A list of telephone numbers of physicians, hospitals, and ambulances must also be present in these kits in case of emergency. These kits should be updated and restocked regularly.

7.6.2 When possible, each crew should have available at least one person who is trained to render first aid, including CPR.

7.7. Heat Stress/Heat Stroke Prevention

7.7.1 Workplace temperatures (especially in attics and near roofs) may exceed what is safe for workers on certain days and in some climate zones. Temperature levels and the proper ventilation should be assessed before starting a job. In addition, these recommendations should be followed:

7.7.1 (a) Adequate shade, water, and breaks shall be made available on hot days.

7.7.1 (b) Crews should watch coworkers for signs of heat stress and help them to cool down.

7.7.1 (c) If temperatures are unsafe, reschedule job to early morning or a different day.

7.7.1 (d) Workers must heed all safety warnings from co-workers and supervisors.

7.7.1 (e) If necessary, call 911 and request emergency assistance.

7.7.1 (f) Prevent heat related illnesses by not allowing work where temperatures exceed 115ºF. Inside the attic space temperatures can exceed 150ºF on hot, sunny days and lung stress from hot air starts over 115ºF.

7.8. Slips, Trips, and Falls

7.8.1 Field personnel shall:

7.8.1 (a) Use caution around power cords, hoses, tarps, and plastic sheeting.

7.8.1 (b) Take precautions when ladders are used, when working at heights, or when balancing on joists.

7.8.1 (c) Use walk boards when practical.

7.8.1 (d) Wear appropriate footwear and clothing at all times.

7.8.1 (e) Cal/OSHA regulations for fall protection shall be followed for work conducted on rooftops.

7.9. Material Safety

7.9.1 Agencies/subcontractors must ensure that materials handled by employees and installed in residences are safe for workers and occupants, and can be handled safely by workers.

7.9.1(a) When selecting materials, the least toxic suitable material shall be chosen.

7.9.1(b) Workers must handle hazardous materials in accordance with manufacturer specifications or Safety Data Sheets (SDS) instructions. When allowed by the program, workers will safely eliminate hazardous materials such as volatile organic compounds (VOCs), sealants, insulation, contaminated drywall, dust, foams, presumed lead, mercury, and fibers.

7.9.1(c) A complete set of Safety Data Sheets (SDS) for all materials used must be on-hand at the worksite and in all work vehicles for every material used by field personnel. Similarly, warehouses and shops also must have a complete set of SDS on site for the materials used or stored.

8. JOBSITE SAFETY ASSESSMENT

8.1 The dwelling assessment must include a client or occupant health and safety analysis. Assessors must consider how these factors may affect the feasibility of measures:

8.1.1 Age and general health of the occupants, especially for more vulnerable populations (very young, disabled, seniors, etc.).

8.1.2 Possible effects of weatherization on the living space. Occupants with certain health issues may prefer to leave the home during work activities.

8.2 In assessing the jobsite, assessors and crew members also shall examine these additional dwelling conditions that may affect work, including but not limited to:

8.2.1 Neighborhood security

8.2.2 Household pets

8.2.3 Broken glass in work areas

8.2.4 Low electrical lines and other electrical hazards

8.2.5 Trash and debris

8.2.6 Tripping hazards in the work area (e.g., toys, furniture, tools on the ground, holes in the yard, etc.)

8.2.7 Insect activity (spiders, wasps, bees, etc.)

8.2.8 Interior safety conditions of the dwelling, noting all potential safety hazards including structural hazards, and conditions in the attic and crawlspace.

8.2.9 Identification of all elderly or disabled occupants, and young children, who may require entry to areas where work will be done.

8.3 (DOE only) The results of the assessment shall require:

8.3.1 The client to be informed in writing of any hazards associated with hazardous waste materials identified/being generated or handled in the home.

8.3.2 Observed hazardous condition and associated risks, particularly if air sealing would be performed.

8.3.2(a) Provide the client with written materials on safety issues and proper disposal of household pollutants.

8.3.3 The client to be informed in writing of observed hazards and associated risks utilizing the CSD 540G DOE Health and Safety Form, if identified hazardous conditions will not be corrected during weatherization.

8.4 Precautionary Measures (DOE Only)

8.4.1 When the following measures are feasible, these Limited Home Repair - H&S Support measures shall be installed in conformance with Section 1 General Installation Guidelines.

8.4.1 (a) Exposed earthen floors in basements and crawlspaces within the thermal/pressure boundary shall be covered and sealed with a soil gas retarder.

8.4.1 (b) Installation of an airtight sump pump/well pit cover within the thermal/pressure boundary

9. IDENTIFICATION OF HEALTH AND SAFETY (H&S) MEASURES

9.1 H&S measures are a special category of weatherization measures that are installed to protect occupants, mitigate health and safety hazards related to certain appliances, and preserve or improve indoor air quality. H&S measures that are feasible must be identified during assessment so that H&S issues are prioritized before other measure categories. For DOE jobs only, feasible H&S measures cannot be removed from the work scope (for client refusal or other reason), or the dwelling shall be deferred.

9.2. Safety Devices

9.2.1 Safety devices (i.e., carbon monoxide [CO] alarms [Section 2 Carbon Monoxide Alarms] and smoke alarms [Section 3 Smoke Alarms]) are required health and safety costs in accordance with the feasibility criteria for those measures. When feasible, they shall be installed. If these measures are refused, the dwelling may be served under LIHEAP only.

9.3. Identification of Appliance Issues

9.3.1 Before any H&S appliance (heating, cooling, or water heating) may be repaired/replaced, a qualified technician/licensed contractor must perform a diagnostic inspection to determine if the appliance is defective or requires repair. It shall be determined if a cleaning and adjustment (appliance maintenance) would resolve an appliance performance or health and safety issue before the appliance is repaired or replaced.

9.3.1 (a) Fuel switching of a non-electric to electric appliance to resolve a H&S issue is allowed in accordance with Appendix D Energy Audit/Priority List Protocol and Section 1 General Installation Guidelines.

9.3.2 Documentation justifying any appliance replacement with a cost comparison between replacement and repair must be maintained in the client file.

9.3.3 Heat Source Repair/Replacement

9.3.3 (a) Replace, repair, or install primary heating systems when the existing primary heating system is unsafe, inoperable, or nonexistent. No home may be left without a safe primary heating system. If unable to meet this requirement, deferral is required.

9.3.3 (b) Primary heat sources may include central forced air furnaces (FAU), wall, floor, freestanding furnaces, and wood-burning appliances.

9.3.3 (c) For LIHEAP jobs

9.3.3 (c1) Primary heat sources may be repaired or replaced when they meet the feasibility criteria identified in Section 4 Heating and Cooling. An appliance shall be replaced when the cost of repairs is greater than 50% of the replacement cost.

9.3.3 (d) For DOE jobs

9.3.3 (d1) A "red tagged," inoperable, or non-existent primary heating system must be repaired, replaced, or installed.

9.3.3 (d2) Perform a full DOE-approved energy audit prior to deciding how to categorize the cost of heating/cooling system repair or replacement. If the measure is an approved WAP expenditure and the audit justifies the costs with a Savings to Investment (SIR) ≥1.0, the measure must be installed as an Energy Efficiency Upgrade.

9.3.3(d3) If the measure is not an eligible ECM, replacement as a Health and Safety measure is allowed if the feasibility criterion in Section 4 Heating and Cooling is met.

9.3.3(d4) If the dwelling has an unvented combustion space heater as the primary heat source, it must be replaced with a vented unit or the dwelling will be deferred. The replacement unit must be sized to heat the entire dwelling.

9.3.3(d5) Unsafe secondary heat sources, including portable space heaters, must be repaired, or removed and disposed of, or dwelling deferral is required. A secondary unvented space heater is considered unsafe if it:

- Is not listed and labeled as meeting ANSI Z21.11.2
- Has an input rating of more than 40,000 BTU/hour
- Is in a bedroom and have an input rating of more than 10,000 BTU/hour
- Is in a bathroom and have an input rating of more than 6,000 BTU/hour
- Operates in an unsafe manner (e.g., high carbon monoxide (CO) readings, too close to combustible materials, lack sufficient combustion air volume, etc.)
- Is not permitted by the Authority Having Jurisdiction (AHJ)

9.3.3(d6) Heat sources in mobile homes must comply with the Manufactured Home Construction and Safety Standards, which mandate that:

- All primary and secondary appliances installed by or left in place after weatherization in manufactured homes must meet these standards. If a client will not allow removal of an unsafe combustion appliance from the home (primary or secondary), deferral is required.
- All fuel-burning appliances in manufactured homes except ranges, ovens, illuminating appliances, clothes dryers, solid fuel-burning fireplaces and solid fuel-burning stoves, must be installed to provide for the complete separation of the combustion system from the interior atmosphere of the manufactured home (i.e., to draw their combustion air from outside), and be vented to outside the dwelling.
- Repair or replacement of combustion gas venting shall be performed when necessary to ensure proper combustion gas venting to outside the dwelling for all combustion appliances, including but not limited to gas dryers and refrigerators, furnaces, vented space heaters, and water heaters.

9.3.4 Cooling Source Repair/Replacement

9.3.4(a) Replace, repair, or install a primary cooling system when the program policy is met.

9.3.4(b) Primary cooling sources may include central forced air furnaces (FAU), window/wall air conditioning, or evaporative cooling units.

9.3.4(c) For LIHEAP jobs

9.3.4(c1) Primary cooling sources may be repaired or replaced when they meet the feasibility criteria identified in Section 4 Heating and Cooling. An appliance shall be replaced when the cost of repairs is greater than 50% of the replacement cost. Primary cooling sources shall be replaced with a "like" type unless cost-justified by energy audit or approved by CSD waiver.

9.3.4(d) For DOE jobs

9.3.4(d1) Under DOE, when a H&S condition is identified for a primary cooling source, an energy audit is required. If the audit result is <1.0, the appliance may be repaired or replaced as a H&S measure only when an occupant in the household meets the "at-risk" definition below.

9.3.4(d2) To be considered at-risk, an occupant in the household must have a qualifying medical condition that requires temperature control. The condition must be verified by a doctor's recommendation or other objective evidence gathered at the time of application.

9.3.4(d3) Documentation of the at-risk condition must be made on the agency-specific intake form and the CSD 540 Assessment Form. As part of the assessment, an assessor must evaluate the occupant's general health.

9.3.5 Water Heating Repair/Replacement for H&S

9.3.5(a) Replacement, repair, or installation of a primary water heater type is permitted when an existing primary water heater is unsafe, inoperable, or nonexistent.

9.3.5(b) The appliance repair or replacement meets the appliance feasibility requirements in Section 13 Water Heaters—Gas, Electric, and Heat Pump.

9.3.5(c) Under DOE, when a H&S condition is identified for a primary water heater, an energy audit is required. If the audit result is <1.0, the appliance may be repaired or replaced as a H&S measure.

9.4. Portable Heating and Cooling

9.4.1 The SWEATS Program Temporary Appliances provision allows for portable heating or cooling appliances to be loaned when needed to maintain health, safety, and essential comfort level.

9.4.2 Equipment loans shall be provided on an interim basis until a permanent heating or cooling solution has been provided. Portable heating/cooling equipment includes:

9.4.2(a) Air conditioner

9.4.2(b) Evaporative cooler

9.4.2(c) Space heater

9.4.2(d) Room fan

9.4.3 Equipment loans shall be provided and documented in conformance with CSD's latest published SWEATS policy on the CSD Providers' website.

10. ENVIRONMENTAL HAZARD IDENTIFICATION AND NOTIFICATION

10.1 On the jobsite, all field personnel are asked to pay attention to their surroundings and look for signs of environmental hazards that may affect the health of occupants or safety of workers during the weatherization work. Some of these hazardous materials or conditions are correctable within the programs and some are not; but asking good questions of occupants and identifying these potential dangers could quickly save lives.

10.2 (DOE only) If one or more of the following environmental hazards in this section are identified during assessment, the client must be notified in writing.

10.2.1 Sources of potential asbestos or lead-based paint

10.2.2 Gas leak testing results with fuel leak sources and locations

10.2.3 Pests that would interfere with weatherization

10.2.4 Electrical hazards

10.2.5 Observed biological and unsanitary conditions

10.2.6 Structurally compromised areas

10.2.7 Code compliance issues which should result in deferral

10.2.8 Observed hazardous waste materials generated/handled in the home

10.3 Installation of weatherization measures affected by the observed hazard shall not proceed until the issue is mitigated or remedied by a licensed professional, when appropriate. Additional hazards may be identified that are not addressed in this section. For additional conditions, see Deferral and Referral Policy.

10.4. Asbestos

10.4.1 Asbestos is a fibrous mineral with fireproofing and insulation qualities and was used in a variety of building materials, including siding, walls, ceilings, vermiculite insulation, and in pipe, ducts, and furnaces, etc. In the1970s, it was discovered that asbestos fibers can cause asbestosis and lung cancer if inhaled. The inhalation risk is greatest when asbestos-containing construction materials are disturbed during remodeling activities and become "friable" (airborne).

10.4.2 The California Contractors State License Board (CSLB) advises that it can be assumed that asbestos is present in any structure built before 1980, unless there is proof that the materials are asbestos-free (such as by laboratory testing).

10.4.3 Common Asbestos-Containing Materials (or "ACMs") and their use in construction are shown in Table E-1.

TABLE E-1: ACM USES IN CONSTRUCTION

Asbestos-Containing Materials Used in Construction	Common Uses of ACMs in Older Homes
• Pipe and boiler insulation	• Duct insulation
• Asbestos insulation (powdered or in vermiculite)	• Duct sealing materials
	• Ducts made of ACM
• Plaster, cement, drywall, joint and taping compounds	• Walls and ceilings
	• Ceiling and wall insulation (e.g. vermiculite)
• Acoustical ceilings (tiles and sprayed-on)	• Textured ceiling (or "popcorn" type)
• Asbestos-cement piping, shingles, and panels	• Drywall and drywall compound
• Roofing felt and sealing compounds	• Caulking compound
• Floor tiles	• Siding
• Siding shingles	• Flues

10.4.4 All applicable Cal/OSHA regulations pertaining to asbestos and asbestos-containing materials shall be followed.

10.4.5 Field personnel are encouraged to learn to recognize ACMs and due diligence must be taken when working around building components that may contain ACM because weatherization personnel or appointed representatives may not take any action that will disturb, expose, release, or discharge any ACM. This includes (attempted) removal or disposal of any ACM/presumed-ACM during the installation of a weatherization measure.

10.4.6 See the Asbestos Policy for additional guidance and program requirements.

10.5. Biologicals

10.5.1 Biological health hazards are those that are caused by molds, viruses, bacteria, insects, rodents, and other animals. The remediation of these hazards or potential hazards is not a weatherization agency responsibility however, field personnel may encounter these conditions and must use appropriate safety equipment and PPE to protect themselves to the extent possible.

10.6. Viruses/Bacteria

10.6.1 Weatherization activities can cause the release of dust and other particles as workers move through a home. As a result, these viruses and bacteria may affect field workers and clients during and after weatherization:

10.6.1(a) **Hantavirus** comes from rodent feces, saliva, and urine. Working in attics or crawlspaces without respiratory equipment and not washing hands after touching infected rodent feces can transmit the disease to workers. Hantavirus is typically found in the eastern and western sides of the Sierras and desert areas. Agencies should check with the local public health departments to find out if Hantavirus has been detected locally, then educating and protecting workers as needed.

10.6.1(b) **Valley fever** is commonly found in the dry soils of the California Central Valley and in the southeastern part of the state. Outbreaks occur in Southern California after major earthquakes when soil is stirred up and the virus is made airborne. This virus is carried in dry soil, so workers in crawlspaces should wear adequate respiratory protection.

10.6.1(c) **Tuberculosis (TB)** is a major bacterial disease primarily affecting the lungs. The TB bacteria are spread through tiny droplets released into the air via coughing/sneezing. Field personnel should be cautious in households with respiratory illness and regular worker screening may prevent crew members from transmitting this disease.

10.6.1(d) **Rabies** is a preventable viral disease transmitted through the bite of a rabid animal. Each year, cases are documented in wild animals like raccoons, skunks, bats, and foxes, and more rarely in domesticated animals. A bite from any animal must be taken seriously and treated immediately. Owners must show proof that their pet was vaccinated if their pet bites someone. A bite by an unvaccinated pet or wild animal will require rabies treatment. Workers should not approach or contact any unfamiliar animal.

10.7. Pests/Poisonous Bites and Stings

10.7.1 There are many animals that can bite or sting, causing an allergic reaction or direct poisoning on the jobsite. A pest inventory should be undertaken before any work to identify potential hazards.

10.7.2 Insects that may cause structural damage are:

10.7.2(a) Termites

10.7.2(b) Powder-post beetles

10.7.2(c) Carpenter ants

10.7.3 Checks should also be made for pests that may endanger workers, such as:

10.7.3(a) Bees, wasps, scorpions, ticks, bedbugs, fleas, etc.

10.7.3(b) Spiders and snakes

10.7.3(c) Rats, mice, and other wild animals

10.7.4 If pests impede work, they should be removed safely (when possible) before work begins. Use caution with chemicals to kill bugs, as pesticides may cause more severe health hazards than the bugs they kill.

10.7.4(a) Workers who are allergic/reactive to stings should inform crew members and, if they have a sting kit, they should review its use with other crewmembers.

10.7.4(b) If a worker is bitten or stung, try to collect the bug that did it in case positive identification is required by a doctor.

10.7.5 If rodents or other wild animals are observed on the jobsite, dwelling deferral or measure deferral may be required until removal by a trained professional is possible. See the Deferral and Referral Policy.

10.8. Dwelling Structure Hazards

10.8.1 Dwellings shall be evaluated for any structural conditions that may jeopardize the safety of crews and occupants during or after weatherization. A thorough structural inspection shall include a check of:

10.8.1 (a) Leaking and/or deteriorated roof or floors

10.8.1 (b) Damaged or severely sagging surfaces and joists in the attic

10.8.1 (c) Failed or sagging foundations, joists, or flooring

10.8.1 (d) Damaged or deteriorated tub/shower or plumbing

10.8.1 (e) Deteriorated siding, or door/window frames

10.8.1 (f) Major HVAC defects that exceed the scope of the program.

10.8.1 (g) Dwelling rehabilitation is in progress, client hoarding is present, etc.

10.8.2 Do not enter a crawl area (attic or crawlspace) affected by any of the following conditions:

10.8.2 (a) Hazardous insect or rodent infestation

10.8.2 (b) Excessive ground moisture (standing water, or mud)

10.8.2 (c) Hazardous electrical condition

10.8.2 (d) Sewage waste on the ground, or any other unsanitary condition

10.9. Combustion Gases

10.9.1 Carbon monoxide (CO) is a poisonous gas that can cause permanent brain damage or even death. It is colorless, odorless and tasteless therefore, workers must be aware of its sources and the signs of CO poisoning.

10.9.2 In any setting where a propane or natural gas appliance is in operation (office, shop, warehouse or weatherization client's home), there is the possibility of excessive CO in the air due to an appliance malfunction.

10.9.3 Personal CO monitors

10.9.3 (a) In accordance with the Building Performance Institute (BPI) 1200 standard, and the Department of Energy application of that standard for Quality Control Inspectors, personal CO monitors ("dedicated ambient CO monitors) shall be worn by certified QCIs while in the work environment.

10.9.3 (b) Within the confined spaces regulations, CalOSHA also may require the use of personal CO monitors for the safety of agency field personnel when performing work in attics, crawlspaces, or other locales meeting the confined spaces definitions. Requirements for this equipment are defined by CalOSHA Title 8, General Industry Safety Orders Section 5157.

10.9.4 Common signs of CO poisoning include the following:

10.9.4 (a) Headache

10.9.4 (b) Nausea

10.9.4 (c) Sleepiness

10.9.4 (d) Dizziness or fainting

10.9.4 (e) Drunk feeling or foggy thinking

10.9.5 If CO poisoning of an occupant or worker is suspected, the affected person must be immediately provided with plenty of fresh air. If fainting occurs, cardiopulmonary resuscitation (CPR) may be required and qualified medical assistance should be obtained.

10.10. Combustion Safety Worker Requirements

10.10.5(a) All field personnel are required to follow the diagnostic testing and combustion safety protocols outlined in the Appendix A Combustion Appliance Safety Protocol to ensure the safe and proper operation of all combustion appliances at each jobsite. Combustion safety workers will:

10.10.5(a1) Identify fuel leaks around and in the building before starting combustion appliance testing. If fuel leaks are present, testing must be discontinued, and the condition shall be reported immediately to the occupant(s) and appropriate utility company.

- If extremely strong gas odors are present in the unit, call to notify the utility company from outside of the unit.

10.10.5(a2) Monitor ambient CO during combustion testing. Testing will be discontinued if ambient CO level inside the home or workspace exceeds 9 parts per million (ppm).

10.10.5(a3) Beware of flame roll-outs.

10.10.5(a4) When a hazardous condition appears to be present, the resident and owner/ agent (if a rental) shall be notified and examination by a qualified professional is required.

10.10.5(a5) Combustion appliance testing shall dictate feasibility of infiltration-reduction measures.

10.10.5(a6) Identify sources of CO in the shop or warehouse. CO may be created by gasoline-powered equipment, such as compressors and generators. Such equipment shall be used only with adequate ventilation.

10.11. Confined Spaces

10.11.1 Cal/OSHA Confined Space standards protect employees from hazards related to confined space exposure.

10.11.2 Agencies and their subcontractors will be responsible for complying with all confined space requirements at each worksite. Information can be found on the Cal/OSHA website at https://www.dir.ca.gov/dosh/dosh_publications/ConfSpa.pdf. Applicable regulations include:

10.11.2(a) Cal/OSHA Title 8, Sections 1950-1962 set forth requirements for practices and procedures to protect employees engaged in construction activities at a worksite with one or more confined spaces. The standard is provided at https://www.dir.ca.gov/Title8Index/t8index.asp

10.11.2(b) Cal/OSHA Title 8, Section 5158 prescribes minimum standards for preventing employee exposure to dangerous air contamination, oxygen enrichment and/or oxygen deficiency in confined spaces. The standard is provided at https://www.dir.ca.gov/title8/5158.html

10.11.3 Employers are required to: 1) determine if there is a confined space, and if so, 2) evaluate the associated hazards and implement specific procedures to protect workers. The level of action is dependent upon whether the space is a "permit-required confined space" or "confined space" only.

10.11.3(a) A "confined space" is a space where:

10.11.3(a1) The space is big enough to enter but not intended for regular occupancy,

10.11.3(a2) There is limited access for entry/exit due to the location and/or size of the opening(s).

10.11.3(b) A "Permit-Required Confined Space" (PRCS) meets one or more of the following conditions:

10.11.3(b1) The space contains a hazardous or potentially hazardous atmosphere

10.11.3(b2) There is the potential for employee engulfment (e.g., by liquid, soil, etc.)

10.11.3(b3) The shape of the space could cause a worker to be trapped or smothered,

10.11.3(b4) Another serious safety or health hazard exists (e.g., unsafe temperature, electrical shock, corrosive or unsafe chemicals, etc.).

10.11.3(c) If a confined space does not have the potential to contain a hazardous atmosphere, it is defined as a Non-Permit Confined Space (NPCS).

10.11.4 Attics, chases, and crawlspaces may be either a PRCS or a NPCS; therefore, all Cal/OSHA confined space regulations to enter the space will apply. Confined spaces (attics, crawlspace) must be inspected for safety hazards prior to any work activity in the space.

10.12. Electrical Hazards

10.12.1 Electrical safety assessment will be performed at each jobsite and regularly at the agency's/subcontractor's warehouses and shops. When installing measures that increase the electrical load to any circuit, field personnel must consult the measure Technical Resource Manual (TRM) for required corrections and obey the requirements of the local jurisdiction (including acquisition of a permit, when required). Common hazards include:

10.12.1(a) Unsafe electrical wiring (e.g., frayed or missing insulation, bare wires, improperly secured splices, lack of junction boxes, etc.).

10.12.1(b) Proximity of water sources (e.g., condensate pans) to electrical sources.

10.12.1(c) Aluminum products (such as foils, etc.) near live wires.

10.12.1(d) Aluminum ladders used for electrical work.

10.12.1(e) For arc flash hazards, the National Electric Code standard (NFPA 70E) will be consulted.

10.12.1(f) Broken light fixtures, loose electrical fixture boxes

10.12.1(g) Damaged outlets and switches

10.12.1(h) Missing cover plates

10.12.1(i) Fire resulting from heat build-up due to encapsulation of electrical sources by insulation

10.12.1(j) Electrical cords/improper use of extension cords

10.12.1(j1) Improperly connected electrical appliances

10.12.1(j2) Workers shall not use electrical cords that are damaged, such as frayed or worn insulation or loose connectors.

10.12.1(j3) In all on-site work areas, all electrical cords shall be GFCI-protected.

10.12.1(k) Knob-and-tube (K&T) wiring

10.12.1(k1) Workers will avoid K&T wiring unless the wiring is certified to be safe by a licensed electrical contractor. (See Section 1 General Installation Guidelines, Knob-and-Tube (K&T) Wiring Guidelines.)

10.12.1(l) Aluminum wiring

10.12.1(l1) If aluminum wiring is present, work on the home must be stopped until the suspect wiring is inspected and determined to be safe by a licensed electrical contractor (C-10).

10.12.1(l2) After an energy retrofit is completed, wiring will be re-inspected by a C-10.

10.12.1(m) Mobile home additional policies

10.12.1(m1) When installing measures that increases load to any circuit, the mobile home metal skin and frame will be grounded through the panel box.

10.12.1(m2) The grounding system will be connected to a copper grounding rod that is driven into the ground a minimum of 8' when possible, and when required by code or the authority having jurisdiction.

10.13. Fire/Flammable Materials

10.13.1 To prevent against fire, field personnel shall:

10.13.1(a) Remove and block existing insulation where it covers heat-producing devices or combustion ventilation air vents.

10.13.1(b) Identify and eliminate potential ignition sources, where possible.

10.13.1(c) Use appropriate materials around heat producing devices or open flames.

10.13.1(d) Eliminate or reduce use of flammable materials.

10.13.2 Workers are never allowed to smoke at a jobsite.

10.13.3 Flammable materials stored near water heaters and furnaces shall be removed and stored in a safe place on the property. Occupants shall be made aware of the importance of keeping combustibles away from appliances.

10.13.4 Combustion and ventilation air (CVA) vents that are obstructed by household items shall be cleared, and occupants shall be made aware of the importance of clear vents.

10.14. Lead-Based Paint

10.14.1 According to CSD policy, when a home was built before 1978, the home shall be presumed to contain lead-based paint. (See Lead Safe Weatherization (LSW) Policy.) Age of the home must be determined by: statements from the county assessor's office, online fee-based verification services, title company documentation, etc.

10.14.2 Lead is a toxic metal that has been used in paint and many other products, and can also be found in dust where lead products are degrading. When any amount of lead enters the bloodstream, it can harm the body and brain, especially in children under six years old, in pregnant women, and in the elderly.

10.14.3 Symptoms of lower level lead poisoning may include stomachache, crankiness, headaches, and loss of appetite; however, it is important to know that some people show no outward signs. Higher levels of lead poisoning may lead to lifelong learning, behavioral, reproductive, cardiovascular, and other health problems. The only sure way to detect lead poisoning is with a blood test.

10.14.4 CSD does not allow lead abatement to be completed within the scope of weatherization.

10.14.5 In pre-1978 homes:

10.14.5(a) Lead-safe regulations and practices must be followed for the California Department of Public Health, Cal/OSHA, the Environmental Protection Agency (EPA) Renovation, Repair and Painting (RRP) Program, and the U.S. Department of Housing and Urban Development, as applicable.

10.14.5(b) Lead-safe weatherization (LSW) assessment, work, and inspection practices shall be employed in conformance with Lead Safe Weatherization (LSW) Policy.

10.14.5(c) When paint will be disturbed, the agency-assigned certified renovator must be on-site during the set-up, clean-up, and to conduct the clearance procedure.

10.15. Methane Gas

10.15.1 The smell of methane (or sewer gas) is usually a waste line and/or vent system which requires fixing or adjustment.

10.15.2 In more dangerous cases, it could be due to a ruptured or broken natural gas or propane line. If this is suspected, field personnel shall immediately aid occupants in leaving the dwelling and contact the gas service company for the dwelling.

10.15.3 If naturally occurring ground methane is detected, field personnel shall advise the occupant and homeowner/agent (if a rental) to contact the local health department or the Department of Agriculture Extension Service for further information and assistance.

10.16. Mold and Moisture

10.16.1 Dwellings shall be inspected for previous or existing moisture problems. Visual inspection shall be conducted to identify:

10.16.1(a) Water-stained ceilings and walls

10.16.1(b) Signs of leaks or mildew on the roof and attic structure

10.16.1(b1) A leaky, deteriorated roof must be fixed before attic-related work is conducted, and may be within the scope of the program to correct, if minor

10.16.1(c) Condensation or other water damage near doors, windows, and the adjacent walls

10.16.1(d) Moist floors or standing water in the crawlspace or basement, or watermarks on the walls

10.16.1 (e) Leaking plumbing

10.16.1 (f) Lack of air movement through the home

10.16.1 (f1) Note: Rooms where registers and doors have been closed may develop moisture issues in cold weather. Educate clients about the need for air circulation to reduce the potential for mold and mildew.

10.16.1 (g) Inadequate ventilation in the home

10.16.1 (g1) High humidity levels in the dwelling

10.16.1 (g2) Missing or malfunctioning local exhaust fan in the bathroom

10.16.1 (g3) Missing or malfunctioning kitchen exhaust

10.16.1 (g4) Clothes dryer without a moisture exhaust venting to outdoors

10.16.2 During the assessment process, field personnel shall report on noticeable signs of moisture/mold problems in the CSD 540A Wx Mold/Moisture Assessment and Release form.

10.16.3 When repairs are feasible, moisture problems shall be eliminated at the source. If a major leak is present, deferral is required and must be documented in accordance with the Deferral and Referral Policy.

10.16.4 If workers encounter moisture issues that were not identified during the dwelling assessment, they should stop work and contact their supervisor about next steps.

10.17. Plumbing Assessment

10.17.1 Review of the plumbing system shall be made prior to weatherization. When repairs are feasible, they shall be made and the affected area shall be allowed to dry completely before measures are installed.

10.17.1 (a) Moisture from leaks in household plumbing fixtures and pipes resulting in mold/mildew growth and structure degradation shall be documented.

10.17.1 (b) Sewer leaks, "gray water" leaks, or standing water can cause illness to workers and residents. The dwelling shall be deferred until issues can be corrected in accordance with the Deferral and Referral Policy.

10.18. Pesticides

10.18.1 If pesticides are present in a work area, field personnel shall wear properly-rated respirators and protective clothing.

10.19. Radon

10.19.1 Radon is a naturally occurring radioactive gas that is odorless, invisible, and without taste. It is released during the natural decay of uranium, which is present in some rock, soil and water.

10.19.2 Radon is the second leading cause of lung cancer in the United States, after cigarette smoking.

10.19.3 See Radon Policy. For more information, refer to https://www.cdph.ca.gov/Programs/CEH/DRSEM/Pages/EMB/Radon/Radon.aspx.

10.20. Unvented Space Heating

10.20.1 Unvented combustion appliances produce moisture as well as other indoor air contaminants. Primary unvented space heaters must be removed (with client permission) and replaced by a properly vented heat source.

10.20.1 (a) Client refusal to allow removal of a primary unvented space heater will result in the home qualifying for non-infiltration reduction measures only (home is NIM).

10.20.2 When an unvented space heater is a secondary heat source, assessors should explain the potential dangers of use to the client and seek permission to remove the appliance if it is not ANSI Z21.11.1–listed.

10.20.2(a) Client refusal to allow removal of a secondary unvented space heater shall be documented, but does not NIM the home. Other types of unvented combustion appliances (i.e., cooktops, ovens, etc.) are not covered by this mandate or by California's Title 24 codes.

10.21. Ventilation Measures and Indoor Air Quality (IAQ)

10.21.1 Many weatherization measures have the ability to improve indoor air quality:

10.21.1(a) Sealing ducts eliminates the infusion of attic or crawlspace air into the conditioned space. See Section 8 Ducting Repair, Sealing and Insulation.

10.21.1(b) Correcting non-conforming combustion appliance conditions eliminates toxic gases in the home

10.21.1(c) Sealing thermal bypasses and infiltration locations reduces unconditioned or polluted air being drawn into a dwelling. See Section 32 Infiltration Reduction.

10.21.2 Some weatherization measures, such as infiltration-reduction, has the potential to worsen the quality of the indoor environment, because they seal in toxic air already present. Dwellings shall not be sealed when uncorrected environmental hazards are present.

10.21.3 The effect of a measure installation on IAQ should be considered before any measure is installed. Caution should be taken when conducting air sealing in dwellings where air quality is a concern.

10.21.4 Each dwelling must be evaluated to determine if the installation of a controlled air source (mechanical ventilation [Section 12 Mechanical Ventilation] and/or a kitchen exhaust [Section 11 Kitchen Exhaust]) would improve the air quality, or if its installation would potentially worsen the health condition of occupants.

10.22. Volatile Organic Compounds (VOCs)

10.22.1 Formaldehyde vapors may be slowly released by some new carpets, particle board, waferboard, plywood, etc., which is known as "off-gassing". Other types of VOCs are also emitted by some household cleaning agents and paints.

10.22.2 Caution should be taken when measuring and setting tightness limits in dwellings with VOCs present. The client shall be notified and asked to remove stored containers of chemicals, when feasible.

10.22.3 If a client is physically unable to remove the chemicals, assistance shall be provided to move the containers to a safe outdoor storage location.

10.23. Task-Oriented Worker Safety

10.23.1 Field personnel are required to incorporate safe work practices in every aspect of the workday. Certain specialty tasks have additional worker safety policies that are summarized in Table E-2.

TABLE E-2: SPECIALTY JOB REQUIRED SAFETY PRACTICES

Job Role	Job Requirement
Air Sealing Worker Safety	• Workers performing air sealing of a structure shall have access to all parts of the structure. Some materials may require the use of special respirators. • Workers and supervisors shall ensure that the following are included as safety practices with air sealing jobs: – Confirm structurally sound ceiling and roofing, safe placement of walk boards, and safe electrical wiring and boxes are in place. – Identify existing insulation types to ensure that hazardous insulation materials like asbestos and vermiculite are not present. – Ensure adequate ventilation and accessibility in attics and crawlspaces. Crews shall practice safety drills in case of accidents in a tight attic or crawlspaces. – Use respirators with HEPA/N-100 filters to prevent the inhalation of particulates—attic/crawlspace dust, mold spores, animal feces, insulation fibers, etc. – Use hard hats to prevent head injuries. – Thoroughly review and follow Safety Data Sheets for all air sealing materials used. – Postpone crawlspace (e.g., sealing and insulation) until after any feasible appliance and HVAC system work has been completed and inspected.
Baseload Worker Safety	• Gas and electric baseload workers shall be aware of safety practices for the following: – Electrical and natural gas hazards – Lifting hazards
Basement and Crawlspace Worker Safety	• Workers entering basements and crawlspaces shall identify, document, and avoid the following safety hazards: – Accessibility in tight places – Pooled water or sewage – Insect and animal hazards – Environmental hazard sources, drug paraphernalia, animal waste, etc. • A negative pressure will be maintained in the crawlspace with reference to the house while work is being performed in the crawlspace. • Appropriate PPE shall be used when working in basements and crawlspaces
Ventilation Worker Safety	• Ventilation workers will be aware of electrical hazards when installing ventilation systems or controls in addition to general safety practices.

TABLE E-2: SPECIALTY JOB REQUIRED SAFETY PRACTICES

Job Role	Job Requirement
Heating and Cooling System Worker Safety	• Workers shall be aware of tasks that may expose workers to a variety of safety hazards. Workers should be aware of: – Structural issues, if roofs are accessed – PPE appropriate for heating and cooling tasks – Need for long sleeves and long pants as additional protection – Liquid nitrogen and other hazards. – Asbestos-containing materials in or on duct systems – Mercury bulbs in thermostats (dispose of in accordance with EPA guidance). – Proper refrigerant recovery procedures and safety equipment – The presence of combustible gas leaks ▪ Leaks must be repaired before work is performed. – The presence of ambient CO before and during work. ▪ CO issues must be addressed before weatherization work is performed or continued. – Pipes needing to be sealed by a certified professional in accordance with manufacturer specifications – Shut-off valves needing to be installed by a certified professional at each gas appliance (in accordance with ANSI Z21.15)
Refrigerant Worker Safety	• Certified technician shall reclaim refrigerant in accordance with the Clean Air Act 1990, section 608, as amended by 40 CFR 82, 5/14/93. • Agencies/subcontractors shall ensure that they have appropriate protocols in place that comply with all standards relating to the disposal of the existing appliances. • A written record/description of hazardous materials encountered which required special handling and/or disposal shall be kept in the client's permanent file.
Clean-up Worker Safety	• Field personnel shall maintain clean and safe working conditions on the job as required by Cal/OSHA Construction Safety Orders. Workers performing clean-up functions shall use a HEPA vacuum to clean up dust and debris. • Appropriate means for containment and disposal of waste materials and debris shall be used. Workers shall leave the dwelling and premises in a condition that is as good as or better than it was prior to commencement of work.

11. ENVIRONMENTAL HAZARD POLICIES

11.1. General Policy for Environmental Hazard Resolution

11.1.1 Limited removal of pollutants that pose a risk to workers is required where possible (e.g., flammable liquids, hazardous chemicals, and other air pollutants) as defined in this section.

11.1.1 (a) If removal cannot be performed or is not allowed by the occupant, the unit must be deferred.

11.1.2 Removal of certain types of biologicals and environmental hazards (e.g., mold, odors, viruses, bacteria, raw sewage, dead animals, etc.) is not allowed within CSD's weatherization programs; however, weatherization workers frequently encounter these conditions.

11.1.3 If one or more of these conditions is identified, and if the problem is not corrected by the homeowner (or a licensed abatement contractor for substances such as lead, radon, asbestos, etc.), weatherization services shall be deferred (using the CSD 542 Weatherization Deferral form). If available, agencies shall refer the client to another agency for assistance and remedial action (rehabilitation).

11.2. Agency/Subcontractor Oversight Responsibilities for Environmental Hazards

11.2.1 Weatherization agencies and subcontractors are advised to proceed cautiously when preparing to weatherize a dwelling unit where environmental hazards may be present.

11.2.2 Work must be performed in accordance with guidelines set forth by the Contractors State License Board (CSLB), Cal/OSHA, the Environmental Protection Agency (EPA), and other regulatory entities.

11.2.3 When toxic or potentially toxic materials and/or conditions are known to be present, agencies are advised to inform the building owner and to create a work scope that ensures weatherization will not cause harm to occupants or installers. Where work cannot be performed safely, the dwelling must be deferred until hazardous conditions are resolved. Furthermore:

11.2.3(a) All agencies/subcontractors providing work under the CSD weatherization programs shall be knowledgeable regarding the laws pertaining to construction activities involving the specific environmental hazard identified.

11.2.3(b) Agencies/subcontractors are responsible for providing health and safety training for their field personnel.

11.2.3(c) Agencies/subcontractors may not use abatement contractors to remove or dispose of hazardous materials without prior authorization from CSD.

11.2.3(d) Hazard remediation costs shall not be allowed under CSD programs however, testing may be allowed when allowed by state and federal regulations.

11.2.3(e) No action may be taken that will disturb, expose, release, or discharge any presumed hazardous material for testing. Only properly trained personnel may remove samples of material for laboratory testing to determine if the sample is, in fact, hazardous.

11.2.3(f) Where the presence of a hazardous material is known or suspected, appropriate safety practices shall be followed to minimize exposure to environmental hazards. Installers shall be required to use safe work practices.

11.2.3(g) Work around hazardous materials shall conform with state regulations, which may include required trainings, use of properly-rated respirators and protective clothing, containment when needed, proper laundering of clothing, and other specified practices.

11.2.3(h) Respirators with appropriate filter cartridges must be worn when working in areas where exposure to airborne environmental hazards is a risk. Before issuing respirators, workers must be medically assessed to make sure they can wear a respirator without causing breathing problems, fit tested for the respirator type, and trained in the proper care and usage of respirators.

11.2.3(i) When a hazardous material is suspected, the agency/subcontractor shall inform the property owner and describe the precautions that will be taken to eliminate exposure in writing. Additionally, agencies and their subcontractors shall:

11.2.3(i1) Instruct occupant(s) to avoid and not disturb confirmed hazardous material locations

11.2.3(i2) Formally notify occupant(s) when test results are positive for the hazardous material (if testing is performed), and obtain a client signature confirming receipt of notification

11.2.3(i3) Provide safety information to the client, when available

11.2.3(j) Occupants will be asked to contract with an EPA-certified contractor to conduct abatement before weatherization is performed in the affected area (occupant is responsible for abatement or remediation work and costs). A clearance report for the removal of the material must be received by the agency before weatherization work is resumed.

11.3. Deferral and Referral Policy

11.3.1 Conditions may exist that cannot be mitigated because corrections exceed the scope of the CSD weatherization programs or cannot be achieved in a cost-effective manner. In these instances, agencies shall install feasible measures and, as applicable, refer the client to other agencies/ programs, such as the following, for additional assistance:

11.3.1(a) U.S. Farmers Home Administration (FHA) Housing Loan Program

11.3.1(b) U.S. Department of Housing and Urban Development (HUD)

11.3.1(c) Department of Housing and Community Development (HCD)

11.3.1(d) County Department of Aging or Senior Resources

11.3.1(e) Other similar programs

11.3.2 When work is not feasible due to an identified deferral condition, or until the client corrects an existing condition, the CSD 542 Weatherization Deferral form shall identify and describe the condition(s) causing the delay, including what work will be done, by whom, and with client and assessor signatures. Weatherization activities may take place after the repairs are complete.

11.3.3 Client refusal of a diagnostic test will be documented on the CSD 542 Weatherization Deferral, and on the appropriate diagnostic form.

11.3.4 Note: The CSD 540 Dwelling Assessment form is used to document a client's refusal of a measure.

11.3.5 Client Notification of Deferral

11.3.5(a) The client shall receive written notification (a copy of the CSD 542 Weatherization Deferral form) of the issue and a description of what the property owner can do to facilitate installation of deferred weatherization measures. When the property is a rental, written notification shall also be provided to the homeowner/agent.

11.3.5(b) Prior to obtaining client signature(s) on the deferral form, weatherization personnel shall:

11.3.5(b1) Review the contents of the form with the client and explain each applicable section.

11.3.5(b2) Ensure that the client understands why the deferral is needed before signing the "Client Acknowledgment" section.

11.3.5(c) The CSD 542 Weatherization Deferral form with assessor's and client's signatures shall be kept in the client file.

11.3.6 The presence of any of the following conditions that are not correctable within the weatherization program scope will require full or limited deferral of weatherization activities as defined below.

11.3.6(a) Full (required) deferral

11.3.6(a1) A home has fewer than three feasible measures (except ECIP EHCS measures).

11.3.6(a2) A client refuses CAS testing.

11.3.6(a3) A client has a health condition that would be made worse by weatherization activities.

11.3.6(a4) The home's mechanical, electrical, or plumbing system is in such disrepair that it is not correctable within the program.

11.3.6(a5) The home has sewage or sanitary problems, or pest infestation that endangers the client/crew if work is performed. Major repair is beyond the program scope.

11.3.6(a6) Issues that make full assessment and/or diagnostic tests not feasible, such as: the home is condemned, under rehabilitation (being remodeled), has significant structural issues, or client hoarding limits accessibility.

11.3.6(a7) Moisture issues are so severe that they cannot be fixed

11.3.6(a8) The client is uncooperative, abusive, or threatening to weatherization personnel.

11.3.6(a9) Extensive amounts of lead-based paint (or presumed lead-based paint) is deteriorated and requires remediation before weatherization work may be performed.

11.3.6(a10) A portable propane tank is attached to an appliance in, or within 5' of, the living space

11.3.6(a11) Dwelling conditions are present that could result in explosion.

11.3.6(a12) Illegal activities are taking place in the home.

11.3.6(a13) (DOE Program) A client refuses duct testing or shell leakage testing.

11.3.6(a14) (DOE Program) A CAS or indoor air quality (IAQ) hazard exists that cannot be reasonably corrected within the scope of the program.

11.3.6(a15) (DOE Program) When mechanical ventilation assessment requires a fan size of 16 CFM or greater, but the measure is:

- Structurally unfeasible in the home or
- The measure is refused by the client

11.3.6(b) Limited deferral

11.3.6(b1) Limited deferral is required when a circumstance is identified that will block the installation of other measures, as a single measure or as a group (type) of measures. The following are examples for LIHEAP only:

- One or more unvented space heaters are present that have a harmful effect on the air quality in the home. Until the unvented heater is removed, the home is restricted to non-infiltration measures (home is NIM).
- Mechanical ventilation (if applicable) is refused by the client or is structurally unfeasible (home is NIM).
- When a combustion appliance or hazardous air quality condition is present that cannot be corrected, the home is NIM. However, careful evaluation must be performed to determine if non-sealing measures are achievable, reasonable, and cost-effective and it is safe for workers to enter within program guidelines.
- Client refusal of a duct leakage or shell leakage diagnostic test renders the home NIM.

11.4. Asbestos Policy

11.4.1 Asbestos Regulation

11.4.1(a) Asbestos fibers may cause damage to lungs if they are friable and inhaled. In accordance with the Cal/OSHA definition in the California Code of Regulations (CCR) Title 8, Section 5208, Appendix G:

11.4.1(a1) "Friable" means that the material can be crumbled with hand pressure and is likely to emit tiny, sharp fibers. Asbestos material used for fireproofing, insulation, or sound proofing is considered to be highly friable and release airborne fibers if disturbed. Materials such as vinyl-asbestos floor tiles and roofing felt are considered typically non-friable unless subjected to sanding, sawing, or degradation. Asbestos-cement pipe or sheet (transite) can emit airborne fibers if the materials are cut or sawed, or if they are broken.

11.4.1(b) The Environmental Protection Agency (EPA) has banned use of asbestos in most building materials.

11.4.1(c) The California Contractor's State License Board (CSLB) advises that asbestos should be presumed to be present in any structure built before 1980, unless there is proof the materials are asbestos-free (such as by laboratory testing).

11.4.1(c1) A material that is known to contain asbestos fibers is called an "asbestos-containing material (ACM).

11.4.1(c2) A material that has not been tested, but is presumed to contain ACM is known as a presumed-ACM or PACM.

11.4.2 Health and Safety Policies for Work with ACM/PACM

11.4.2(a) Work around ACM or PACM must be performed in accordance with guidelines set forth by the Contractors State License Board (CSLB), Cal/OSHA, and the Environmental Protection Agency (EPA).

11.4.2(a1) Agencies/subcontractors shall be knowledgeable regarding the laws pertaining to construction activities involving ACM.

11.4.2(a2) Training of field personnel about ACM and PACM policies will be the responsibility of agencies/subcontractors. No action may be taken that will disturb, expose, release, or discharge any ACM and in no case shall the agency authorize removal or disposal of ACM/PACM by individuals who are not certified to do such work.

11.4.2(a3) Where the presence of ACM/PACM or other potentially hazardous material is known or suspected, appropriate safety practices shall be followed to minimize exposure to airborne environmental hazards. Field personnel shall be required to use asbestos-safe work practices when ACM/PACM is present.

11.4.2(a4) Asbestos remediation costs will not be allowed; however, testing may be allowed by personnel who are properly trained to remove samples of material for laboratory testing (only when allowed by the state and local jurisdiction).

- Agencies and their subcontractors may not use abatement contractors to remove or dispose of asbestos-containing materials (ACM) without prior CSD authorization.

11.4.2(a5) Weatherization work around ACM/PACM shall be performed by personnel to conform with state and local regulations, which may include but are not limited to required trainings, use of PPE, wetting of suspected material, containment when needed, proper laundering of clothing, and other required practices.

11.4.2(a6) When an ACM is known to be present by testing (as completed by a certified contractor), the agency/subcontractor shall inform the property owner that an ACM is present, and describe the precautions that will be taken to eliminate exposure in writing. Additionally, agencies/subcontractors shall:

- Suspected asbestos hazards will be identified in furnaces (e.g., gaskets), wood stoves, zonal heating devices, electrical wiring insulation, boilers, and pipe insulation and corrected in accordance with EPA guidance
- Instruct occupant(s) to not disturb ACM/PACM locations, and recommend avoidance of those locations.
- When materials are tested, formally notify occupant(s) if test results are positive for ACM, and obtain a client signature confirming notification.
- Provide safety information to the client, from resources such as those listed at the end of this policy.
- Provide the client with contact information for these asbestos resources:
  - EPA Region 9 (California), 75 Hawthorne Street, San Francisco, CA 94105
  - Air Resources Board/Asbestos NESHAP Program, Phone: 833-280-0270

11.4.2(a7) A dwelling owner must contract with an EPA-certified asbestos contractor for abatement before weatherization is performed in an affected area (Owner is responsible for abatement or remediation work and costs). Once a clearance report is provided to the weatherization agency, work may resume.

11.4.2(b) When major energy saving measures might be sacrificed as a result of PACM, the agency/subcontractor shall contract with a qualified professional to obtain laboratory testing of PACM (e.g., for all vermiculite or un-encapsulated textured "popcorn" ceilings). This does not apply to metal air ducts/components insulated and/or sealed with gray paper-like material, which is PACM.

11.4.2(c) For work on large multi-family heating and distribution systems (including related piping), the cost of asbestos removal or a less costly approach such as encapsulation may be allowable with prior approval of CSD.

11.4.2(c1) This work will only be allowed where the documented energy savings will result in a SIR ≥1.0. In all cases, compliance with all local code and EPA regulations is required.

11.4.2(d) Encapsulation of non-friable asbestos in limited amounts may be allowed with prior approval by CSD on a case-by-case basis. Encapsulation is the process of covering (encapsulating) ACM in order to contain the fibers permanently. Possible locations include duct register boots containing intact asbestos tape, or rough edges of transite pipe. An approved encapsulation material may be applied however, such work shall be performed only by qualified personnel in accordance with state and federal regulations.

11.4.3 Crew Responsibilities with ACM/PACM

11.4.3(a) Asbestos-safe weatherization practices shall be utilized when working on building components which are known or suspected to be ACM in pre-1980 homes. Field personnel shall:

11.4.3(a1) Participate in all health and safety training for ACM and PACM safety practices.

11.4.3(a2) Clearly document the condition of all ACMs and PACMs (i.e., degraded and potentially friable versus intact and non-friable), material type, and precise location in the CSD 540 Dwelling Assessment form.

11.4.3(a3) Avoid disturbing, exposing, releasing, or discharging any ACM or PACM into the air.

11.4.3(a4) Use asbestos-safe work practices, including site preparation, use of PPE, and clean-up procedures when ACM/PACM are present using techniques and practices to prevent a hazard from being created in the living space. The use of properly-rated respirators and protective clothing is advised in situations involving low level, limited-time exposure. Wetting down PACM is also recommended.

11.4.3(a5) All dust and debris generated as a result of weatherization activities in areas where ACM is present shall be thoroughly cleaned up, using a HEPA vacuum, wetting, bagging, and all other state-mandated safety practices. (See CSLB publications references listed at the end of this section.)

11.4.4 ACM/PACM Classified by Type and Condition of Material

11.4.4(a) Homes built before 1980 are presumed to have asbestos-containing building materials, unless determined by laboratory certification. Table E-3 below lists some, but not all, common types and conditions of ACM/PACM.

11.4.4(b) The condition level (1, 2, or 3) determines procedures to be followed by field personnel, which are further described in Table E-4, Table E-5, and Table E-6.

11.4.4(c) Field personnel and their employers are responsible for recognizing ACM/PACM, and for conducting all weatherization activities affected by its presence in a manner prescribed by state law (See CSLB publications listed at the end of this document).

TABLE E-3: ACM OR PACM CONDITION LEVELS

ACM/PACM Component in a Pre-1980 Dwelling	Condition Level 1 Non-friable, intact, encapsulated (i.e., non-degraded, undamaged)	Condition Level 2 Non-encapsulated, potentially-friable, or partially damaged or degraded
• Supply system metal ductwork with ACM insulation on ducts, register boots, and other components, and/or ACM tape used to seal metal duct joints	• Intact, with no disconnections	• With evidence of damage, degradation, or duct disconnection(s)
• Return system metal ductwork with ACM insulation on ducts, register boots, and other components, and/or ACM tape used to seal metal duct joints	• Intact, with no disconnections	• N/A: See Condition Level 3
• "Transite" vent pipe (asbestos cement pipe)	• Intact	• Damaged or degraded
• Fireproof composite ACM, and asbestos insulation board (e.g., hearth and wall protectors for heating appliances, such as wood-burning stoves)	• Intact	• Damaged/degraded
• Textured ceiling (popcorn or coarse, bumpy texture)	• Intact, may be covered with paint	• N/A: See Condition Level 3
• Caulking compound	• Intact	• Damaged/degraded
• Drywall and drywall compound	• Intact	• Damaged/degraded
• ACM siding ("asbestos shingles")	• Intact	• Damaged/degraded
• Vermiculite ceiling insulation	• Lab-verified to not contain ACM	• Lab-verified to contain asbestos or presumed ACM.

ACM/PACM Component in a Pre-1980 Dwelling	Condition Level 3 Friable—damaged, degraded, crumbling, flaking—and is/may be discharging asbestos fibers into the air
• Rigid non-metallic ductwork made of ACM is present	• Regardless of condition, this is an unacceptable duct material
• Return system ductwork with partial/full disconnection(s) and/or unsound/friable ACM at leaking joints	• May allow asbestos fibers to enter the return system. Unacceptable.
• Textured ceiling (popcorn or coarse, bumpy texture) • Caulking compound • Drywall and drywall compound	• Characterized by crumbling or flaking. Unacceptable.
• Transite pipe	• Damaged, degraded, or requiring replacement to facilitate appliance replacement

If an ACM/PACM is encountered that is not on this list, consult with the Technical Assistance Hotline for guidance at (877) 831-7596 or Wx.Hotline@csd.cas.gov.

11.4.5 Diagnostic Testing and ACM

11.4.5(a) No pressure diagnostics and no duct or shell sealing of any kind is allowed—including catastrophic leakage repair—while an uncorrectable CAS fail or any hazardous (Level 3) ACM is present.

11.4.5(a1) Exception: When ACM is present but there is no CAS fail, weatherstripping and door bottom may be installed to isolate open combustion appliances from the living space (e.g., on a door between an attached garage and the home, or a door of an interior enclosure with CVA vents to outdoors).

TABLE E-4: DUCT AND SHELL TESTING/SEALING WITH ACM/PACM

Level	Condition/Approach	Duct Testing & Sealing	Shell Testing & Sealing
1	• ACM insulation/sealing on supply or return metal ducts is not degraded or friable and there are no disconnections.	• Duct testing is allowed, and duct sealing is allowed in locations where ACM will not be disturbed.	• Pressurized blower door test with registers and grilles blocked—and shell sealing—are allowed.
	• Transite pipe (intact in the living space, or with minor damage in the attic).	• Duct testing and sealing activities that will not disturb ACM are allowed.	• Pressurized blower door test with registers and grilles blocked—and shell sealing—are allowed.
	• ACM (in one or more of the following locations) is verified to be intact or encapsulated, and is in good condition and non-friable: – Fireproof composite ACM – Caulking compound – Asbestos insulation board – Drywall and drywall compound – Textured ceiling – ACM siding – Vermiculite confirmed to not contain asbestos	• Feasible	• Feasible
2	For each of the Level 2 materials listed below: ▪ Visually assess the level of friability of material in multiple locations and note on the assessment form ▪ Lab test if ACM is suspected but not confirmed [1] ▪ Visually check for metal duct disconnections [2]		
	• ACM insulation/sealing on metal supply ducts, and a disconnection exists or is presumed to exist (Note: ACM on return ducts with evidence of damage, degradation, or duct disconnection is a Level 3 condition)	• Duct test is not feasible, but prescriptive duct sealing that will not disturb ACM is feasible.	• Pressurized blower door test with registers and grilles blocked—and shell sealing—are allowed

TABLE E-4: DUCT AND SHELL TESTING/SEALING WITH ACM/PACM

Level	Condition/Approach	Duct Testing & Sealing	Shell Testing & Sealing
2	• ACM (in one or more of the following locations within the living space) is verified to be damaged or degraded: • Fireproof composite ACM • ACM drywall and drywall compound • Asbestos insulation board • ACM caulking compound • (Note: An un-tested textured ceiling with evidence of damage or degradation is a Level 3 condition)	• Duct testing and sealing activities that will not disturb ACM are allowed.	• Not feasible home is NIM, although special weatherstripping* shall be allowed • *Weatherstripping and door bottom may be installed to isolate open combustion appliances from the living space (on door between attached garage and the home, and door on interior enclosure with CVA vents to outdoors)
	• ACM siding is verified to be damaged or degraded	• Duct test is allowed, and duct sealing is allowed in locations where ACM will not be disturbed.	• Feasible
	• Vermiculite insulation verified to contain asbestos	• Duct testing and sealing activities that will not disturb ACM are allowed.	• Pressurized blower door test with registers and grilles blocked—and shell sealing—are allowed
3	• Any non-metallic ductwork made of ACM	• Not feasible home is NIM, defer home	• Not feasible home is NIM, defer home
	• Return system ductwork with partial/full disconnection(s) and/or friable ACM at leaking joints • Textured ceiling (popcorn or coarse, bumpy) • Caulking compound • Drywall and drywall compound • Transite pipe (damaged and crumbling, in the living space or enclosure vented to it)	• Not feasible, home is NIM	• Not feasible home is NIM, although special weatherstripping may be allowed • Weatherstripping and door bottom may be installed to isolate open combustion appliances from the living space (on door between attached garage and the home, and door on interior enclosure with CVA vents to outdoors)
	• Vermiculite insulation is verified to contain asbestos, and metal supply ducts with ACM are in the attic, but there is no duct disconnection	• Duct sealing that will not disturb ACM is allowed	• Pressurized blower door testing with registers and grilles blocked—and shell sealing—are allowed

TABLE E-4: DUCT AND SHELL TESTING/SEALING WITH ACM/PACM

Level	Condition/Approach	Duct Testing & Sealing	Shell Testing & Sealing
3	• Vermiculite insulation is verified to contain asbestos, and metal supply ducts with ACM are in the attic, and there is a duct disconnection	• Duct testing is not feasible, but prescriptive duct sealing that will not disturb ACM is feasible (e.g., platform return)	• Pressurized blower door testing with registers and grilles blocked—and shell sealing—are allowed

[1] Transite pipe and gray paper insulation and sealing tape on metal ducts/components are presumed to be ACM. Testing is not required.

[2] Disconnection presumed to exist, if all ductwork sealed or insulated with ACM cannot be accessed and visually checked.

TABLE E-5: CAS TESTING AND APPLIANCE REPAIR/REPLACEMENT

Level	Condition/Approach	CAS Testing/Appliance Repair or Replacement
1	• CAS fail exists, and intact transite vent pipe is present	• CAS testing is feasible • Appliance repair/replacement feasible, if ACM not disturbed
	• Other Condition Level 1 ACM situations exist	• Feasible, if ACM will not be disturbed
2	• CAS fail exists, and correction would require adjustment/repair/replacement of transite vent pipe, and the correction will cause ACM to be released or discharged	• Appliance replacement/repair is not feasible however, if the owner hires an asbestos remediation contractor to remove the ACM, then appliance repair/replacement by the CSD contractor is allowed
3	• Any non-metallic ductwork made of ACM	• CAS testing not feasible home is NIM and is deferred
	• Return system ductwork with partial/full disconnection(s) and/or friable ACM at leaking joints	• Do not operate the FAU the home is NIM and deferred • A partial deferral is an option, when required minimum number of non-infiltration measures can be installed
	• Textured ceiling (popcorn or coarse, bumpy) • Caulking compound • Drywall and drywall compound • Vermiculite insulation verified to be ACM	• CAS testing is feasible • Appliance repair/replacement that will disturb ACM is not feasible
	• Transite pipe (damaged or crumbling, in the living space or enclosure vented to it)	• CAS testing not feasible for the affected appliance • If affected appliance is the FAU, the home is NIM • If affected appliance is not the FAU, CAS testing, repair, replacement is feasible for other combustion appliances

11.5. Weatherization Installation Activities and ACM/PACM

11.5.1 The following weatherization measures (Table E-6 and Table E-7) may be affected by the presence of ACM:

TABLE E-6: MEASURE INSTALLATION AND ACM/PACM

Weatherization Measure	Location of ACM/ PACM	Recommended Action
• Ceiling Fans • Hardwired Fixtures	• Textured "Popcorn" Ceiling	• Contractors who are certified/trained to handle ACM may disturb limited quantity of material, as long as state requirements are met for containment, clean-up and reporting
• Smoke Alarms	• Textured "Popcorn" Ceiling	• Seek alternative installation location where ACM is not present
• Mechanical Ventilation	• Textured "Popcorn" Ceiling	• Seek alternative installation location where ACM is not present • Contractors who are certified/trained to handle ACM may disturb limited quantity of material, as long as state requirements are met for containment, clean-up and reporting • If contractor is not certified, measure is not feasible
• Wall Insulation	• Asbestos Shingles and Siding	• Do not cut, drill, or sand asbestos wall material • House siding containing asbestos shall not be drilled through or removed however, insulation may be blown from inside the home
• Ceiling Insulation	• (See Table E-7 Ceiling Insulation Installation and ACM/PACM below)	

TABLE E-7: CEILING INSULATION INSTALLATION AND ACM/PACM

Level	Condition/Approach	Ceiling Insulation
1	• Attic contains metal ducts/components, and ACM is not present on ducts	• Feasible
	• Attic contains vermiculite insulation verified to not contain asbestos (by prior certification or lab test)	• Feasible
	• Other Condition Level 1 ACM situations exist	• Feasible
2	• Attic contains metal ducts/components, and ACM is present on ducts	• Feasible only when there is no large leak or disconnection, and ACM will not be disturbed during installation (by the installer or insulation hose)
	• "Transite" vent pipe	• Feasible only when ACM will not be disturbed
	• Textured ceiling (popcorn or coarse, bumpy)	• Not feasible
	• Caulking compound	• Feasible
	• Drywall and drywall compound	• Feasible
	• ACM siding ("asbestos shingles")	• Feasible
3	• Attic contains rigid non-metallic ductwork made of ACM	• The home is NIM, and ceiling insulation is not feasible

TABLE E-7: CEILING INSULATION INSTALLATION AND ACM/PACM

Level	Condition/Approach	Ceiling Insulation
3	• Attic contains return system ductwork with partial/full disconnection(s) and/or friable ACM at leaking joints	• Not feasible
	• Attic contains vermiculite insulation verified to contain asbestos	• Not feasible. Insulation shall not be installed over vermiculite unless testing confirms asbestos is not present.
	• Attic contains transite pipe that is damaged and crumbling	• Not feasible
	• Textured ceiling (popcorn or coarse, bumpy)	• Ceiling insulation and sealing of thermal bypasses in the ceiling are not feasible
	• CAS testing is not feasible for an FAU, due to ACM "transite" vent pipe	• Home is NIM, but ceiling insulation may be installed if ACM will not be disturbed.
	• Duct and shell testing and sealing, and CAS testing, are not feasible	• Defer the home.

11.5.2 Additional Asbestos Resources

11.5.2(a) Air Resources Board of California (ARB): https://ww3.arb.ca.gov/toxics/asbestos/1health.pdf

11.5.2(b) California Department of Public Health (CDPH): https://www.cdph.ca.gov/Programs/CCDPHP/DEODC/EHLB/IAQ/Pages/Asbestos.aspx

11.5.2(c) Environmental Protection Agency (EPA): https://www.epa.gov/asbestos, and https://www.epa.gov/indoor-air-quality-iaq/asbestos-impact-indoor-air-quality

11.5.2(d) Occupational Safety and Health Administration (OSHA): https://www.osha.gov/Publications/OSHA3507.pdf

11.5.2(e) Contractor's State License Board (CSLB): "A Consumer Guide to Asbestos" available at https://www.cslb.ca.gov/Resources/GuidesAndPublications/AsbestosGuideForConsumers.pdf

11.5.2(f) For contractor-related asbestos information, go to: https://www.dir.ca.gov/dosh/ACRU/ACRUresources.htm

11.6. Lead Safe Weatherization (LSW) Policy

11.6.1 CSD weatherization program agencies and their subcontractors shall follow all applicable local, state, and federal laws and regulations pertaining to lead-based paint and lead hazards. They shall be aware of the potential hazards and conduct all activities in a "lead-safe" manner, avoid contaminating homes with lead-based paint dust and debris, and avoid exposing the clients, themselves, and their families to those hazards. It is therefore important that all agency personnel understand and follow this policy.

11.6.2 The requirements listed in this section and in Lead-Based Paint are not intended to be a complete list of practices for controlling and containing lead hazards; however, by using these suggested practices and common sense, lead poisoning from weatherization activities may be prevented.

11.6.3 LSW practices will apply if any of the following conditions are met:

11.6.3(a) The dwelling was built before 1978 and paint will be disturbed during the weatherization process, and

11.6.3(b) Weatherization agency assumes lead-based paint is present without testing.

11.6.4 LSW practices do not apply if:

11.6.4(a) The unit was built in 1978 or later

11.6.4(b) Paint will not be disturbed

11.6.4(c) A California-Certified Inspector/Risk Assessor conducted a lead paint inspection and found the unit to be "lead free"

11.6.4(d) A California-Certified Inspector/Risk Assessor conducted a limited lead paint inspection on surfaces which are to be disturbed by weatherization activities and found the surfaces to be "lead free"

11.6.4(e) The property is designated exclusively for occupancy by the elderly or disabled and only if no child (less than 6 years of age) resides or is expected to reside there (HUD, EPA)

11.6.4(f) The dwelling is a mobile home with all factory-applied paint (HUD and CDPH)

11.6.4(g) The dwelling is a zero-bedroom unit (EPA)

11.6.5 Required Dwelling Deferral

11.6.5(a) CSD policy is to not defer or abandon the weatherization of a home simply because it may contain lead-based paint. Risk can be reduced using lead-safe work practices; therefore, lead will only cause deferral when:

11.6.5(a1) The paint on a pre-1978 residential structure is in seriously deteriorated condition

11.6.5(a2) Large amount of paint chips are present on the ground or floor

11.6.5(a3) Painted surfaces that are to be worked on are in seriously deteriorated condition

11.6.5(a4) Reimbursement for a Clearance Inspection by a certified Inspection/Assessor for HUD units will not be provided by the property owner or local housing authority or CSD

11.6.5(b) If any of the above conditions exist, deferral of weatherization work would mean postponing the work until another agency or the owner has corrected the problem before weatherization can be safely performed (deferral of the home shall be on a whole-dwelling basis, and would not be allowed on a measure-by-measure basis). See Deferral and Referral Policy.

11.6.6 Lead-Related Regulations

11.6.6(a) Agencies/subcontractors are required to be knowledgeable about and follow all applicable regulations when weatherizing homes, including:

11.6.6(a1) California Department of Public Health (CDPH), CCR Title 17, Chapter 8 Accreditation, Certification and Work Practices for Lead-Based Paint and Lead Hazards

11.6.6(a2) Environmental Protection Agency (EPA) Renovation, Repair, and Painting (RRP) Rule

11.6.6(a3) Department of Housing and Urban Development Lead-Safe Housing Rule, 24 CFR Part 35 for work conducted on federal HUD properties

11.6.6(a4) California Department of Occupational Health and Safety (Cal/OSHA) Title 8, Section 1532.1 for employee exposure limits and testing

11.6.6(a5) Local lead-based paint regulations (check local codes). In California, some cities have instituted additional lead regulations that must be followed.

11.6.6(b) A summary of agency compliance triggers and activities for LSW is shown in Table E-8.

TABLE E-8: REGULATORY AGENCIES, COMPLIANCE TRIGGERS AND COMPLIANCE ACTIVITY

Regulatory Agency	Paint Disturbance Compliance Triggers (*de minimis* levels)	Compliance Activity
California Department of Public Health (CDPH)	• Pre-1978 • Any amount of paint • No test kit allowed*	• "Appropriate" containment and cleaning when any paint is disturbed.
U.S. Department of Housing and Urban Development (HUD) Lead-Safe Housing (LSH) Rule	• Pre-1978 • More than 2 sq. ft. per interior room • More than 20 sq. ft. of surface on the exterior • More than 10% of small building components (i.e., trim, baseboard, etc.	• "Appropriate" containment and cleaning when HUD *de minimis* levels are exceeded. • Prohibited activities shall not be used. • Clearance inspection and report by a CDPH-certified Inspector or Assessor is required.
U.S. Environmental Protection Agency (EPA) Renovation, Repair, and Painting (RRP) Rule	• Pre-1978 • More than 6 sq. ft. in any interior room • More than 20 sq. ft. on exterior surfaces	• Certified Renovator shall be on-site during all work. • Client Education Pamphlet shall be delivered and signature obtained. • "Appropriate" containment and cleaning when HUD *de minimis* levels are exceeded. • Prohibited Activities shall not be used. • Certified Renovator shall provide 1) a visual inspection and 2) cleaning verification at the end of the job • EPA-compliant documentation shall be kept in the client file.

*Lead testing clarification: CDPH does not allow the use of lead test kits to determine the presence or absence of lead, no matter how much area may be disturbed. Currently, CDPH only recognizes testing by a state-certified Inspector/Assessor using an XRF (x-ray fluorescence) tool or certified laboratory test to identify the presence of lead. Since EPA and CDPH both hold jurisdiction under the weatherization program, test kits in California are not allowed. CDPH presumes that lead is present for pre-1978 dwellings, and if they apply lead-safe practices when working on those homes, then no testing is required.

11.6.7 Lead Risk Factor Evaluation

11.6.7(a) The lead "risk factor" shall be evaluated for each measure in a pre-1978 dwelling before beginning weatherization work. The variation in risk depends on how much paint is disturbed and how it is disturbed. Certified Renovators shall evaluate the existing conditions and make the final determination of what containment and cleaning practices will be required.

11.6.7(a1) **No-Risk Measures.** Measure that will not require disturbance of any paint for its installation.

- Containment and cleaning procedures are not required.
- Required documentation: For CSD, EPA, and HUD compliance, CSD 708 Lead-Based Paint Regulatory Compliance Report, page 1 is required only.
- Warning: A "no-risk" measure may become a "high-risk" measure and require special actions if paint ends up being disturbed (example: a worker falls through a ceiling when installing insulation).

11.6.7(a2) **Low-Risk Measures.** Installation of these measures may generate minimal lead dust or debris. This classification applies when the amount of surface area to be disturbed is less than or equal to the EPA RRP or HUD de minimis levels (when applicable), and considered "minor repair or maintenance." Note: These activities do not trigger EPA RRP Rule requirements, but may trigger HUD's Lead-Safe Housing Rule if working on HUD-qualified housing.

- When conducting these activities, containment via lead-safe practices and thorough cleaning are required.
- While this type of work is not likely to disturb significant amounts of lead-based paint; it is the responsibility of the Certified Renovator to determine the extent of the lead-safe containment and cleaning practices that shall be performed appropriate to the amount of material disturbed.
- Required documentation: For CSD, EPA, and HUD compliance, the full CSD 708 Lead-Based Paint Regulatory Compliance Report shall be completed. Photographic documentation of job site set-up, containment, and clean-up activities may be required.

11.6.7(a3) **High-Risk Measures.** These measures will disturb more than the EPA's "de minimis" levels and generate significant quantities of paint dust and debris.

- They have the potential to create a "hazardous" condition for occupants and workers if lead-safe steps are not taken.
- These measures require high levels of containment, lead-safe work methods, and clean-up procedures.
- It is the responsibility of the Certified Renovator to determine the extent of the lead-safe containment and cleaning practices that shall be performed appropriate to the amount of material disturbed.

11.6.7(b) Required documentation shall be as follows (Table E-9):

TABLE E-9: REQUIRED DOCUMENTATION BY REGULATORY ENTITY

Regulatory Entity	Required Documentation
CDPH	• Full CSD 708 Lead-Based Paint Regulatory Compliance Report shall be completed.
EPA	• Full CSD 708 Lead-Based Paint Regulatory Compliance Report shall be completed when de minimis is exceeded. • Photo documentation of job site set-up, containment, and clean-up is recommended. • Certified Renovator is required to perform: 1) jobsite monitoring, and 2) visual inspection and cleaning verification of all affected work areas. Certification of results shall be recorded in the CSD 708 Lead-Based Paint Regulatory Compliance Report.
HUD	• Full CSD 708 Lead-Based Paint Regulatory Compliance Report shall be completed when de minimis is exceeded. • Photo documentation of job site set-up, containment, and clean-up is recommended. • A Clearance Inspection from a CDPH-certified inspector/assessor is required. • (Note: Clearance inspection of only the worksite area is permitted only when containment was used to ensure that dust and debris generated by the work is kept within the worksite. Otherwise, the clearance inspection shall be of the entire dwelling unit, common area, or outbuilding, as applicable.)

11.6.8 Worker Exposure Limits

11.6.8(a) The Cal/OSHA workplace lead regulations (CCR Title 8, Section 1532.1) apply when:

11.6.8(a1) Conducting new construction, alteration, repair, or renovation of structures, substrates, or portions thereof that contain lead or materials containing lead

11.6.8(a2) Any painted surfaces are disturbed and workers may be exposed to a lead.

11.6.8(a3) Exposure exceeds the action level (AL) of 30 micrograms/cubic meter (µg/m^3) per 8-hour total weight average (TWA). The action level triggers several ancillary provisions of the standard such as exposure monitoring, medical surveillance, and training.

11.6.8(a4) Exposure exceeds the permissible exposure limit (PEL) of 50 micrograms/cubic meter (µg/m^3) per 8-hour TWA. Additional requirements shall be observed when the PEL is exceeded.

11.6.8(b) In accordance with Cal/OSHA regulations, all contractors who conduct construction work where an employee may be exposed to lead are required to:

11.6.8(b1) Conduct an initial exposure assessment to determine if employees are exposed to airborne concentrations of lead at or above the AL; and

11.6.8(b2) Monitor the workplace while construction activities that may disturb lead are conducted, unless it can be proven that employees are not exposed to lead at or above the AL; or

11.6.8(b3) Treat employees as if they are working above the PEL if activities include manual demolition of structures, manual scraping, manual sanding, heat gun applications and power tool cleaning with dust collection systems; and

11.6.8(b4) Have a written compliance program in place before starting a project where lead is or may be involved.

11.6.8(c) The Cal/OSHA regulations require that employers provide or include, if working at or above the PEL, the following:

11.6.8(c1) Engineering and work practice controls

11.6.8(c2) Signs

11.6.8(c3) Respiratory protection

11.6.8(c4) Protective work clothing and equipment

11.6.8(c5) Housekeeping, which includes cleaning of work areas as needed and the use of HEPA vacuums to remove lead dust

11.6.8(c6) Hygiene practices, including showers

11.6.8(c7) Lead abatement certification training

11.6.8(c8) Biological monitoring (blood lead testing)

11.6.8(d) When exposures are below the PEL (for most if not all weatherization work) agencies/ subcontractors should provide:

11.6.8(d1) Housekeeping (HEPA vacuum, wet clean-up, or other effective methods).

11.6.8(d2) Hand-wash facilities.

11.6.8(d3) Training as specified in §1532.1.

11.6.8(d4) Appropriate respirator protection and personal protection equipment.

11.6.8(e) For certain highly hazardous tasks, also known as trigger tasks, special protective measures shall be taken, including specified respirators, until the employer determines the workers' airborne exposure to lead are below PEL.

11.6.9 Lead-Safe PPE

11.6.9(a) Field personnel are required to wear adequate protection while working with presumed lead material to prevent the spread of lead dust and debris, which will keep workers safe, reduce the potential for dust to exit the work area, and to keep work area clean (Fig. E-1).

11.6.9(b) Depending on the amount of paint to be disturbed and risk factor of work to be performed, the recommended PPE is:

FIG. E-1: PERSONAL PROTECTIVE EQUIPMENT

11.6.9(b1) No-risk activities: No PPE is required.

11.6.9(b2) Low-risk activities: Workers may choose to wear PPE, however:

- All clothes or PPE shall be cleaned in accordance with the procedures listed in these requirements:
  - Work clothes shall not be worn home by workers but shall be:
    - "Contained" before leaving the worksite in accordance with CDPH and Cal/OSHA policies or
    - Properly cleaned and laundered (when not disposable) to remove all traces of presumed leaded dust

11.6.9(b3) High-risk activities: Workers must wear PPE while conducting these activities.

- Tyvek or work clothes shall not be worn home by workers but shall be:
  - "Contained" in accordance with CDPH and Cal/OSHA policies before leaving the worksite and
  - Properly laundered/cleaned to remove all traces of presumed leaded dust
- Lead-safe PPE shall include:
  - Half-face, National Institute for Occupational Safety and Health (NIOSH)-approved, air purifying respirators with N-100, R-100, or P-100 type particulate filters
  - Disposable work clothing that may include a painter's hat or Tyvek hood Tyvek or polyspun suit or coveralls, and shoe covers or booties
  - Removal of work clothing, including booties before stepping off the poly to leave the work area. This prevents the movement of leaded dust throughout the building, in the work vehicle, and transfer to the shop or home
  - Alternatively, Cal/OSHA allows the use Tyvek suits or washable work clothes (i.e., uniform, coveralls), provided that the clothing is HEPA-vacuumed, removed, and stored properly before leaving the worksite. Bagged clothing must be collected at the end of each job and washed at least once a week in accordance with CDPH and Cal/OSHA policies (the agency's responsibility)
  - Optional PPE also includes gloves (cloth, plastic, or rubber as appropriate) and eye protection

11.7. LSW Minimum Work Standards for Field Personnel

11.7.1 The remainder of this section is a guide for lead-safe weatherization practices that will reduce or eliminate lead hazards addressed herein. It supports work practices required by DOE, Cal/OSHA, CDPH, the EPA RRP Rule, and HUD's LSH Rule.

11.7.2 Agency/Subcontractor Responsibilities

11.7.2(a) Federal law requires that all firms performing renovations must ensure that:

11.7.2(a1) All individuals performing activities that disturb painted surfaces on behalf of the firm are either certified renovators or have been trained by a certified renovator

11.7.2(a2) A certified renovator is assigned to each renovation and performs all of the certified renovator responsibilities

11.7.2(a3) All renovations performed by the firm are performed in accordance with the work practice standards of the Lead-Based Paint Renovation, Repair, and Painting Program (RRP)

11.7.2(a4) Pre-renovation education and lead pamphlet distribution requirements of the Lead-Based Paint Renovation, Repair, and Painting Program are performed

11.7.2(a5) The program's record keeping requirements are met

11.7.3 Certified Renovator Responsibilities

11.7.3(a) The Certified Renovators are responsible for ensuring overall compliance with the Lead-Based Paint Renovation, Repair and Painting Program's requirements for lead-safe work practices. An EPA Certified Renovator shall:

11.7.3(a1) Determine if compliance with the RRP Rule is required

11.7.3(a2) Use an EPA-recognized test kit to determine whether components affected by the renovation contain lead-based paint, or assume lead-based paint is present for housing and buildings covered by this rule, unless testing is done that determines the components affected are lead-free

11.7.3(a3) Determine the type and extent of lead-safe work practices at each job site and provide on-the-job training to other workers (who have not taken the Certified Renovator training course) on the lead-safe work practices to be used in performing their assigned tasks

11.7.3(a4) Be physically present at the worksite when warning signs are posted, while the work area containment is being established and while work area cleaning is performed

11.7.3(a5) Regularly direct work being performed by other individuals to ensure that the work practices are being followed, including maintaining the integrity of the containment barriers and ensuring that dust or debris does not spread beyond the work area

11.7.3(a6) Be available, either on-site or by telephone, at all times during renovation

11.7.3(a7) Perform worksite cleaning verification

11.7.3(a8) Have copies of their initial course completion certificate and their most recent refresher course completion certificate at the worksite

11.7.3(a9) Prepare required records. (For a sample checklist of required records, see www.epa.gov/lead/pubs/samplechecklist.pdf)

11.7.4 Required Worker Safety Procedures

11.7.4(a) Workers using PPE during hot weather may experience heat stress. Workers should be provided with training on heat stress and exhaustion, be provided adequate breaks, have constant availability of water away from the worksite, and access to other re-hydrating liquids.

11.7.4(b) Limit occupant access to the work area. Occupants, children, and pets shall be kept out of the work area at all times until after visual inspection and cleaning verifications prove that the surfaces are clean and free from lead-containing dust.

11.7.4(c) Clients shall be informed what lead-safe work will be done and how long it will take before any work begins, so they may plan to be clear of the area.

11.7.4(d) During weatherization work, workers shall wash your hands and face frequently, particularly when leaving the work area and especially before leaving the area for the purpose of eating, drinking, or smoking. Absolutely no smoking, drinking, or eating is allowed in the work area.

11.7.4(e) All interior and exterior site preparation practices, containment work, and clean-up activities shall be followed as defined by the Certified Renovator.

11.7.4(f) In accordance with Cal/OSHA regulations, workers are required to wear monitors and have annual medical exams to check blood lead levels. Lead related work should not be performed by a worker if blood-lead levels are too high.

11.7.4(g) Workers must inform their employer if signs of lead poisoning are identified.

11.7.5 Prohibited Lead-Safe Field Practices

11.7.5(a) When working in pre-1978 homes, it is prohibited to:

11.7.5(a1) Reuse poly material used as protective containment sheeting. Polyethylene is the only acceptable protective containment sheeting and shall never be reused.

11.7.5(a2) Dry sweep using brooms and never use shop vacuums for any lead-safe work and cleanup. Wet cleaning and HEPA vacuums are the only acceptable methods for lead-safe weatherization work and clean-up.

11.7.5(a3) Cut a painted door inside a home.

11.7.5(a4) Use a conventional shop vacuum with HEPA filters. Only HEPA-designed vacuums are acceptable for LSW.

11.7.5(a5) Turn leaded paint into leaded dust by dry scraping or sanding (unless within 1' of electrical outlets/switches) or grinding, abrasive blasting or planing.

11.7.5(a6) Use machine/power sanders, grinders, abrasive blasting, or sandblasting without HEPA vacuum attachments (shroud)—even on a small surface—create a large amount of leaded dust that floats in the air and then settles on surfaces inside and outside the work area.

11.7.5(a7) Use an open-flame torch or heat gun (above 1100°F) to remove paint or window glazing.

11.7.5(a8) Use open flame/high heat methods to remove paint create fumes that are dangerous for workers to breathe. Small lead particles created by burning and heating also settle on surrounding surfaces and are very hard to clean up.

11.7.5(a9) Smoke, drink, or eat in the lead-safe work area or allow dwelling occupants to do so.

11.7.6 LSW Client Education and Notification

11.7.6(a) Clients with pre-1978 homes to be weatherized receive EPA's "Renovate Right: Important Lead Hazard Information for Families, Child Care Providers and Schools" prior to the start of any work on the unit. A copy of the client-signed CSD 321 Client Education Confirmation of Receipt is required to be kept in the client file.

11.7.6(b) An adult tenant or homeowner must sign acknowledgment that the lead-safe activities will be completed after receiving the pamphlet. The pamphlet can also be sent by certified mail with receipt to be placed in the client file.

11.7.6(c) In multi-unit housing, the agency/subcontractor shall:

11.7.6(c1) Provide written notice to each affected unit (notice shall describe: general nature and locations of the planned renovation activities; the expected starting and ending dates; statement of how occupant can get pamphlet at no charge); or

11.7.6(c2) Post informational signs (signs shall describe general nature and locations of the renovation and the anticipated completion date) and post the EPA pamphlet. (If pamphlet is not posted then agencies are required to provide information on how interested occupants can review a copy of the pamphlet or obtain a copy at no cost from the Weatherization Program).

- Warning signs also shall be posted at entrances to the worksite when occupants are present; at the main and secondary entrances to the building; and at exterior work sites. The signs shall be readable from 20 ft. from the edge of the worksite. Signs should be in the occupants' primary language, when practical.

11.7.6(c3) Delivery to owner/occupant. Owner's and/or occupant's signature with acknowledgment or certificate of mailing. The owner/occupant must acknowledge receipt of the EPA pamphlet prior to start of renovation that contains the address of unit undergoing renovation, name and signature of owner or occupant, and the date of signature. It shall be in same language as "contract for renovation" for an owner-occupied (or the same language as the lease for occupant of non-owner occupied) target housing.

If the Weatherization Program cannot obtain a signed acknowledgment (either the occupant is not home or refuses to sign the form), then the self-certification section of the form shall be signed to prove delivery.

The acknowledgment form shall be filed and remain in the client file for three years from date of signature. In addition to providing a copy of the pamphlet to owners and occupants, designated local agency staff (e.g., intake specialist, auditor, crew chief) shall discuss the hazards associated with lead-based paint and lead dust, and describe how they will conduct lead-safe activities in the home.

11.7.7 Containment

Every pre-1978 job where paint will be disturbed requires Containment, Cleaning, and Certification. The level of this work will vary depending on if a low-risk or high-risk measure is being installed.

11.7.7(a) Containment is the active control of lead dust and debris in the work site. It is required by the State of California whenever lead-based paint or presumed lead-based paint is disturbed. It includes measures taken to ensure that dust and debris created or released during weatherization are not spread, blown, or tracked from inside to outside of the worksite perimeter.

11.7.7(b) The set-up of the worksite shall be performed appropriate to the amount of painted surface to be disturbed, with the specific containment methods to be defined by a Certified Renovator. The following containment practices shall be used when applicable.

11.7.7(b1) Worksite preparation

- The Certified Renovator shall direct the containment of the work area so that dust or debris does not leave the area while the work is being performed.
- For interior work areas, signs shall be posted outside room where work will be performed (interior 5' set-back of at least is recommended) to warn occupants.
- Exterior work areas shall post signs and limit access at least 20' from the work zone (Fig. E-2).
- Ensure containment does not interfere with occupant and worker egress in an emergency.

FIG. E-2: RENOVATION CAUTION SIGN

11.7.7(b2) Interior containment

- Low-risk, minimal: 6-mil polyethylene sheeting (also called "poly") shall be spread immediately below the work area.
- Low-risk, moderate: Poly should extend up to 6' on all sides from the work area, and an additional second layer of sheeting shall be added over the work area to facilitate clean-up of dust. Poly sheets shall be tightly secured above the baseboard using 2" painters' tape. Duct tape perimeter of the poly sheet to the carpet (Fig. E-3).
- Note: Polyethylene sheets can be very slippery, thus extreme caution should be observed when walking on sheets.

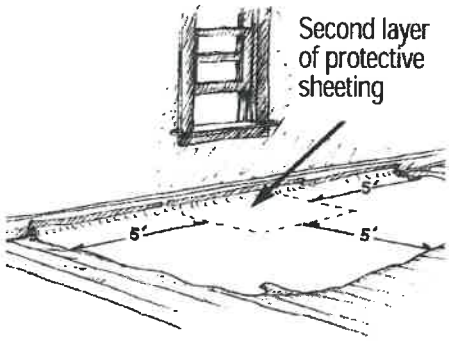

FIG. E-3: LEVEL 2 CONTAINMENT: POLY SHEETING 6' BEYOND WORK AREA

- For some Low-risk containment, it may be necessary to:
  - Close and seal all windows/doors in the work area.
  - Shut off or seal airflow—i.e., HVAC equipment or vents, or ceiling fans when present.

- High-risk containment is required when the EPA or HUD de minimis levels will be exceeded.
  - Requires an expanded containment area (6' beyond the immediate work for interiors).
    - Where possible, remove belongings and furniture from the expanded work area, including: furniture, rugs and window coverings.
    - Completely cover all immovable fixtures, furniture, carpets and other personal items with protective sheeting.
    - Seal the seams and edges with tape (Fig. E-4).
    - Secure protective sheeting to the floor with tape so that no dust can get onto the covered items.

FIG. E-4: SEALING A BARRIER WALL

  - High-risk containment also requires:
    - Covering of all horizontal surfaces
    - Constructing barrier walls (Fig. E-5)
    - Closing and sealing doorways and windows in the work area
    - Covering HVAC registers, turning off HVAC equipment
    - Shutting off and covering ceiling fans, etc.

FIG. E-5: VERTICAL CONTAINMENT WITH A BARRIER WALL

11.7.7(b3) Exterior containment

- Low-risk, minimal: 6-mil poly shall be spread below the work area.
- Minimize creation of dust by using:
  - Hand tools (instead of power tools)
  - Working wet
  - HEPA-shrouded power tools
  - Catch bags
- High-risk:
  - Cover nearby plants, vegetable gardens, and children's play areas with poly sheeting (Fig. E-6).
  - Move all play equipment/toys at least 10' away from the work area and cover in place.
  - Cover the wall 10' to either side of the work location and spread poly at least 10' out from the base of the wall.

FIG. E-6: EXTERIOR CONTAINMENT

  - Secure the poly to the wall using 2" blue painter's tape, or anchor it so that there are no gaps between the plastic and the wall.
  - Anchor the edges of the poly with heavy objects.
  - Anchor ladders through a slit in the plastic directly to the ground, then tape around the slit.

- Some high-risk jobs may require extra precautions:
  - If possible, extend the area of ground covered by poly.
  - If conditions are windy, if space is limited, or if adjacent properties are close to the work area, vertical containment is required (Fig. E-7).
  - On days with high winds, it is not advisable to perform dust creating activities. The HUD LSH Rule restricts exterior work in winds in excess of 20 miles per hour. The EPA RRP Rule does not address wind speed; however, extra precautions shall be taken.

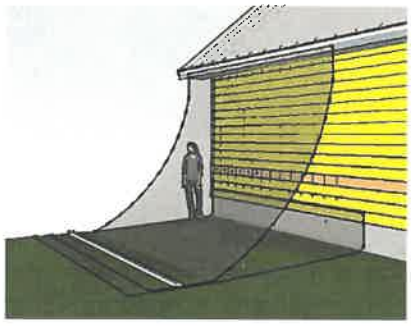

FIG. E-7: VERTICAL CONTAINMENT ATTACHED TO BUILDING EAVE

11.7.7(b4) Supplemental containment practices

- Create an Outdoor Lead-Safe Work Area
  - Set up a "lead-safe" work area, outside away from the residence, with adequate poly sheeting and containment methods to prevent the spread of dust and debris, and in a wind protected area.
  - Place 6-mil poly on ground or floor so that it is at least 6 feet out around the cutting area.
  - Locate any work sawhorses in the center of the plastic sheet.
- Catch bags
  - Make a "catch bag" by taping a 6-mil poly bag directly under the work to catch debris (Fig. E-8).
  - Install a stiffening frame with wire inside the bag to keep it open, when needed.
  - Use painter's tape to secure the catch bag to painted surfaces. Do not use duct tape; as it may remove the paint.
  - If the debris (pieces of broken glass) is likely to break or cut the bag open, place the catch bag in a box or bucket.

FIG. E-8: USING A CATCH BAG AND WET MISTING

- Wet misting/working wet
  - Working wet is the most important LSW practice for minimizing the creation and spread of leaded dust.
  - Mist a work area before and while drilling, sawing, or prying (Fig. E-9).
  - Use battery-powered tools or hand tools when wet misting.
  - Use a GFCI to prevent shocks if power tools are used.
  - Do not spray water on the electric motor.

FIG. E-9: WORKING WET

- HEPA vacuum and tools with HEPA-attached shroud
  - Have one person hold the nozzle of a HEPA vacuum under the drill bit to catch the dust and debris as it is being produced (Fig. E-10).
  - Shrouded tools connected to HEPA vacuums also help contain dust and debris.

- Cutting or taping paint edge
  - Scoring paint before separating components prevents paint from chipping when a paint seal is broken.
  - Cut the paint bead between the trim and wall, and the trim and jamb, with a utility knife (Fig. E-11).
  - If not possible to cut the paint, carefully tape the edge to help control any dust created.
  - Gently pry off and remove object carefully (i.e., trim, door jamb, etc.). Prying and pulling apart components is a cleaner work practice. Pulling nails instead of pounding creates less dust and fewer paint chips.
  - If any dust is being generated, lightly mist it with water.

FIG. E-10: HEPA SHROUDED POWER TOOL

FIG. E-11: CUTTING THE PAINT BEAD ON TRIM

11.7.8 Jobsite Cleaning

11.7.8(a) Precautions shall be taken to ensure that all work personnel, tools, and surfaces are free of dust and debris during weatherization work and before workers have left the work area. Jobsite cleaning requires periodic (intermittent) and final clean-up activities.

11.7.8(b) Following the renovation, the work area must be cleaned until no dust, debris or residue remains and all waste that has been collected from renovation activities shall be collected and disposed of properly. Final cleaning of the work area is required to include:

11.7.8(b1) Complete HEPA vacuuming of the work area, workers, tools, etc.; and,

11.7.8(b2) Wet washing with a detergent cleaner. Wet washing consists of spraying a cleaner on the area to be cleaned and washing the area with a clean rag or disposable towel until all surfaces in the work area are clean and dried.

11.7.8(c) Required intermittent cleaning (while a job is in progress)

11.7.8(c1) While working on a weatherization task, place debris directly in the 6-mil collection bags.

11.7.8(c2) Keep work areas clean by removing debris and HEPA vacuuming floor/ground cover immediately after completing each work activity.

11.7.8(c3) Periodically use the HEPA vacuum to clean off workers, tools, and the work area if sufficient dust is created that may be spread (Fig. E-12).

11.7.8(c4) If any worker will leave the work area while the job is in progress, PPE must be cleaned, removed, and bagged appropriately. Before re-entering the work area, new PPE must be put on.

FIG. E-12: HEPA VACUUM ALL SURFACES

11.7.8(c5) Before re-installing doors, thresholds, or windows, HEPA vacuum the rough opening to remove all dust and debris.

11.7.8(c6) Use the HEPA vacuum to clean dust from all work surfaces and the surrounding area, then wet mist and wipe each surface clean prior to reinstalling (Fig. E-13).

11.7.8(d) Required 9-step final cleaning

11.7.8(d1) Step 1: Pick up visible debris

- Pick-up all visible paint chips and debris and discard or wrap component parts in plastic sheeting.

- The main point of cleaning is not to let dust spread beyond the work area. For exterior jobs, focus specifically on the areas that children could have access to such as bare soil, play areas, exterior porches and exterior window sills. Always inspect beyond the work area.
- Secure containers or catch bags with duct tape.
- HEPA vacuum and wet-clean the containers used to pick up debris.

FIG. E-13: WET MIST AND WIPE ALL SURFACES

11.7.8(d2) Step 2: Clean all tools in the work area

- While working on the floor containment poly sheeting, HEPA vacuum and damp wipe (using a detergent-soaked cloth) all tools, equipment and cords, including the HEPA vacuum and hose. Dispose all wipes in a 6 mil plastic bag.
- Once cleaned, all tools, except the HEPA vacuum can be stowed in sealed hard-sided tool container(s).
- Wet wipe and remove containers from the containment area.

11.7.8(d3) Step 3: HEPA vacuum surfaces from high to low

- HEPA vacuum the entire contained work area surfaces from high to low. Start with the walls (house walls as well as any poly walls), tops of doors, and window troughs (high) and work your way down to the floor (Fig. E-14).
- HEPA vacuum all surfaces worked on or that are near the work area.
- Vacuum the protective floor sheeting last.

FIG. E-14: HEPA VACUUM FROM HIGH TO LOW

11.7.8(d4) Step 4: Wet clean surfaces from high to low

- Wet clean the surfaces using a household detergent or wet wipes.
- When cleaning wet, you can either mist the surface with cleaning solution or use a wet disposable cloth (Fig. E-15).
- Work from high surfaces to low.
- If a surface is very dirty use a moist paper towel before using the wet cloth.
- Replace cloths and change rinse water often.

FIG. E-15: WET SURFACES FROM HIGH TO LOW

11.7.8(d5) Step 5: Cleaning of PPE/workers

- While standing on the ground containment poly sheeting, HEPA vacuum and damp wipe personal protective clothing (Fig. E-16).

FIG. E-16: CLEANING PPE

11.7.8(d6) Step 6: Remove all poly sheeting

- Indoors
  - Starting with wall and furniture poly indoors (or exterior vertical) poly containment, carefully remove the plastic and lay it on the floor poly sheeting (Fig. E-17). While standing on the floor containment, tightly fold the plastic together (do not shake or rattle plastic), with the lead exposed side folded to the inside. Once folded, tightly roll the plastic and place it in a large 6-mil plastic bag or two heavy duty bags.

FIG. E-17: REMOVING INTERIOR POLY

  - HEPA-vacuum the floor/ground poly and all worker PPE thoroughly.
- Outdoors
  - Remove poly floor/ground cover(s) by carefully pulling the tape and folding the corners of the poly sheet to the middle of the sheet tightly, and continue folding with the lead-exposed side always on the inside of the fold (Fig. E-18).

FIG. E-18: REMOVING POLY GROUND COVER

FIG. E-19: POLY DISPOSAL

  - Tape the poly sheeting up and place the folded sheet in a 6-mil debris collection bag (Fig. E-19). Secure bags in accordance with EPA RRP requirements.
- Properly dispose of the poly film in accordance with requirements of CDPH and the local jurisdiction.
- Never re-use poly sheeting

11.7.8(d7) Step 7: Clean floor surface (interiors only)

- Remove booties before stepping off the poly sheeting. If booties are not worn, shoes shall be carefully cleaned using a HEPA vacuum cleaner before stepping off the poly sheeting.
- HEPA vacuum area under the poly and up to 2' beyond.
- If the floor surface under the poly is washable (carpet is not), spray/mist the detergent solution on the surface and wipe it clean (Fig. E-20).
- For carpeted floors HEPA vacuum the area that was under the poly sheeting and at least 2 feet beyond it. The HEPA vacuum shall have a beater bar for vacuuming carpet.

FIG. E-20: SPRAY/MIST WASHABLE FLOORS

11.7.8(d8) Step 8: Final personal cleaning (Fig. E-21)

- Never leave a work site wearing dirty/dusty work clothes or disposable clothing.

- HEPA vacuum work clothes before removing them. From outside the house, gently remove your personal protective clothing and dispose with other debris.
- Use disposable cleaning cloths to clean yourself and respirator before entering your work vehicle or re-entry into the home.
- Dispose the wipes with other debris.
- Secure your respirator in its protective container.
- Before allowing occupants to re-enter the work area, visually inspect the area for dust—if necessary repeat HEPA vacuum and wet cleaning. If a clearance inspection or a Certified Renovator inspection is required, do not allow occupants into the work area until the inspection is complete and the work "passes" inspection.

FIG. E-21: FINAL PERSONAL CLEANING

11.7.8(d9) Step 9: Disposal of debris

- Collect all disposable PPE and other personal cleaning debris in 6-mil plastic bags.
- Tie bags in accordance with EPA RRP requirements.
- Properly dispose of all debris in accordance with requirements of the local jurisdiction. Do not place in garbage collection bins at the dwelling.
- Dispose of all collected debris in 6-mil plastic bags at a location that is in accordance with CDPH requirements and local code.

11.7.9 Certification Requirements

11.7.9(a) Under the EPA RRP Rule a visual inspection and cleaning verification of each work area shall be performed by the Certified Renovator after the cleaning is completed. If the housing also receives HUD (federal) assistance, a clearance inspection conducted by a Certified Lead Inspector/Assessor or Certified Lead Sampling Technician is also required.

11.7.9(b) Within 48 hours of the completion of all cleaning, the Certified Renovator shall visually inspect the indoor and/or outdoor work area to confirm that the entire area is free of dust, paint debris, or residue. For exterior projects, when work areas have passed the visual inspection, the project is complete and the area may be turned over to the occupants. When interior project work areas have passed the visual inspection, the Certified Renovator shall perform the cleaning verification procedure.

11.7.9(c) The cleaning verification shall be performed by wiping each horizontal surface and non-carpeted floor with a new, wet cloth. When compared against an EPA cleaning verification card, if the cloth does not "pass" then the cleaning shall be re-performed.

11.7.9(c1) The cleaning verification test is then performed again with another wet cloth. If the second cleaning does not pass the renovator shall re-clean, wait one hour and wipe the surface with a dry electrostatic charged cloth.

11.7.9(d) If the weatherization activity does not meet the triggers for the EPA Rule or the HUD Lead-Safe Housing Rule, the Crew Supervisor shall conduct an on-site visual inspection of each work area to ensure that it has been cleaned properly.

11.7.9(d1) All final inspection and verification shall be completed, confirmed, then certified by the Renovator responsible for the project on the CSD 708 Lead-Based Paint Regulatory Compliance Report final page.

11.7.9(e) Certification/inspection documentation

11.7.9(e1) CSD required final inspection—The Certified Renovator shall complete the CSD 708 Lead-Based Paint Regulatory Compliance Report, final page.

11.7.9(e2) EPA final inspection—Inspection by a Certified Renovator is required when the project disturbs more than the EPA de minimis level. Inspection consists of two parts:

- Visual inspection (Looking for paint dust and other leftover debris)
- Post-renovation cleaning verification

11.7.9(e3) HUD clearance inspection—A Clearance Inspection is required from a Certified Lead Inspector/Assessor when the work on a HUD home disturbs more than the HUD de minimis level (this person is not the same as a Certified Renovator, and a different report format is used).

11.7.10 Lead-Safe Resources

11.7.10(a) California Department of Public Health

11.7.10(a1) CDPH Childhood Lead Poisoning Prevention Branch: http://www.cdph.ca.gov/programs/clppb/Pages/default.aspx

11.7.10(b) Cal/OSHA

11.7.10(b1) Cal/OSHA Lead in Construction Standard, Title 8 CCR Section 1532.1 https://www.dir.ca.gov/Title8/1532_1.html

11.7.10(c) U.S. Department of Housing and Urban Development

11.7.10(c1) HUD Regulation—Lead-Safe Housing Rule-Title 24 CFR35 (Part 35) https://www.hud.gov/program_offices/healthy_homes/enforcement/lshr

11.7.10(c2) U.S. Environmental Protection Agency

11.7.10(c3) EPA Regulation Residential Lead-Based Paint Hazard Act of 1992 "Pre-Renovation Education Rule, Section 406 https://www.epa.gov/lead/lead-renovation-repair-and-painting-program-rules

11.7.10(c4) EPA RRP Rule https://www.epa.gov/lead/lead-renovation-repair-and-painting-program

11.8. Radon Policy

11.8.1 By CSD policy, all clients, irrespective of county location, shall receive and acknowledge receipt (CSD 321 Client Education Confirmation of Receipt) of the EPA pamphlet "A Citizen's Guide to Radon" (current edition from: https://www.epa.gov/radon/citizens-guide-radon-guide-protecting-yourself-and-your-family-radon.

11.8.2 Furthermore, in accordance with regulation by the California Department of Public Health, in no circumstance is radon testing or remediation allowed within the CSD weatherization programs' work scope.

12. AGENCY AND SUBCONTRACTOR RESPONSIBILITIES

12.1 Each network agency and their subcontractor(s), not CSD, is responsible for the health and safety of its workers. All agencies shall develop their own individualized health and safety plans, which shall contain—at a minimum—all components included in this CSD Health and Safety Requirements appendix, and the Cal/OSHA components identified below. Each agency is required to provide current copies of its safety plans to be kept on file with CSD.

12.2. Cal/OSHA Required Documents

12.2.1 Each network agency and applicable subcontractor must have the following Cal/OSHA-required documents on file and be able to provide them to CSD upon request:

12.2.1(a) An injury and illness prevention program (IIPP)

12.2.1(b) A hazard communication (HazCom) program

12.2.1(c) A respirator protection program (RPP)

12.3. IIPP Requirements

12.3.1 The IIPP must be a written plan that conforms with Title 8, Section 3203 of the General Industry Safety Orders, Title 8, Section 1509 for those in the construction field, and Section 6401.7 of the California Labor Code. For IIPP development guidelines, see the Cal/OSHA eTool at http://www.dir.ca.gov/dosh/etools/09-031/

12.3.2 The Plan describes, at a minimum, the following elements:

12.3.2(a) Management commitment/assignment of responsibilities

12.3.2(b) Safety communications system with employees

12.3.2(c) System for assuring employee compliance with safe work practices

12.3.2(d) Scheduled inspections/evaluation system

12.3.2(e) Accident documentation and investigation

12.3.2(f) Procedures for correcting unsafe/unhealthy conditions

12.3.2(g) Safety and health training and instruction

12.3.2(h) Recordkeeping and documentation

12.3.3 For the IIPP, agencies and their subcontractors are required to:

12.3.3(a) Establish, implement, and maintain an effective IIPP

12.3.3(b) Adopt a written Code of Safe Practices, which defines the employer's operations

12.3.3(c) Post the Code of Safe Practices at a conspicuous location at each jobsite office or provide it to each supervisory employee, who shall have it readily available

12.3.3(d) Hold periodic meetings of supervisory employees under the direction of management for the discussion of safety problems and accidents that have occurred

12.3.3(e) Conduct "toolbox" or "tailgate" safety meetings, or equivalent, with crews at least every 10 working days to emphasize safety. These meetings are to be conducted by supervisory personnel, and meeting rosters containing attendee names and the meeting topic must be readily available to CSD.

12.3.3(f) Perform an assessment of each job site to identify existing and potential health and safety concerns affecting worker safety.

12.3.3(g) Follow the Deferral and Referral Policy when applicable.

12.4. HazCom Program Requirements

12.4.1 Hazardous substances that require a HazCom program are:

12.4.1(a) Any substance that is a physical or a health hazard or

12.4.1(b) Any listed hazardous substance

12.4.2 All agencies and subcontractors are required to have a written HazCom program in place. The HazCom program must include:

12.4.2(a) A procedure for the employer to inform workers of all hazardous substances to which they are exposed at the job site.

12.4.2(b) A list of the hazardous substances that are used or stored in the workplace.

12.4.2(c) Readily accessible safety data sheets (SDS) for each substance/chemical

12.4.2(c1) Labels and other forms of warning on containers of hazardous substances

12.4.2(c2) Procedures for safe handling, use, storage, disposal, and clean-up to protect employees

12.4.2(d) Training on the hazardous substances that employees are or could be exposed to in the workplace

12.4.2(e) A plan for managing multi-employer worksite issues

12.4.2(f) A plan to periodically evaluate program effectiveness and to update the program

12.4.3 Requirements for developing, implementing, and maintaining a HazCom program are found in CCR Title 8, Section 5194. Subsection 5194(b)(6) contains the Safe Drinking Water and Toxic Enforcement Act (Proposition 65), which was added to the original HazCom regulation in 1991.

12.4.4 For the HazCom Program, agencies/subcontractors are required to:

12.4.4(a) Provide employees with effective information and training on hazardous chemicals in their work area at the time of their initial assignment and whenever a new chemical hazard is introduced into their work area.

12.4.4(b) Obtain SDS copies that include information such as health hazards, special chemical and physical characteristics, protective measures, and precautions for safe handling, use, and storage of each chemical. The SDS may change over time; therefore, SDSs should be updated annually to ensure that employees are provided with the most current versions.

12.4.4(c) Disseminate SDS. A complete SDS set for all materials used and encountered on the job must be kept on file at the central office and in every vehicle used by personnel performing weatherization work for the agency. SDS copies also shall remain at the job site for the duration of all work to ensure that all employees have immediate access to the safety information.

12.4.4(d) Clearly label storage containers of hazardous materials to identify the contents and to show appropriate hazard warnings for employee protection.

12.5. Respirator Protection Program (RPP)

12.5.1 The employer (agency or subcontractor) is required to assess the workplace for respiratory hazards and to determine the type of respiratory protection that will be required to meet the health needs of workers. (See Table E-10.) An SDS may also describe the respirator type and filtration needed to safely work with the material; however, it shall not be the only determinant. If the decision is made that no respiratory hazards exist and the use of respirators is not required, workers may voluntarily use a respirator.

12.5.2 Given the nature of weatherization work, the use of a respirator by workers may be a necessity for worker health and safety. However, improper and inappropriate use of respirators can result in worker injury and death. Agencies that provide them to their workers must comply with CCR Title 8 Section 5144 and have a written RPP in place.

12.5.2(a) The written RPP must include the agency's/subcontractor's procedure for:

12.5.2(a1) Respirator selection

12.5.2(a2) Medical evaluations

12.5.2(a3) Fit testing

12.5.2(a4) Use of respirators

12.5.2(a5) Maintenance and care of respirators

12.5.2(a6) Breathing air quality and use

12.5.2(a7) Training and information

12.5.2(a8) Program evaluation

12.5.3 Before issuing respirators, workers must be:

12.5.3(a) Medically assessed to make sure they can wear a respirator without experiencing breathing problems

12.5.3(b) Fit-tested for the respirator type

12.5.3(c) Trained in the proper care and use of respirators

12.5.4 Everything that can be done to reduce or eliminate the need for a respirator must be done before respirators are issued or required to be worn by workers. This means that work practices, engineering controls, and administrative practices must be used, when feasible, before the need for a respirator is determined.

TABLE E-10: SELECTION OF PROPER RESPIRATORY PROTECTION BY EXPOSURE TYPE*		
Material/Chemical	**Required Filtration**	**Type of Respirator**
• Lead-based paint dust • Asbestos	• -100 series particulate filters (P, N, R)	• Half-face air-purifying respirator
• Fiberglass • Cellulose • Dusts	• -97 or -95 particulate filters (P, N, R)	• Half-face air-purifying respirator or filtered face piece (dust mask)
• Hydrocarbons (solvents, cleaners, etc.) • Odors	• Charcoal filtered*	• Half-face air-purifying respirator
• Unidentified particulates	• -100 series particulate filters (P, N, R)	• Half-face air-purifying respirator
• Unidentified odors and gasses	• Defer—possible IDLH** situation	• Full face, pressure demand, self- contained breathing apparatus (SCBA)
• Low-pressure, two-component, spray polyurethane foam (SPF)*	• Organic vapor cartridge and P-100 particulate filter	• Half-face air-purifying respirator
• High-pressure SPF insulation*		• Supply air respirator (SAR)
*Check SDS for filtration requirements first. **Immediately Dangerous to Life and Health		

12.6. Agency/Subcontractor Recordkeeping

12.6.1 Records pertaining to Cal/OSHA-required worker-hazardous material exposure (i.e., exposure limits and medical testing as defined in Title 8, Chapter 4) shall be filed at an Agency's main office. Cal/OSHA standards concerning toxic substances and hazardous exposures require records of employee exposure to these substances and sources, physical examination reports, employment records, and other information.

12.6.2 CSD also requires that presence of hazardous materials encountered during a dwelling assessment must also be documented within the following program forms and stored in the client's permanent file:

12.6.2(a) CSD 540 CSD Dwelling Assessment Form

12.6.2(b) CSD 540A Weatherization Mold/Moisture Assessment and Release Form

12.6.2(c) CSD 542 Weatherization Deferral Form

12.6.2(d) CSD 611 Contractor Post-Weatherization Inspection Report

12.6.2(e) CSD 700 Combustion Appliance Safety Inspection Form (CASIF) series

12.6.2(f) CSD 704 Shell Leakage Data Sheet

12.6.2(g) CSD 706 Duct Leakage Data Sheet

12.6.2(h) CSD 708 Lead-Based Paint Regulatory Compliance Report

12.6.3 Workplace accident information shall be collected and stored for at least the previous 5 years in accordance with Cal/OSHA requirements as defined here: http://www.dir.ca.gov/dosh/etools/recordkeeping/index.html.

12.6.4 Any inspection of jobsite or workplace by Cal/OSHA or CSD may require that agencies or subcontractors demonstrate the effectiveness of their program procedures.

13. HEALTH AND SAFETY TRAINING REQUIREMENTS FOR WORKERS

13.1 Weatherization agencies and their subcontractors are responsible for providing health and safety training for field personnel. All field personnel (assessors, installers, and inspectors) shall participate in health and safety training and follow established safety practices. A health and safety training program shall be designed and implemented to provide:

13.1.1 All new employees with training before they enter the field for the first time, and

13.1.2 All employees with regular periodic training

13.2 When an unfamiliar working condition is encountered for the first time, a safety meeting shall be held on the first day of work to cover all new conditions/hazards and applicable safety procedures.

13.3. Tailgate Safety Meetings

13.3.1 Because of the wide range of activities involved in weatherizing a house, tailgate meetings shall cover a broad range of appropriate Cal/OSHA topics and requirements. Some of these requirements include, but are not limited to:

13.3.1(a) Personal protective equipment (PPE)

13.3.1(b) Techniques for safely lifting heavy objects

13.3.1(c) Hand and power tool safety

13.3.1(d) Slips, trips, and falls safety training

13.3.1(e) Electrical equipment safety

13.3.1(f) Ladder safety

13.3.1(g) General worker protection

13.3.1(h) Safety data sheets

13.3.2 A meeting agenda and/or minutes shall be kept to document (1) the date and location of training, (2) synopsis of subject matter covered, and (3) the names of participants. Signatures of persons in attendance shall be included. These agendas and sign-in sheets shall be kept on file at the agency and with CSD, and all safety records are subject to review by CSD staff upon request.

13.3.3 The safety program shall include periodic evaluations by agencies to determine its effectiveness, with the evaluations being used to improve the program.

13.4. OSHA-10 and OSHA-30 Training Requirement

13.4.1 CSD requires that field workers and supervisors complete standardized safety training programs, in conjunction with OSHA and the Department of Labor.

13.4.2 These programs—either the entry-level 10-Hour OSHA Safety Training for Construction, or the 30-Hour Training for supervisors/competent persons—provide a general safety background for workers in the construction industry. These courses may be completed on-line or via in-person training, but are required to result in an "OSHA card" following course completion.

13.5. Lead-Safe Weatherization Training Requirements

13.5.1 CSD requires that all weatherization employees of agencies and subcontractors are required to be trained in lead-safe weatherization practices using CSD-approved training materials or workshops. This training shall be provided through a CSD-approved training center or representative, utilizing CSD-approved training curriculum. Training coursework shall be successfully completed.

13.5.2 Field personnel will not be allowed to enter, assess, weatherize or inspect a unit until they have completed required lead-safe weatherization training.

13.5.2(a) U.S. EPA Lead Renovation, Repair and Painting Program

13.5.2(a1) At least one individual at each agency/subcontractor (who may disturb paint) is required to be an EPA Certified Renovator. Certified Renovators must be trained and certified through an EPA-accredited training provider before an existing certification expires.

13.5.2(a2) Agencies/subcontractors will be required to provide documentation of each Certified Renovator's credentials to perform the specific functions of that role.

13.5.2(a3) State monitors/inspectors shall also receive the training and be EPA "certified renovators." This ensures quality control and procedures being performed on the homes are in accordance with EPA requirements.

13.5.2(b) CDPH Lead-Related Training

13.5.2(b1) CDPH Lead-Related Construction certification is not required however, anyone wishing to become a state-certified lead dust sample technician, paint inspector/ risk assessor, supervisor, monitor, or worker are required to be trained by a state Department of Public Health–accredited training provider.

13.5.2(c) HUD Lead-Safe Training

13.5.2(c1) For weatherization services performed on HUD units, the EPA's RRP Rule certification and training requirements apply.

13.5.2(d) Department of Energy Lead-Safe Training

13.5.2(d1) For weatherization services performed on DOE units, the EPA's RRP Rule certification and training requirements apply.

13.6. Training Records

13.6.1 Agencies/subcontractors are required to maintain training records for current employees, including all lead-safe training completed.

13.6.2 The training log shall contain the employee name, type of training received, date(s) of training, date of certification (if received), certification expiration date, and copy of training certificate.

13.6.3 The training log for each agency/subcontractor shall be maintained in each agency's central file system and shall be made available for review by CSD upon request.

F. Future Measure Placeholder

This Section is not applicable at this time and is reserved for a future measure.

G. Assessor, Crew Leader, Installer, and Inspector Guide

Table of Contents

1. THE WEATHERIZATION FIELD TEAM G-1

1.3. Weatherization Timelines G-1

1.4. Separation of Duties G-1

1.4.1 Assessments/Energy Audits G-1

1.4.2 Crew Leader/Installer G-1

1.4.3 Inspectors G-2

1.4.4 Exemption Requests G-2

1.5. Field Personnel Training Requirements G-2

1.6. Fail Correction Timelines G-2

2. ASSESSOR RESPONSIBILITIES AND POLICIES G-3

2.1. Assessor Job Role G-3

2.2. Assessment Documentation G-4

2.2.2 Required Forms G-4

2.2.3 Required Photographs (Justification Images) G-5

2.3. Standard Assessment Equipment G-6

2.3.2 Diagnostic Tools G-6

2.3.3 Hand Tools G-6

2.3.4 Ladders G-6

2.3.5 Personal Protective Equipment (PPE) G-6

2.4. Dwelling Eligibility (All Dwelling Types) G-6

2.4.1 Three-Measure Minimum G-6

2.4.2 Multi-Unit Dwelling Eligibility Requirements G-7

2.4.3 Ineligible Dwellings (All Dwelling Types) G-7

2.4.4 Call-Backs and Re-Weatherization Policies G-7

2.5. Permission to Weatherize G-8

2.5.3 Client Refusal of a Measure G-8

2.6. Dwelling Assessment Policies G-9

2.6.1 Dwelling and Occupant Safety Evaluations G-9

2.6.2 Deferral Conditions G-10

2.6.3 Occupant Health G-10

2.6.4 Air Quality Assessment G-10

2.6.5 Environmental Hazards G-11

2.6.6 Major Structural Issues G-11

2.6.7 CAS Checks G-11

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2.6.8 Heating and Cooling G-11
2.6.9 Portable Heating or Cooling G-11
2.6.10 Electrical Safety Evaluation G-11
2.6.11 State Historic Preservation Review G-12
2.6.12 Lead-Safe Weatherization G-13
2.6.13 Measure Assessment G-13
2.7. Prioritization of Measures by an Assessor G-14
2.7.3 Energy Audit Requirements G-14
2.8. Programmatic Waivers G-15
2.9. Required Assessor-Client Education G-15
2.9.3 Permit-Related Education G-15
2.9.4 Hazardous Condition Education G-16

3. CREW LEADER AND INSTALLER RESPONSIBILITIES AND POLICIES G-16
3.1. Crew Leader's and Installer's Job Roles G-16
3.2. Installation Timeline G-18
3.3. General Safety and Measure Installation Practices G-18
3.4. Lead-Safe Weatherization G-18
3.5. Duct Testing and Sealing G-19
3.6. Shell Sealing (Infiltration-Reduction Measures) G-19
3.7. Required Installer-Client Education G-19

4. INSPECTOR RESPONSIBILITIES AND POLICIES G-20
4.1. Inspector Job Role G-20
4.2. Inspection Timelines G-22
4.3. Inspection Expectations G-23
4.4. Diagnostic Verifications and Retesting G-23
4.5. QCI Certification G-23
4.6. Subcontractor Oversight G-24
4.7. CSD Oversight G-24
4.8. Required Inspector-Client Education G-24

1. THE WEATHERIZATION FIELD TEAM

1.1 The Weatherization Field Team consists of three roles:

1.1.1 Assessor/Energy Auditor (EA)

1.1.2 Crew Leader/Installer

1.1.3 Inspector

1.2 The purpose of this document is to provide guidance to assessors, crew leaders, installers, and inspectors in the performance of their duties within CSD's weatherization program.

1.2.1 CSD policies pertaining to the function of these job roles are provided within this document; however, unforeseen circumstances may require that these policies be temporarily or permanently revised. Revised policies will be published in a CSD Program Notice (CPN), CSD Program Advisory (CPA), or contract and posted to the Providers' website in conformance with CSD policy.

1.3. Weatherization Timelines

Timely communication is critical between the members of the Weatherization Field Team. Timelines for the home assessment, diagnostic tests, and other time-sensitive procedures for weatherization work are described in Table G-1 below:

TABLE G-1: WEATHERIZATION TIMELINES

Timeline	Time Maximums
From certification date to assessment	Qualification certifications are valid for no more than 120 days. If the eligibility certification expires before a full assessment is performed, the agency must recertify income eligibility before weatherization work is begun.
From pre-combustion appliance safety (CAS) to post-CAS test	No more than 60 days, or pre-test must be repeated before any weatherization work is begun.
From assessment date to job completion	Once assessed, the home must be completely served within 180 days from the assessment, including the post-inspection. If the weatherization work cannot be completed within 180 days, the agency shall obtain updated income verification documentation to recertify the household's income eligibility before further weatherization work can continue.

1.4. Separation of Duties

1.4.1 Assessments/Energy Audits

1.4.1(a) Agencies shall ensure job separation between staff performing dwelling assessments and the crew responsible for performing the actual installation of weatherization measures. Assessors may not install weatherization measures in the same dwelling where that assessor performed the assessment for weatherization services.

1.4.1(b) If an agency elects to subcontract outside of CSD's agency network for the full installation of weatherization measures, the subcontractor performing the installation of weatherization measures shall not perform the dwelling assessment. Agencies shall ensure job separation by using the agency's staff or another subcontractor to perform dwelling assessments.

1.4.2 Crew Leader/Installer

1.4.2(a) Measure installation activities shall not be performed by the same agency or subcontractor field personnel who have conducted the assessment of, or who will conduct the post-weatherization inspection of, the same dwelling.

1.4.3 Inspectors

1.4.3(a) The agency shall ensure job separation between staff performing post-weatherization inspection activities and weatherization crew personnel performing the physical installation and performance of weatherization measure services.

1.4.3(b) Subcontractor: If an agency elects to subcontract outside of CSD's agency network for the full installation of weatherization measures, the subcontractor performing the installation of weatherization measures shall not perform the post-weatherization inspection. The agency shall ensure job separation by using the agency's staff or another subcontractor to perform the dwelling post-weatherization inspection.

1.4.4 Exemption Requests

1.4.4(a) An exemption to the separation-of-duties requirement may be granted for agencies for which it is economically challenging and/or operationally impractical to achieve job separation.

1.4.4(b) An agency program manager must make a request in writing to CSD and receive an affirmative written response from CSD for this to be an "approved" exception. The request must include additional safeguards that the agency will implement to ensure quality of workmanship.

1.5. Field Personnel Training Requirements

1.5.1 All field personnel are required to complete CSD's training requirements in accordance with the CSD policy and their employer's (agency or subcontractor) internal training policies to ensure that all mandatory field practices are followed. For information on training requirements, refer to the "Training" page on the Providers' website.

1.6. Fail Correction Timelines

1.6.1 In all phases of field work (assessment, installation, or post-inspection), upon discovery of a combustion appliance hazard or fail, or measure installation fail, the following correction timeline will be enforced:

1.6.1(a) When a hazard is identified, the issue must be mitigated within 24 hours and fully resolved within five working days.

1.6.1(a1) If a gas leak is found, all other weatherization actions must stop immediately until the leak is addressed.

- Exception: If a water heater is temporarily abandoned to alleviate a hazard, the appliance condition must be completely resolved within five working days.

1.6.1(a2) Once the hazard is resolved (may be a temporary remedy), CSD considers an identified issue to be non-hazardous from that point on and subject to the non-hazardous timeline described below.

1.6.1(b) All non-hazardous conditions noted by the assessor/auditor shall be corrected within 20 working days of written notification by the assessor in the CSD 540 Dwelling Assessment Form.

1.6.1(b1) A qualified technician or contractor licensed to work on that appliance must isolate the specific problem and determine the estimated cost to repair the defective unit before the agency decides if the defective unit must be repaired or replaced.

1.6.1(b2) Appliances that require repair or replacement under Health & Safety, or as an energy efficiency upgrade measure, shall be noted and reported to supervisors as required, and in accordance with the agency's policy.

1.6.2 The time periods for correction may be extended for circumstances beyond the agency's control; however, a waiver must be approved in writing by CSD prior to the expiration of the original timeline.

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2. ASSESSOR RESPONSIBILITIES AND POLICIES

2.1. Assessor Job Role

2.1.1 Assessors must observe what conditions are present in a home, and evaluate what measures are feasible. Assessment of the entire interior and exterior of a home is required, including building shell, attics, crawlspaces, appliances, and the mechanical, electrical, and plumbing systems (Fig. G-1).

2.1.2 Assessors must be familiar with the feasibility criteria for each measure and proficient in all diagnostic testing.

2.1.3 An assessor shall ensure that the responsibilities identified in Table G-2 are completed in conformance with CSD policy and procedures.

Source: WAPTAC.org

FIG. G-1: ASSESSMENT

TABLE G-2: DOCUMENTS GUIDING ASSESSOR RESPONSIBILITIES

Assessor Responsibility	Policy Reference
1. Ensure that assessment equipment is functional, up-to-date, and calibrated when required.	Standard Assessment Equipment Appendix A Combustion Appliance Safety Protocol Appendix B Duct Leakage Testing Protocol Appendix C Shell Leakage Testing Protocol
2. Evaluate dwelling eligibility. Review existing conditions and potential for energy efficiency measures. Collect photographic documentation, if required.	Dwelling Eligibility (All Dwelling Types) Dwelling Assessment Policies Required Photographs (Justification Images) Appendix E Health and Safety Requirements
3. Determine what weatherization contract(s) will be charged to ensure that protocols are followed correctly.	Dwelling Eligibility (All Dwelling Types) CSD contracts, Providers' website
4. Determine if home qualifies for review as mandated by the State Historic Preservation Office (SHPO) when dwelling is ≥45 years old.	State Historic Preservation Review CSD contracts, Providers' website
5. Evaluate home for major structural defects, indoor air quality (IAQ) hazards, structural hazards, or other deferral conditions that may limit weatherization.	Dwelling Assessment Policies Appendix E Health and Safety Requirements
6. Inform the client of the various types of diagnostic testing to be performed, including the general nature and benefits of each type. Conduct a visual inspection to identify deficiencies that would inhibit pressurized diagnostics to occur.	Permission to Weatherize Appendix A Combustion Appliance Safety Protocol Appendix B Duct Leakage Testing Protocol Appendix C Shell Leakage Testing Protocol

TABLE G-2: DOCUMENTS GUIDING ASSESSOR RESPONSIBILITIES

Assessor Responsibility	Policy Reference
7. Perform diagnostic testing in accordance with Appendices A, B, and C. Note: CAS is part of the assessment. Duct and shell leakage testing may be performed as part of initial assessment or performed prior to weatherization by the trained installers. When conducting an energy audit, duct and shell leakage testing should be performed at time of assessment.	Diagnostic Tools CAS Checks Section 1 General Installation Guidelines
8. Determine if home qualifies for an energy audit and collect audit data, when applicable.	Assessment Documentation Appendix D Energy Audit/Priority List Protocol
9. Collect refrigerator data to verify measure feasibility (metering, appliance plate, etc.)	Assessment Documentation Section 23 Refrigerators
10. Collect mechanical ventilation data to determine measure feasibility, when required by program.	Assessment Documentation Section 12 Mechanical Ventilation
11. Provide mathematical calculations to justify all claims of catastrophic leakage (when allowed by program)	Assessment Documentation Section 32 Infiltration Reduction
12. Document all findings in the required CSD form when applicable. A hard copy or electronic copy of all assessment forms, with all additional notes shall be kept in the client file.	Assessment Documentation CSD forms, Providers' website
13. Provide client education and obtain client signature on the CSD 321 Client Education Confirmation of Receipt form. A signature may be in writing or electronic.	Assessment Documentation CSD forms, Providers' website
14. Identify measure installations that would require a permit by the local jurisdiction, and educate the home owner about the permit process if necessary.	Permit-Related Education Section 1 General Installation Guidelines
15. Compile and complete the work order, based on the assessment results. Transmit client file to the installation team.	Required procedure defined by agency's internal policy

2.2. Assessment Documentation

2.2.1 The standard CSD assessment forms (or permitted contractor's equivalent forms that have been pre-approved by CSD) shall be used to conduct all home assessments including, but not limited to, the forms listed below.

2.2.2 Required Forms

2.2.2(a) The feasibility of each measure must be evaluated and documented on the CSD 540 Dwelling Assessment Form. If a measure is not feasible, the justification must be described clearly and accurately.

2.2.2(a1) The assessment shall be completed and documented before leaving the dwelling. A drawing of the house "footprint" shall be included when insulation will be installed.

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2.2.2(a2) The CSD 540A Weatherization Mold/Moisture Assessment and Release Form shall be completed for every dwelling assessed and include a description of any moisture or mold issues observed.

2.2.2(a3) The CSD 540C Whole-Dwelling Ventilation Calculation Worksheet and CSD 540D Mechanical Ventilation Assessment Form shall be completed on- or off-site to document the feasibility of mechanical ventilation. (See Section 12 Mechanical Ventilation.)

2.2.2(a4) The CSD 540E Single-Family Refrigerator Savings-to-Investment Ratio (SIR) Calculation Worksheet v1.3 shall be used on- or off-site to calculate the feasibility of a replacement refrigerator. (See Section 23 Refrigerators.)

2.2.2(a5) Assessments shall include diagnostic testing, as applicable, and test results shall be required on the:

- CSD 700 Combustion Appliance Safety Inspection Form (see Appendix A Combustion Appliance Safety Protocol)
- CSD 704 Shell Leakage Data Sheet (see Appendix C Shell Leakage Testing Protocol)
- CSD 706 Duct Leakage Data Sheet (see Appendix B Duct Leakage Testing Protocol)

2.2.2(a6) When an energy audit and/or priority list will be used for DOE WAP jobs, the following forms will apply (see Appendix D Energy Audit/Priority List Protocol).

- The CSD 544 Single-Family/Small Multi-Family Audit Input Report mirrors the REM/Design data collection software inputs to ensure all data is collected while present during the on-site visit.
- The CSD 710 DOE Priority List Checklist form is used to verify the decision-making process relative to use of the energy audit and the Priority List tables.
- The CSD 808 Small Multi-Family Input Cost Sheet is used to allocate unit-level data when small multi-family projects are completed.
- The CSD 871 Pre-Weatherization Scope of Work (SOW)/Sources & Uses (S&U) Tool: shall be completed for Targeted Retrofit Energy Analysis Tool (TREAT) audits. This spreadsheet is completed prior to the initial technical review to identify the proposed measure energy savings, measure cost, effective useful life (EUL), and SIR.
- The CSD 872 Post-Weatherization Scope of Work (SOW)/Sources & Uses (S&U) Tool is also completed for TREAT audits, and is completed following the measure installation to confirm the final measure costs, SIR, EUL, etc.

2.2.3 Required Photographs (Justification Images)

2.2.3(a) The following assessment photographs are required, and must be kept in the client file or stored electronically with an agency standardized format for the file name (i.e., by client name, address, or job number):

2.2.3(a1) Photographs to inform the client of the conditions in the home where a new measure (or the repair/replacement of an existing measure) is warranted and the area is not easily accessible to the client, such as in an attic or crawlspace including attic and floor insulation, duct work, electrical hazards, etc.

- The photographs will provide information to the client about the existing conditions and explain why the new measure, or repair/replacement of the existing measure is necessary.

2.2.3(a2) Photographs to justify waiver requests as specified on the CSD Waiver Request Form (Providers' website).

2.2.3(a3) Photographs to document improvement measures to be considered by the SHPO.

2.2.3(a4) Photographs to document identified deferral conditions.

2.2.3(a5) Photographs to document lead-safe weatherization and clean-up activities.

2.2.3(a6) Photographs required for the REM/Design energy audit (listed separately in the Appendix D Energy Audit/Priority List Protocol).

2.2.3(a7) Photographs required to document CAS conditions.

2.3. Standard Assessment Equipment

2.3.1 Assessors shall carry all necessary tools and safety equipment to perform their job duties. At a minimum, assessors shall have available the following basic tools.

2.3.2 Diagnostic Tools

2.3.2(a) All CAS, duct leakage, and shell leakage test equipment used by assessors and other field personnel shall conform to the specifications provided in the Appendix A Combustion Appliance Testing Protocol, Appendix B Duct Leakage Testing Protocol, and Appendix C Shell Leakage Testing Protocol.

2.3.3 Hand Tools

2.3.3(a) Measuring tape (minimum 25')

2.3.3(b) Electrical outlet tester

2.3.3(c) Screwdriver sets (Phillips and slotted)

2.3.3(d) Calculator

2.3.3(e) Clipboard

2.3.4 Ladders

2.3.4(a) Minimum 6' stepladder and

2.3.4(b) Minimum 12' extension ladder or

2.3.4(c) Combination ladder that performs both functions

2.3.5 Personal Protective Equipment (PPE)

2.3.5(a) PPE as defined by Appendix E Health and Safety Requirements shall be worn (Fig. G-2).

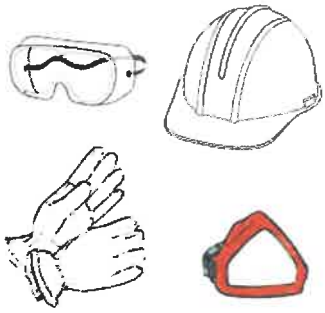

FIG. G-2: PERSONAL PROTECTIVE EQUIPMENT

2.4. Dwelling Eligibility (All Dwelling Types)

2.4.1 Three-Measure Minimum

2.4.1(a) All dwellings that have not been previously weatherized under a CSD program or other program may qualify for weatherization if three mandatory measures are feasible. The three mandatory measure policy requirements for LIHEAP and the DOE WAP are: 1) Ceiling insulation plus two additional mandatory measures, or 2) In the event that ceiling insulation is already in place or is not feasible, at least three mandatory measures are installed. In addition:

2.4.1(a1) If the required minimum number cannot be installed due to the deferral of measures, then the entire unit shall be deferred on the CSD 542 Weatherization Deferral form.

2.4.1(a2) LIHEAP optional measures cannot be counted toward the three-measure minimum to qualify a home for first-time weatherization unless all mandatory measures are unfeasible.

2.4.1(a3) Assessments, diagnostic testing, and post inspections shall not be counted toward the three-measure minimum unless specifically allowed by the program contract.

2.4.1(a4) Emergency health and safety measures provided under the Energy Crisis Intervention Program (ECIP) Emergency Heating and Cooling Services (EHCS) may be installed without meeting the three-measure rule.

2.4.1(a5) ECIP EHCS dwellings shall be referred for weatherization services and, if measures are installed within 180 days, the measures installed under ECIP EHCS shall count toward the three-measure rule. Note: All other dwelling and client eligibility requirements shall apply to ECIP as to LIHEAP.

2.4.2 Multi-Unit Dwelling Eligibility Requirements

2.4.2(a) For multi-unit buildings, in addition to the eligibility requirements for the previous section:

2.4.2(a1) The 66/50 Rule shall be applied, as defined in Appendix D Energy Audit/Priority List Protocol - LIHEAP - DOE WAP.

2.4.2(a2) Installation of ceiling insulation may be counted as a ceiling insulation measure for each unit within a multi-unit building envelope.

2.4.2(a3) Installation of a common (multi-family) water heater shall qualify as a mandatory measure for each unit served by the same water heater.

2.4.2(a4) Whole building policies shall be applied as defined in Appendix D Energy Audit/ Priority List Protocol - LIHEAP - DOE WAP.

2.4.2(a5) Individual unit weatherization policies shall be applied as defined in Appendix D Energy Audit/Priority List Protocol - LIHEAP - DOE WAP.

2.4.2(a6) Vacant and over-income unit policies shall be applied as defined in Appendix D Energy Audit/Priority List Protocol - LIHEAP - DOE WAP.

2.4.3 Ineligible Dwellings (All Dwelling Types)

2.4.3(a) Assessors shall not assess any dwelling unit that:

2.4.3(a1) Will be acquired or cleared by a federal, state, or local program within 12 months from the date weatherization would be completed

2.4.3(a2) Does not have written permission of the property owner/tenant on the CSD 515A Energy Service Agreement for Occupant and CSD 515B Energy Service Agreement for Property Owner

2.4.3(a3) Is an institutional or commercial building including, but not limited to, universities, schools, nursing homes, hospital, shelters, or group homes. Note: Only DOE WAP allows weatherization services on shelters and group homes.

2.4.3(a4) Is listed for sale at the time of qualifying for the program or will be offered for sale within 60 days after the completion of weatherization

2.4.3(a5) Is a single-family or manufactured/mobile home of <330 sq. ft. of living space. Note: This policy does not apply to multi-family dwellings.

2.4.3(a6) Is a travel trailer, boat, or other transportable dwelling type

2.4.4 Call-Backs and Re-Weatherization Policies

2.4.4(a) In CSD weatherization, a "call-back" is when a measure fails and is required to be corrected by an agency. Additional work on a completed unit shall be classified as a call-back when:

2.4.4(a1) The client notifies the agency within the contractor warranty period that a measure has failed or

2.4.4(a2) During a CSD or third-party inspection, any feasible measure that was not installed or failed measure is found that requires correction.

2.4.4(b) For call-backs associated with the DOE WAP, contact CSD.

2.4.4(b1) CSD strongly encourages the use of LIHEAP funds for call-backs.

2.4.4(c) Once a dwelling has been submitted to CSD for reimbursement as a completed unit (under LIHEAP or DOE WAP), any later weatherization service that is not a call-back provided to the home is considered "re-weatherization."

2.4.4(d) To confirm a dwelling's eligibility for DOE WAP, Local Service Providers (LSPs) must check their historical dwelling service records to confirm there is no prior history of DOE WAP services for the dwelling.

2.4.4(e) Weatherization services for a dwelling unit previously weatherized using DOE WAP and DOE American Recovery and Reinvestment Act (ARRA) funds are not allowable unless:

2.4.4(e1) Further weatherization would be performed at least 15 years after previous weatherization services were completed

- This applies to any dwelling weatherized utilizing any federal funding, including DOE, LIHEAP, HUD, or USDA.

2.4.4(f) Under the LIHEAP weatherization and ECIP EHCS programs, re-weatherization is only allowed when:

- A previously installed measure is reinstalled during its EUL due to premature failure of the measure (outside of the warranty period). Written justification must be kept in the client file.
- The measure was destroyed by the prior occupying household
- The EUL has already expired for a previously applied measure
- The dwelling has been previously weatherized under a CSD or other or another federal or non-federal program, agencies may provide previously unapplied mandatory and optional measures within the dollar limits of the contract.

2.4.4(g) Client recertification requirement

2.4.4(g1) Call-back: Client is not recertified.

2.4.4(g2) Re-weatherization: Client must be recertified if client eligibility has expired.

2.4.4(h) Three-measure minimum requirement

2.4.4(h1) Call-back: Three-measure minimum does not apply.

2.4.4(h2) Re-weatherization: If a dwelling has been previously weatherized under a CSD weatherization program, the dwelling may be assessed for previously unapplied measures.

2.5. Permission to Weatherize

2.5.1 For a home to qualify for services, not only must the occupants be income-qualified, but the owner of the property must give permission for the work to be completed. CSD's weatherization permission forms are CSD 515A Energy Service Agreement for Occupant and the CSD 515B Energy Service Agreement for Property Owner.

2.5.2 Once weatherization work has begun in a home, if significant structural or engineering issues are discovered (see "Structural/Engineering Issues" in Appendix H Reference Documents, Definitions) or if environmental or Health & Safety hazards are present, work must stop until the agency re-obtains the property owner's permission for the revised scope of work.

2.5.3 Client Refusal of a Measure

2.5.3(a) In general, CSD's weatherization programs are voluntary. If a client does not want a particular measure installed, it shall not be installed; however, assessors shall obtain a written statement from the client regarding the measure(s) that are refused, with the client's signature and the date.

2.5.3(b) By CSD policy, if a client refuses a measure, the measure shall not be feasible for that dwelling until a new occupant becomes the tenant or homeowner.

2.5.3(c) Measure refusal shall be documented on the CSD 540 Dwelling Assessment Form and/or the CSD 710 Energy Audit and Priority List Checklist (for DOE WAP jobs). Refusal of a DOE WAP energy conservation measure shall have consequences as identified in Appendix D Energy Audit/Priority List Protocol.

2.5.4 Client Refusal of a Diagnostic Test

2.5.4(a) When a client refuses a diagnostic test, education shall be provided to the client advising them of the reasons for and the benefits of such testing, and informing them that refusal prevents installation of specific measures (LIHEAP) or may require the deferral of all weatherization work (DOE WAP).

2.5.4(b) Client refusal of the diagnostic test must be documented on the CSD 542 Weatherization Deferral form and signed by the client. If a client refuses to sign in acknowledgment of the deferral condition(s), the Assessor must document this refusal to sign on the CSD 542 Weatherization Deferral form.

2.5.4(c) Client refusal of a diagnostic test shall result in a limited or full deferral according to the specifications in Table G-3:

TABLE G-3: REFUSAL OF DIAGNOSTIC TEST

When a Client Refuses the...		
CAS Test	Duct Leakage Test	Shell Leakage Test
DOE WAP: Defer dwelling	**DOE WAP:** Defer dwelling	**DOE WAP:** Defer dwelling
LIHEAP: Defer dwelling	**LIHEAP:** If no CAS/IAQ fail is present: • Seal catastrophic leaks only and report on the CSD 706 Duct Leakage Data Sheet.* If a CAS/IAQ fail is present: • When corrected, seal catastrophic leaks only and report on the CSD 706 Duct Leakage Data Sheet.* • When not correctable within program scope, the dwelling is limited to non-infiltration reduction measures ([home is NIM).	**LIHEAP:** If no CAS/IAQ fail is present, or no blower door test is performed: • Prescriptively seal, following prioritization in accordance with the CSD 704 Shell Leakage Data Sheet.* If a CAS/IAQ fail is present and a blower door test is performed: • When corrected, seal following prioritization in accordance with the CSD 704 Shell Leakage Data Sheet.* • When not correctable within program scope, the dwelling is NIM.
*The Appendix B Duct Leakage Testing Protocol, the Appendix C Shell Leakage Testing Protocol, and the sealing prioritization on the CSD 704 Shell Leakage Data Sheet and CSD 706 Duct Leakage data Sheet forms shall be followed without exception.		

2.6. Dwelling Assessment Policies

2.6.1 Dwelling and Occupant Safety Evaluations

2.6.1(a) Assessment of a home requires an evaluation to ensure that:

2.6.1(a1) Occupants' health will not be negatively affected by weatherization and

2.6.1(a2) Conditions in the home are acceptable for weatherization to occur

2.6.1(b) Assessments shall address:

2.6.1(b1) Deferral conditions

2.6.1(b2) Occupant safety

2.6.1(b3) Structural and environmental hazards

2.6.1(b4) CAS checks

2.6.1(b5) Electrical evaluation

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2.6.2 Deferral Conditions

2.6.2(a) Assessors are expected to consider all reasonable options on behalf of a client before deferral of weatherization services is decided. The client shall be given the opportunity to remedy the deferral condition before the agency shall "walk away," when possible.

2.6.2(b) When weatherizing would make conditions in or on the home worse, weatherization is not feasible and a deferral is required. Deferrals can apply to an entire home or to a limited number of particular, related measures when needed. Deferral conditions apply across CSD's LIHEAP, DOE WAP, and ECIP EHCS programs and are described in Appendix E Health and Safety Requirements, Deferral and Referral Policy.

2.6.2(c) When a deferral is required, agencies shall install feasible measures and, as applicable, refer the client to other agencies or programs in accordance with Appendix E Health and Safety Requirements, Deferral and Referral Policy. Referrals for additional assistance to clients may include the following:

2.6.2(c1) U.S. Farmers Home Administration (FHA) Housing Loan Program

2.6.2(c2) U.S. Department of Housing and Urban Development (HUD)

2.6.2(c3) Department of Housing and Community Development (HCD)

2.6.2(c4) County Department of Aging or Senior Resources

2.6.2(c5) Other similar programs

2.6.3 Occupant Health

2.6.3(a) Assessors must take into account how the occupant's health may affect the feasibility of measures. The following must be considered:

2.6.3(a1) The age and general health of the occupants, especially for more vulnerable populations (very young, disabled, seniors, etc.)

2.6.3(a2) Possible effects of weatherization on the living space, which may include, but are not limited to:

- Effects of shell leakage testing on sensitive persons and animals, especially during times of extreme outdoor temperatures
- Potential danger to children who play in locations where weatherization takes place
- Friable asbestos or presumed asbestos-containing materials within or affecting the living space
- Potential to disturb pre-1978 painted surfaces or locations where pre-1978 painted surfaces are already severely degraded
- Dust and debris from cutting, scraping, sanding, and other activities that must be performed inside the living space that may create dangerous airborne particles or fibers
- Potential effects of infiltration reduction on radon concentrations in the dwelling

2.6.4 Air Quality Assessment

2.6.4(a) In homes, some sources of air pollutants can be chemicals, gases, standing sewage, and living organisms like mold/moisture and pests. Health symptoms from poor air quality may be: irritated eyes, burning in the nose and throat, headaches, fatigue, or even serious long-term conditions such as heart disease or cancer. Individual pollutants at high concentrations, such as carbon monoxide, may even cause death.

2.6.4(b) Based on the severity of conditions found during an assessment, the home may be identified with an IAQ fail and require limited deferral (home is NIM).

2.6.4(c) For more severe conditions, full deferral of the home shall be required, in accordance with Appendix E Health and Safety Requirements, Deferral and Referral Policy.

2.6.4(d) When a condition may be corrected within the scope of the weatherization programs, it is the expectation of CSD that the correction occurs or even that a waiver is sought when necessary. Details about IAQ fails and pollutants are provided in Appendix E Health and Safety Requirements, Environmental Hazards.

2.6.5 Environmental Hazards

2.6.5(a) Assessments shall first include a safety check for potentially hazardous environmental hazard conditions in accordance with Appendix E Health and Safety Requirements, Deferral and Referral Policy. All findings shall be noted on the CSD 540 Dwelling Assessment Form and in the CSD 540A Weatherization Mold/Moisture Assessment and Release Form for moisture or mold conditions, where applicable.

2.6.6 Major Structural Issues

2.6.6(a) During assessment, checks shall be made for structural defects to walls, roof, doors, windows, and outbuildings as detailed in Appendix E Health and Safety Requirements, such as:

2.6.6(a1) Broken glass

2.6.6(a2) Leaking and/or deteriorated roof/roofing

2.6.6(a3) Damaged or severely sagging ceiling surfaces and ceiling joists

2.6.6(a4) Failed or sagging foundations, joists, or flooring

2.6.6(a5) Damaged or deteriorated tub/shower or plumbing

2.6.6(a6) Deteriorated siding or door/window frames

2.6.6(a7) Major HVAC defects that exceed the scope of the program

2.6.6(a8) Potentially dangerous electrical wiring

2.6.6(a9) Insects that may cause structural damage:

- Termites
- Powder post beetles
- Carpenter ants

2.6.7 CAS Checks

2.6.7(a) Assessors are required to perform a pre-CAS test at the time of assessment on all gas appliances that affect the living space. Results must be documented on the CSD 700 Combustion Appliance Safety Inspection Form. (See Appendix A Combustion Appliance Safety Protocol.) Any CAS hazards or CAS fails shall be resolved in accordance with the timeline in Fail Correction Timelines.

2.6.8 Heating and Cooling

2.6.8(a) All repair and replacement services are limited to a dwelling's primary heating and/or cooling appliance (Appendix H Reference Documents, Definitions.) All repairs or replacements to the primary heating and/or cooling source must meet the feasibility requirements in Section 4 Heating and Cooling and the repair/replacement criteria in Appendix E Health and Safety Requirements, Identification of Appliance Issues.

2.6.9 Portable Heating or Cooling

2.6.9(a) Where a heating or cooling source is pending repair or replacement, a dwelling shall be provided with temporary portable device to provide cooling and/or heating in accordance with the policy provided in Section 1 General Installation Guidelines and Appendix E Health and Safety Requirements, Portable Heating and Cooling.

2.6.10 Electrical Safety Evaluation

2.6.10(a) If a substandard electrical system is suspected by an assessor, agencies must have an electrician identify if the existing wiring is properly sized with adequate overcurrent protection to support the use of new or portable appliances.

2.6.10(a1) During the assessment, the assessor shall talk to the client about the home's electrical system (even before providing a temporary source of heating or cooling). The assessor should ask the client questions such as those below:

- Does the home have:
  - Any burned-out receptacles? (Fig. G-3)
  - Problems with blowing fuses/breakers?
  - Appliances that have shorted/burned out?

  - Flickering lights?
  - Aluminum wiring? (Note: Aluminum wiring must be checked by a C-10 contractor before any measure is installed that would add to or change the home's electrical load).
- Are there any areas of the home that the owner/ client has rewired him/herself? (Note: Do-it-yourself homeowners and property managers who try to make their own modifications may unknowingly create unsafe conditions.)

FIG. G-3: RECEPTACLE WITH CHARRING

2.6.10(b) During the assessment, the assessor also shall look for:

2.6.10(b1) Frayed insulation and bare wires

2.6.10(b2) Loose connections and unprotected splices

2.6.10(b3) Metal junction boxes that are loose and/or uncovered

2.6.10(b4) Heat-producing devices (HPDs) such as recessed lights, doorbell transformers, etc.

2.6.10(b5) Ungrounded boxes or receptacles where proper grounding is required

2.6.10(b6) Undersized conductors and underrated overcurrent protection (fuses or breakers)

2.6.10(b7) Sagging overhead power lines outdoors

2.6.10(b8) Knob-and-tube wiring. (See Section 1 General Installation Guidelines, Knob-and-Tube (K&T) Wiring Guidelines.)

2.6.10(b9) Receptacles overloaded with multiple adapters (overloading the circuit)

2.6.10(b10) Unprotected surface mounted cable (no raceways)

2.6.10(b11) Taped splices or exposed/loose wiring

2.6.10(b12) Charring around receptacles or sparking light switches (loose connections)

2.6.10(b13) Frequent blown fuses or "popped" breakers of a power or lighting circuit

2.6.10(b14) "Daisy-chained" extension cords from receptacles or light fittings

2.6.10(c) Electrical issue documentation

2.6.10(c1) Electrical issues shall be documented on the CSD 540 Dwelling Assessment Form.

2.6.10(c2) The property owner shall be notified of any unsafe electrical condition that is identified.

2.6.10(c3) When corrective work is within the program scope, a licensed electrician (C-10 electrical contractor) shall be contacted to make the necessary repairs or to provide a "Notice of Survey."

2.6.11 State Historic Preservation Review

2.6.11(a) Assessor/auditors shall determine whether the dwelling meets the criteria for a review as mandated by the State Historic Preservation Office (SHPO).

2.6.11(b) Historic preservation review shall be completed on a dwelling that is:

2.6.11(b1) ≥45 years old

2.6.11(b2) Located within a historic district or

2.6.11(b3) Considered to be of exceptional importance under the National Register Criteria for Evaluation in compliance with 36 CFR 60.4

2.6.11(c) CSD requires assessors/auditors to obtain a third-party documentation source to verify the year that each dwelling was built. Acceptable sources include statements from the county assessor's office, online fee-based verification services, title company documentation, etc.

2.6.11(d) All dwellings that are ≥45 years old must be entered into CSD's historic preservation online (HPO) system and shall include all the measures that are assessed to be installed. The following four measures initiate a formal review:

2.6.11(d1) Section 32 Infiltration Reduction, Doors

2.6.11 (d2) Section 32 Infiltration Reduction, Window and SGD Repair

2.6.11 (d3) Section 33 Windows and Sliding Glass Doors, Installation Procedure

2.6.11 (d4) Section 34 Storm Windows

2.6.11 (e) The review must be conducted before any weatherization work commences. If there are changes to the original scope of work and any of the four measures above will be subsequently installed, the information in the HPO database must be updated so that a formal review may be initiated or repeated.

2.6.12 Lead-Safe Weatherization

2.6.12 (a) Assessors shall determine whether the dwelling meets the criteria for lead-safe weatherization based on the dwelling age and the other criteria below. The dwelling age must be determined by statements from the county assessor's office, online fee-based verification services, title company documentation, etc.

2.6.12 (b) When a home was built before 1978, the home shall be presumed to contain lead-based paint unless the dwelling:

2.6.12 (b1) Is certified to be "lead-free" by a California Department of Public Health (CDPH)–certified inspector

2.6.12 (b2) Is single-room occupancy (i.e., a studio)

2.6.12 (b3) Is "housing for the elderly" (housing reserved for households composed of one or more persons 62 years of age or older) and a child <6 years of age does not live there

2.6.12 (b4) Is a "disabled unit" (the household is composed of one or more disabled persons) and a child <6 years of age does not live there

2.6.12 (c) When the determination is made that presumed lead-based paint exists, an EPA-certified renovator will be assigned to the dwelling for all aspects of the project, including assessment, client notifications, containment, installation, cleaning work, and inspection and certification practices (Fig. G-4). All activities shall be employed in accordance with Appendix E Health and Safety Requirements, Lead Safety Weatherization (LSW) Policy.

2.6.12 (d) When paint will be disturbed, the agency-assigned certified renovator must be on-site during the set-up and clean-up and to conduct the clearance procedure.

2.6.12 (e) The CSD 708 Lead-Based Paint Regulatory Compliance Report form shall be completed and kept in the client file.

2.6.13 Measure Assessment

2.6.13 (a) CSD does not allow abatement of lead, radon, or other hazardous material; home remodeling; or significant construction projects to be completed within the scope of weatherization.

2.6.13 (b) Assessors are required to consider the feasibility criteria and installation requirements for each measure to determine whether each measure is feasible, is mandatory, and will be installed.

2.6.13 (c) The minimum number of weatherization measures may be leveraged with other weatherization programs when being installed in conjunction with CSD programs.

FIG. G-4: LEAD-SAFE WEATHERIZATION

2.6.13 (d) All leveraged measures used to fulfill the minimum number of required measures must meet CSD installation standards and diagnostics policies.

2.6.13 (e) All feasible measures must be identified during assessment and prescribed for installation, with consideration given to the average maximum per dwelling.

2.6.13 (f) For each program measure, all assessment findings shall:

2.6.13 (f1) Be documented on the assessment form and appropriate diagnostic form, if applicable

2.6.13 (f2) Have written justification for measures that are determined to be unfeasible

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2.6.13(f3) Indicate for each feasible measure the estimated quantity, type, location, etc., as appropriate

2.6.13(g) The determination of measure feasibility for DOE WAP measures shall be determined in accordance with the DOE–Specific criteria listed in each section of the TRM and Appendix D Energy Audit/Priority List Protocol.

2.6.13(h) The determination of measure feasibility for multi-family whole-building measures shall be determined in accordance with the Multi-Family–Specific criteria listed in each section of the TRM.

2.6.13(i) DOE policies and protocols shall prevail for measures installed using DOE WAP Funding. If the unit is leveraged with an alternative funding source, then leveraging policies and procedures outlined in Appendix D Energy Audit/Priority List Protocol apply.

2.7. Prioritization of Measures by an Assessor

2.7.1 In accordance with the Appendix E Health and Safety Requirements:

2.7.1(a) After conducting a CAS check, any CAS hazards and CAS fails shall be resolved in accordance with Appendix A Combustion Appliance Safety Protocol timeline before any other program measures may be installed.

2.7.1(b) If an IAQ fail can be resolved within the program scope, it shall be corrected before infiltration-reduction measures are installed.

2.7.1(c) Electrical issues found during the electrical evaluation that prohibit installation of a measure must be resolved prior to the installation of the affected measure.

2.7.1(d) After correction of the Health & Safety conditions above, the assessor shall prescribe the installation order for all other feasible measures.

2.7.2 The measure installation order shall be dictated by the following protocols (and as required by program):

2.7.2(a) Energy audit for audit-driven measures and climate zone–specific priority lists for DOE priority list measures shall be prioritized in accordance with Appendix D Energy Audit/ Priority List Protocol

2.7.2(b) Duct testing and sealing activities as specified by the CSD 706 Duct Leakage Data Sheet form and Appendix B Duct Leakage Testing Protocol

2.7.2(b1) When a home is NIM, no duct testing or sealing shall be conducted until the issue that created the NIM condition is corrected.

2.7.2(c) Shell sealing activities as specified by the CSD 704 Shell Leakage Data Sheet form and Appendix C Shell Leakage Testing Protocol

2.7.2(c1) When required by program policy, home selection and shell leakage testing shall be conducted in accordance with Appendix C Shell Leakage Testing Protocol.

2.7.2(c2) All sealing activities performed shall be implemented in priority order and recorded in the CSD 704 Shell Leakage Data Sheet.

- When a home is NIM, no shell testing or sealing shall be conducted until the issue that created the NIM condition is corrected.

2.7.2(c3) A dwelling with no heat source or cooling source (where the owner refuses installation of those sources) shall not qualify for infiltration-reduction measures.

2.7.2(d) A measure shall not be installed when it does not meet the feasibility requirements in the measure's Technical Resource Manual (TRM) or when it cannot be properly installed due to structural limitations of the dwelling.

2.7.3 Energy Audit Requirements

2.7.3(a) When an energy audit is required or performed (as prescribed in Appendix D Energy Audit/Priority List Protocol), all auditors are required to complete the energy audit utilizing only an audit tool adopted by CSD.

2.7.3(b) For small multi-family buildings with common heating and/or cooling systems or multi-family buildings with ≥25 units, the TREAT audit must be applied to all units.

2.7.3(b1) There must be adequate measures to support the cost of performing a full TREAT audit.

- If no measures are installed, the costs of the TREAT audit are not billable.

2.7.3(b2) The assessor/auditor shall educate the building owner about the terms and process of a TREAT audit.

- If a building owner refuses a measure that qualifies with an SIR ≥1.0, the audit process shall stop, and the entire building will not qualify for weatherization services.

2.8. Programmatic Waivers

2.8.1 Because it is not possible to anticipate and address all potential situations in the program policies, CSD makes available programmatic "waivers" to resolve unusual issues that require evaluation on a case-by-case basis. Waivers shall be:

2.8.1(a) Sought through the CSD Providers' website

2.8.1(b) Accepted or denied in writing from CSD

2.8.1(c) Obtained prior to beginning work (purchasing or installing the measure)

2.8.2 Waivers are required when:

2.8.2(a) Expected measure cost would exceed the measure cost cap

2.8.2(b) The home qualifies for more than the maximum quantity of a measure

2.8.2(c) A time extension is required to resolve a CAS hazard

2.8.2(d) An alternative appliance type is considered essential for occupants or a cost-effective option

2.8.2(e) Other repairs are considered essential to the occupants' health and safety

2.8.3 Should a situation arise that is outside of the scope of any CSD weatherization program and it is not listed in the examples above, a program waiver shall be obtained.

2.9. Required Assessor-Client Education

2.9.1 All client education shall be documented on the CSD 321 Client Education Confirmation of Receipt form and retained in the client file.

2.9.2 All weatherization clients shall be provided with the following educational materials available on the Providers' website:

2.9.2(a) EPA pamphlet: "A Brief Guide to Mold, Moisture, and Your Home"

2.9.2(b) EPA pamphlet: "A Citizen's Guide to Radon"

2.9.2(c) EPA pamphlet: "Renovate Right: Important Lead Hazard Information for Families, Child Care Providers and Schools"

2.9.2(d) CDPH fact sheet: "Asbestos in the Home and Workplace"

2.9.3 Permit-Related Education

2.9.3(a) When a permit will be required by the local jurisdiction, CSD requires that the client receive an explanation of the permitting and inspection process.

2.9.3(b) When the dwelling contains obviously un-permitted work (e.g., questionable construction or installation of additions or appliances, etc.), the assessor shall explain that the building inspector may elect to inspect these additional components and that findings or fines related to this additional examination shall be the responsibility of the property owner.

2.9.4 Hazardous Condition Education

2.9.4(a) For all hazardous conditions, if immediate mitigation of the issue is not possible, the agency must, at a minimum, officially "abandon" the qualifying appliance within 18 hours in accordance with the appliance-specific TRM and Appendix A Combustion Appliance Safety Protocol. In addition, the agency must provide client education about the reason for appliance abandonment.

2.9.5 (DOE only) Field personnel shall provide the client with the following information as documented in the completed CSD 540G Health and Safety Form, including:

2.9.5(a) Potential risks created during weatherization

2.9.5(b) A copy of the completed pre-weatherization screening form

2.9.5(c) Contact information for the Subgrantee point of contact

2.10 The contractor shall provide the client with a description of the benefits that the client can expect to receive as a result of the measures to be installed and any diagnostic tests to be performed in the dwelling.

2.11 The contractor shall also discuss with the client any potential environmental hazards observed, such as mold or moisture issues, potential asbestos material, etc., in accordance with Appendix E Health and Safety Requirements.

3. CREW LEADER AND INSTALLER RESPONSIBILITIES AND POLICIES

3.1. Crew Leader's and Installer's Job Roles

3.1.1 Installation personnel are critical to the success of weatherization in a home. They ensure that:

3.1.1(a) Assessors have accurately determined the feasibility of a measure

3.1.1(b) The home still meets the minimum safety requirements before work is started

3.1.1(c) Workmanship is consistently excellent and safety practices are followed

3.1.1(d) Homes are left in a more energy efficient status than when they entered

3.1.1(e) Clients are satisfied and informed about the measures installed

3.1.2 A summary of the field responsibilities for crew leaders and installers is provided in Table G-4.

TABLE G-4: DOCUMENTS GUIDING CREW LEADER/INSTALLER RESPONSIBILITIES

Crew Leader/Installer Responsibility	Policy Reference
1. Identify safety conditions at the home not documented during the assessment.	Dwelling Assessment Policies General Safety and Measure Installation Practices Appendix E Health and Safety Requirements
2. Review the assessment form and all CAS diagnostic paperwork for: – Correct identification of measures – Completeness and adequate written justifications for measure installation – Proper identification of combustion appliance/safety issues – Documentation of client refusals of measures	Assessment Documentation Appendix E Health and Safety Requirements Appendix A Combustion Appliance Safety Protocol
3. Confirm permits for applicable measures have been obtained when required by the local jurisdiction.	Permit-Related Education Section 1 General Installation Guidelines

TABLE G-4: DOCUMENTS GUIDING CREW LEADER/INSTALLER RESPONSIBILITIES

Crew Leader/Installer Responsibility	Policy Reference
4. Perform all Health & Safety corrections, if qualified. If the installers are not licensed and work will be performed by a licensed subcontractor, installers shall confirm that corrections are finalized before any duct or shell leakage work is done.	Installation Timeline Duct Testing and Sealing Shell Sealing (Infiltration-Reduction Measures) Appendix A Combustion Appliance Safety Protocol Appendix E Health and Safety Requirements Individual measure TRM sections
5. Perform duct leakage work and record results in accordance with the CSD 706 Duct Leakage Data Sheet form.	Duct Testing and Sealing CSD 706 Duct Leakage Data Sheet Appendix B Duct Leakage Testing Protocol
6. Perform shell sealing work and record results in accordance with CSD 704 Shell Leakage Data Sheet form.	Shell Sealing (Infiltration-Reduction Measures) CSD 704 Shell Leakage Data Sheet Appendix C Shell Leakage Testing Protocol
7. Based on results of Health & Safety corrections and diagnostic testing, if additional work is identified or has changed from original assessment, confirm all changes to the work scope with the original assessor and document accordingly. Notify the property owner if required.	Appendix E Health and Safety Requirements Appendix A Combustion Appliance Safety Protocol Appendix B Duct Leakage Testing Protocol Appendix C Shell Leakage Testing Protocol
8. Install mandatory measures.	Measure Assessment Prioritization of Measures by an Assessor Lead-Safe Weatherization Individual measure TRM sections
9. Install mechanical ventilation when mechanical ventilation assessment is required by the program and assessment shows 16 cu. ft. per min. (CFM) or more. Check the flow rate of existing exhaust fans and the installed whole-house mechanical ventilation system.	CSD 540C Whole-Dwelling Ventilation Calculation Worksheet CSD 540D Mechanical Ventilation Assessment Form Section 12 Mechanical Ventilation
10. Install all feasible audit-driven measures as determined by energy audit and DOE priority list measures as determined by climate zone.	Energy Audit Requirements Appendix D Energy Audit/Priority List Protocol
11. Evaluate the home to ensure that all feasible measures are installed and proper clean-up and material recycling practices were followed.	Lead-Safe Weatherization CSD 540 Dwelling Assessment Form Individual measure TRM sections
12. Perform CAS post-testing. Finalize all installation paperwork while on site.	CSD 700 Combustion Appliance Safety Inspection Form Appendix A Combustion Appliance Safety Protocol
13. Confirm the client's level of satisfaction with the work performed.	Required procedure defined by agency's internal policy

TABLE G-4: DOCUMENTS GUIDING CREW LEADER/INSTALLER RESPONSIBILITIES	
Crew Leader/Installer Responsibility	**Policy Reference**
14. Finalize the work order, based on the installation results. Transmit the file to the program administration/ inspection team.	Required procedure defined by agency's internal policy

3.2. Installation Timeline

3.2.1 All Health & Safety issues shall be resolved when feasible under the CSD programs before energy conservation measures are installed.

3.2.1(a) Prior to the performance of any heating/cooling service, a qualified technician must perform a diagnostic inspection of the primary heating/cooling appliance to assess operational performance.

3.2.1(b) Health and safety hazards shall be addressed in accordance with Appendix E Health and Safety Requirements.

3.2.1(c) Health & safety measures shall be installed when feasible.

3.2.2 When an energy audit is conducted, installation of all feasible energy conservation measures shall be prescribed by the energy audit and priority list.

3.2.3 When no energy audit is conducted, and after health & safety measures are installed, then duct and shell leakage activities, and insulation measures must be installed when feasible. All other mandatory measures must be installed before any feasible optional measures.

3.2.4 No feasible measure shall be excluded, unless the:

3.2.4(a) Shell leakage and/or pressurized duct diagnostic test indicates that installation of a measure is not necessary;

3.2.4(b) Dwelling already has that measure in place;

3.2.4(c) Measure cannot be properly installed;

3.2.4(d) Client refuses installation (client refusal is to be documented and placed in file);

3.2.4(e) Measure is not cost-effective, as determined by energy audit;

3.2.4(f) Maximum installation dollar limit is reached; or

3.2.4(g) Measure is not needed or required.

3.2.5 General heat waste measures may not be included in an energy audit. When feasible, they may be installed without cost-justification of an SIR.

3.3. General Safety and Measure Installation Practices

3.3.1 Installation personnel shall identify any safety conditions at the home that were not documented during assessment.

3.3.2 Workplace safety guidelines and general safety practices applicable to all measures are in Appendix E Health and Safety Requirements and as regulated by California Occupational Safety and Health Administration (Cal/OSHA). When additional measure-specific safety practices are required, they will be provided in the TRM section for that measure.

3.4. Lead-Safe Weatherization

3.4.1 For dwellings that were constructed pre-1978, lead-based paint will be presumed to be present and lead-safe weatherization practices shall apply. (See Appendix E Health and Safety Requirements.)

3.4.2 In these dwellings, crew leaders and installers are required to follow the directions of the assigned EPA-certified renovator for all work and use appropriate containment and cleaning practices while on the job, including use of PPE.

3.4.3 Installers who are not certified renovators are required to follow the directions of and on-the-job training by the certified renovator during weatherization activities. Installers who are certified renovators must follow the directions of the assigned renovator when not working in the capacity of a renovator.

3.5. Duct Testing and Sealing

3.5.1 All duct system tests shall be conducted in accordance with Appendix B Duct Leakage Test Protocol. All duct leakage readings and sealing activities shall follow the order of and be recorded in the CSD 706 Duct Leakage Data Sheet without exception.

3.5.2 When a home is NIM, no duct testing or sealing shall be conducted until the issue that created the NIM condition is corrected.

3.5.3 For DOE jobs, the feasibility of duct sealing will depend on the Measure SIR and Dwelling SIR. Duct sealing may not be installed unless both of these SIR values ≥1.0. See Appendix D Energy Audit/Priority List Protocol.

3.5.3(a) If duct testing and sealing are feasible but are refused by the client, the home shall be deferred.

3.6. Shell Sealing (Infiltration-Reduction Measures)

3.6.1 Shell leakage testing shall be conducted in accordance with Appendix C Shell Leakage Test Protocol. All leakage readings and shell sealing activities shall be recorded on the CSD 704 Shell Leakage Data Sheet.

3.6.1(a) Note that higher priority sealing as identified by an assessor, or found to be feasible during installation, that is not performed must be justified in writing or sealing work will receive a fail by the inspector.

3.6.1(b) When a home is temporarily NIM to allow correction of a CAS or IAQ issue, no shell testing or sealing shall be conducted until the issue that created the NIM condition is corrected.

3.6.2 All shell sealing work shall be conducted according to the order of activities described in the CSD 704 Shell Leakage Data Sheet.

3.6.2(a) When a dwelling does not have a heat source or a cooling source by client choice, shell sealing/infiltration-reduction measures are not feasible.

3.6.2(b) When a shell leakage test is not required by program, shell sealing is required whenever feasible.

3.6.3 For DOE jobs, the feasibility of shell sealing will depend on the Dwelling SIR. Infiltration-reduction measures must be installed only when the SIR ≥1.0. See Appendix D Energy Audit/Priority List Protocol.

3.6.3(a) If shell testing and sealing are feasible but are refused by the client, the home shall be deferred.

3.7. Required Installer-Client Education

3.7.1 All client education provided by installers shall be documented and kept in the client file.

3.7.2 Installers shall provide clients with specific client education using both verbal and written instructions. Information must be provided in simple, easy-to-understand terms, combining text and pictures.

3.7.3 Required topics shall be:

3.7.3(a) Proper operation and maintenance for all measures installed

3.7.3(b) Maintenance requirements

3.7.3(c) Programming of controls (where applicable)

3.7.3(d) Safety considerations for each measure installed

3.7.3(e) Details specific to each measure as described in the TRM for that measure, when provided

3.7.3(f) Contact information for the installation company that installed the measure

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3.7.3(g) All written warranty information

3.7.4 The process of warranty claims shall be explained to the client, including claims to the manufacturer that fall outside of the labor warranty.

3.7.5 All industry inspection/verification certificates shall be provided to the client. Examples, include but are not limited to insulation certificates, Home Energy Rating System (HERS) verifications, etc.

3.7.6 Installers shall advise clients of potentially dangerous household practices, when applicable, including:

3.7.6(a) Fire and explosion dangers of storing items, particularly combustible or volatile chemical materials, in appliance enclosures

3.7.6(b) The purpose, operation, and maintenance (clearing) of vents for air quality, safety, and proper ventilation

3.7.6(c) Potential hazards of using unvented combustion appliances within a living space

4. INSPECTOR RESPONSIBILITIES AND POLICIES

4.1. Inspector Job Role

4.1.1 Inspectors are those agency personnel who conduct post-weatherization inspections to ensure the work quality meets the standards defined in the TRM. Agency personnel who conduct DOE inspections are required to be certified quality control inspectors (QCIs). CSD's own inspectors and third-party representatives are called quality assurance inspectors (QAIs).

4.1.1(a) All types of inspectors are vital to the success of an agency. They provide the final agency self-check to ensure that:

4.1.1(a1) Workmanship is consistently excellent and safety practices were followed

4.1.1(a2) Assessors and installation crews are in sync in their evaluation of a home and are accountable for their work

4.1.1(a3) Clients are satisfied

4.1.1(a4) The number of call-backs is minimal

4.1.1(a5) Agency and subcontractor training needs are identified and supported

4.1.2 A summary of the field responsibilities for inspectors/QCIs is provided in Table G-5.

TABLE G-5: DOCUMENTS GUIDING INSPECTOR RESPONSIBILITIES

Inspector Responsibility	Policy Reference
Safety	
1. Evaluate dwelling conditions to ensure that safety conditions were resolved to the degree required by CSD policy.	Dwelling Assessment Policies Installation Timeline Duct Testing and Sealing Shell Sealing (Infiltration-Reduction Measures) Appendix E Health and Safety Requirements
Assessment Quality	
2. Confirm adequate written justification is provided for unfeasible measures (or deferral, if dwelling was deferred).	Dwelling Assessment Policies CSD 540 Dwelling Assessment Form
3. Confirm that an energy audit and the Priority List were correctly applied.	Energy Audit Requirements Appendix D Energy Audit/Priority List Protocol

TABLE G-5: DOCUMENTS GUIDING INSPECTOR RESPONSIBILITIES

Inspector Responsibility	Policy Reference
4. Ensure proper identification of all CAS issues and successful remedies for fails.	CSD 700 Combustion Appliance Safety Inspection Form Appendix A Combustion Appliance Safety Protocol
5. Ensure required back-up documentation (i.e., photographs and all form documentation) is complete and present in the client file.	Required Forms Required Photographs (Justification Images) Appendix D Energy Audit/Priority List Protocol
6. Seek evidence of proper: – Permitting and final permits – HERS procedure and HERS inspection – Lead-safe/EPA RRP documentation, where required – Documentation of client refusals of measures	Permit-Related Education Section 1 General Installation Guidelines, Permits Appendix B Duct Leakage Testing Protocol, Recordkeeping Lead-Safe Weatherization Appendix E Health and Safety Requirements, Lead Safe Weatherization (LSW) Policy CSD 540 Dwelling Assessment Form Section 1 General Installation Guidelines
Work Quality	
7. Evaluate all measure installations to ensure TRM standards were met.	General Safety and Measure Installation Practices Inspection Timelines Individual measure TRM sections
8. Where mechanical ventilation is required, confirm flow rates for all exhaust fans.	CSD 540C Whole-Dwelling Ventilation Calculation Worksheet Section 12 Mechanical Ventilation
9. Review the refrigerator calculator to determine if the unit was correctly identified and evaluated and if replacement was performed to the TRM requirements.	CSD 540E Single-Family Refrigerator SIR Calculation Worksheet v1.3 Section 23 Refrigerators
10. Inspect all homes that were weatherized or received an ECIP EHCS measure, including measures installed by a subcontractor.	CSD 611 Contractor Post-Weatherization Inspection Report Per CSD contract/policy
11. Initiate a call-back to correct work quality or apply the warranty, if needed.	Call-Backs and Re-Weatherization Policies Crew Leader And Installer Responsibilities and Policies

TABLE G-5: DOCUMENTS GUIDING INSPECTOR RESPONSIBILITIES

Inspector Responsibility	Policy Reference
Diagnostics	
12. Confirm that the dwelling correctly received CAS, duct leakage, and shell leakage testing.	Diagnostic Verifications and Retesting Appendix A Combustion Appliance Safety Protocol Appendix B Duct Leakage Testing Protocol Appendix C Shell Leakage Testing Protocol CSD 704 Shell Leakage Data Sheet CSD 706 Duct Leakage Data Sheet CSD 700 Combustion Appliance Safety Inspection Form
13. Review to ensure correct duct and shell sealing was completed based on assessment decisions.	
14. Perform re-testing of CAS, duct leakage, and shell leakage tests in accordance with Diagnostic Verifications and Retesting.	
15. Compare inspector diagnostic results to assessor/crew results. Determine if additional training is needed for field personnel.	
Other	
16. Evaluate the home to ensure that proper clean-up practices were followed by crews.	CSD 611 Contractor Post-Weatherization Inspection Report Individual measure TRM sections
17. Confirm client satisfaction with the work completed.	Required Inspector-Client Education Required procedure defined by agency's internal policy
18. Complete the CSD 611 Contractor Post-Weatherization Inspection Report, including detailed notes describing reasons for any measure failure.	CSD 611 Contractor Post-Weatherization Inspection Report Individual measure TRM sections
20. Transmit complete client file to program administration/billing team.	Required procedure defined by agency's internal policy
21. Confirm that field equipment is functional and is calibrated according to CSD requirements.	In accordance with equipment manufacturer instructions • Appendix A Combustion Appliance Safety Protocol • Appendix B Duct Leakage Testing Protocol • Appendix C Shell Leakage Testing Protocol
22. Collaborate with CSD's QAI team during inspection visits.	CSD Oversight Per CSD policy

4.2. Inspection Timelines

4.2.1 Agencies are encouraged to complete all post-inspections as quickly as possible following weatherization to ensure that dwelling conditions or occupants do not change. If a hazard or fail condition is discovered by the inspector, agencies must correct the hazard or fail condition in accordance with the Fail Correction Timelines, or as soon as the condition is identified:

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4.3. Inspection Expectations

4.3.1 Post-weatherization inspections shall be conducted for the purpose of assessing the quality and completeness of weatherization services, and checking compliance with program policies and procedures. Post-inspections shall:

4.3.1 (a) Include inspection of the dwelling unit to ensure that all identified health and safety hazards, whether pre-existing or resulting from the performance of weatherization services, have been successfully remedied.

4.3.1 (b) Verify that all measures were completely installed in accordance with the TRM;

4.3.1 (c) Identify any feasible measures not installed, as well as unfeasible measures that were installed; and

4.3.1 (d) Confirm that the unit received shell leakage, and duct leakage testing, as applicable.

4.3.1 (e) Verify data inputs into form calculators, to ensure inputs are appropriate (e.g., the CSD 540C Mechanical Ventilation Calculator and CSD 540E Refrigerator Calculator). Where specified by the form, inspector testing may also be required and shall be documented.

4.3.1 (f) In accordance with Appendix D Energy Audit/Priority List Protocol, compare energy audit reports and billed costs.

4.4. Diagnostic Verifications and Retesting

4.4.1 Diagnostic verification requires inspectors to confirm that CAS testing of eligible combustion appliances was performed. The diagnostic verification shall occur at the time of post-inspection for 100% of dwellings with combustion appliances.

4.4.1 (a) Verification shall include inspection of combustion appliances to verify the safe operating condition of combustion appliances within the dwelling residence.

4.4.2 Agency inspectors also will be required to perform re-tests of diagnostic testing (i.e., combustion appliance safety testing, duct leakage testing, and shell leakage testing) on a minimum of 20% of inspected units for LIHEAP jobs and 100% of DOE jobs with combustion appliances.

4.4.2 (a) Re-testing shall consist of a full diagnostic test to be performed by the inspector, as defined by:

4.4.2 (a1) Appendix A Combustion Appliance Safety Protocol

4.4.2 (a2) Appendix B Duct Leakage Testing Protocol

4.4.2 (a3) Appendix C Shell Leakage Testing Protocol

4.4.2 (b) Results from the inspector's test will be compared by the inspector against results obtained by the crew leader or installation technicians in accordance with CSD forms.

4.4.3 Inspector re-testing shall be conducted and documented by the inspector on the appropriate diagnostic forms.

4.4.4 Agency inspectors shall refer field personnel for on-demand remedial training when a consistent pattern of discrepancies is identified.

4.5. QCI Certification

4.5.1 The DOE Guidelines for Home Energy Professionals project is intended to establish a skilled and credentialed workforce. To provide consistent, objective, and thorough inspections, DOE requires that an inspector demonstrates comprehensive knowledge and technical proficiency by passing an accredited written and field certification exam to become a certified QCI.

4.5.2 This certification is required for all inspectors who are performing quality control on DOE dwellings (or are leveraged with DOE funds).

4.5.3 Certified QCIs are required to renew certification in accordance with BPI requirements. (See www.bpi.org.)

4.6. Subcontractor Oversight

4.6.1 Inspectors shall provide program management with adequate information to judge the performance of weatherization measure installation subcontractors and specialty subcontractors.

4.7. CSD Oversight

4.7.1 CSD will use its own QAI team to review and verify that all weatherization work complies with the TRM, including assessments, measure installations, and inspections. QAI inspections shall be performed in accordance with the CSD Inspection Policies and Procedures Manual located on the Providers' website.

4.7.2 An agency ride-along (designated representative) shall accompany the inspector on inspection visits and shall provide transportation and equipment to the inspector. When possible, the ride-along shall make corrections during these inspection visits.

4.7.3 All fails and hazards identified by the CSD or third-party inspector shall follow the timeline for correction identified in Fail Correction Timelines.

4.8. Required Inspector-Client Education

4.8.1 Inspectors shall provide clients with a final opportunity to ask questions related to installed measures, the process, warranties, or how to obtain assistance if a measure fails. Responses must be provided in simple, easy-to-understand terms.

4.8.2 The inspector also shall provide agency/contractor contact information and determine if the client has been satisfied with the services received, the weatherization experience, and other areas of client satisfaction as determined by the agency.

4.8.3 Client education shall be documented and kept in the client file.

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H. Reference Documents

Table of Contents

ABBREVIATIONS AND ACRONYMS **H-1**

TERMS AND DEFINITIONS **H-6**

CALIFORNIA ENERGY COMMISSION CLIMATE ZONES **H-34**

1. Introduction H-34
2. CZ Map H-34

Abbreviations and Acronyms

Acronym/ Abbreviation	Definition
°C	degrees Celsius
°F	degrees Fahrenheit
AAMA	American Architectural Manufacturers Association
ABS	acrylonitrile-butadiene-styrene
AC	air conditioner/conditioning
ACCA	Air Conditioning Contractors of America
ACDD	annual cooling degree days
ACH	air changes per hour
ACM	asbestos-containing materials
ADM	audit-driven measure
AFUE	annual fuel utilization efficiency
AGA	American Gas Association
AHDD	annual heating degree days
AHRI	Air Conditioning, Heating, and Refrigeration Institute
ANSI	American National Standards Institute
ARB	Air Resources Board of California
ARI	Air-Conditioning and Refrigeration Institute
ASGV	automatic gas shut-off valve
ASHRAE	American Society of Heating, Refrigerating, and Air-Conditioning Engineers
ASME	American Society of Mechanical Engineers
ASTM	American Society for Testing and Materials
awg	American wire gauge
BEAR	Bureau of Electronic and Appliance Repair
BEES	Building Energy Efficiency Standards
BEF	ballast efficacy factor
BHMA	Builders Hardware Manufacturers Association
BOCA	Building Officials and Code Administrators
Btu	British thermal unit(s)
Btuh	British thermal units per hour
CABO	Council of American Building Officials
Cal/OSHA	California Occupational Safety and Health Administration
CAS	combustion appliance safety
CASIF	Combustion Appliance Safety Inspection Form
CAZ	combustion appliance zone
CBC	California Building Code
CBM	Certified Ballast Manufacturers

Acronym/ Abbreviation	Definition
CBO	community-based organization
CCR	California Code of Regulations
CDC	Centers for Disease Control and Prevention
CDD	cooling degree days
CDPH	California Department of Public Health
CEC	California Electrical Code/California Energy Commission
CFL	compact fluorescent lamp
CFM	cubic feet per minute
CFM25	cubic feet per minute of airflow at 25 pascals of pressure
CFM50	cubic feet per minute of airflow at 50 pascals of pressure
CFR	Code of Federal Regulations
CMC	California Mechanical Code
CO	carbon monoxide
COP	coefficient of performance
CPC	California Plumbing Code
CPR	cardiopulmonary resuscitation
CPSC	Consumer Products Safety Commission
CRC	California Residential Code
CSA	Canadian Standards Association
CSD	California Department of Community Services and Development
CSLB	Contractors State License Board
cu. ft.	cubic foot (feet)
cu. in.	cubic inch(es)
CVA	combustion (and) ventilation air
CZ	climate zone
DOE	(United States) Department of Energy
DOSH	Division of Occupational Safety and Health
DV	direct vent
ECIP	Energy Crisis Intervention Program
ECM	energy conservation measure
EER	energy efficiency ratio
EHCS	emergency heating and cooling services
EIA	Environmental Information Association
EPA	Environmental Protection Agency
ERV	energy recovery ventilator
ESA	Energy Savings Assistance (Program)
ETL	Edison Testing Laboratories
EUL	Effective Useful Life
FAU	forced air unit

Acronym/ Abbreviation	Definition
FHA	(United States) Farmers Home Administration
fpm	feet per minute
FS	federal specification
FVIR	flammable vapor ignition–resistant
g	gauge
GFCI	ground fault circuit interrupter
GHW	general heat waste
gpf	gallons per flush
gpm	gallons per minute
H&S	health and safety/Health and Safety/Health & Safety
HazCom	Hazard Communication (Program)
HCD	(California Department of) Housing and Community Development
HDD	heating degree days
HDL	house depressurization limit
HEPA	high-efficiency particulate air
HERS	Home Energy Rating System
HET	high-efficiency toilet
HPD	heat-producing device
hr	hour
HRV	heat recovery ventilator
HSPF	heating seasonal performance factor
HSPP	Health & Safety Partnership Program
HUD	(United States Department of) Housing and Urban Development
HUDMHCSS	HUD Manufactured Home Construction and Safety Standards
HVAC	heating, ventilation, and air conditioning
HVACR	heating, ventilation, air conditioning, and refrigeration
Hz	hertz
IAQ	indoor air quality
IBC	International Building Code
ICBO	International Conference of Building Officials
ICC	International Code Council
ID	inside diameter
IDLH	immediately dangerous to life and health
IGU	insulated glazing unit
IIPP	injury and illness prevention program
IRC	International Residential Code
IRM	Infiltration Reduction measure
IWC	inches of water column
K&T	knob-and-tube

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Acronym/ Abbreviation	Definition
kBtu	kilo British thermal units
kBtuh	kilo British thermal units per hour
kHz	kilohertz
lb.	pound(s)
LED	light-emitting diode
LHR	limited home repair
li. ft.	linear foot (feet)
LIHEAP	Low Income Home Energy Assistance Program
LIWP	Low Income Weatherization Program
LP	liquid propane
LSH	lead-safe housing
LSW	lead-safe weatherization
LV	leakage value
MaP	Maximum Performance
MER	minor envelope repair
MFD	multi-family dwelling
MH	manufactured housing OR mobile home
MPH	minutes per hour
MS	measure standard
MUD	multi-unit dwelling
MV	mechanical ventilation
MVR	minimum ventilation requirement
NAIMA	North American Insulation Manufacturers Association
NEC	National Electrical Code
NEEA	Northwest Energy Efficiency Alliance
NEMA	National Electrical Manufacturers Association
NFPA	National Fire Protection Association
NFRC	National Fenestration Rating Council
NFVA	net free ventilation area
NIM	(limited to) non-infiltration measures
NOx	nitrogen oxides (NO and NO2)
NWWDA	National Wood Window and Door Association
OC	on center
OD	outside diameter
OEHHA	(California) Office of Environmental Health Hazard Assessment
OLHCHH	(United States Department of Housing and Urban Development) Office of Lead Hazard Control and Health Homes
OSHA	Occupational Safety and Health Administration
P&P	policies and procedures

Acronym/ Abbreviation	Definition
Pa	pascal(s)
PPE	personal protective equipment
ppm	parts per million
psf	pounds per square foot
psi	pounds per square inch
PSM	process safety management
PTAC	packaged terminal air conditioner
PVC	polyvinylchloride
RPP	respirator protection plan
RRP	renovation, repair, and painting
SAR	supply air register
SCBA	self-contained breathing apparatus
SDI	Steel Door Institute
SDS	safety data sheet
SEER	seasonal energy efficiency ratio
SEMKO	Svenska Elektriska Materielkontrollanstalten
SHPO	State Historic Preservation Office
SIR	savings-to-investment ratio
SMACNA	Sheet Metal and Air Conditioning Contractors National Association
SPF	spray polyurethane foam
sq. ft.	square foot (feet)
sq. in.	square inch(es)
T2 APS	tier 2 advanced power strip
TB	tuberculosis
TPE	thermoplastic elastomer
TPV	temperature and pressure (relief) valve
TRM	technical reference manual
TSV	thermostatic shower valve
UBC	Uniform Building Code
UEF	uniform energy factor
UL	Underwriters Laboratories
UMC	Uniform Mechanical Code
UPC	Uniform Plumbing Code
UV	ultraviolet
VOC	volatile organic compound
WAP	weatherization assistance program
WIS	Weatherization Installation Standards
Wx	Weatherization
XRF	X-ray fluorescence

Terms and Definitions

Term	Definition
Abandoned appliance	Abandonment of an appliance, and related policies, are described in Appendix A Combustion Appliance Safety Protocol. When prescribed, abandonment shall be completed before any infiltration or non-infiltration measures are installed. An appliance that has been removed from client use by doing the following: • Written permission from the property owner shall be obtained in the CSD 542 Deferral Form for abandonment and commitment to not reattach the appliance. (Note: If the client refuses abandonment, the home shall be restricted in non-infiltration reduction measures). • Remove the flexible gas connector ("gas flex"), and • Cap the appliance line (shut-off) valve, or remove the valve and cap the gas supply line, and • Disconnect electricity to the unit, if applicable and feasible (e.g., power switched off at the breaker or fuse, or the cord unplugged). Removal of the appliance from the premises with client permission may occur at the time of the appliance abandonment or before weatherization is completed. A removed appliance shall be disposed of properly.
Adapters, plumbing type	Threaded fittings designed to fit specialized plumbing threads and diameters associated with some styles of showerheads and faucet aerators. Adapters convert from the specialized connections to standard connections commonly used.
Air changes per hour (ACH)	ACH is the air infiltration rate of a building at natural (atmospheric) pressure. • ACH is the number of times per hour an amount of air equivalent to the entire volume of a building will pass through the shell as infiltration. • If a 4,000–cu. ft. dwelling had infiltration at natural pressure equivalent to 1,000 cu. ft. per hour, the air infiltration rate would be 0.25 ACH (1,000 ÷ 4,000 = 0.25). In other words, during each hour, one-fourth of the air in the dwelling would be replaced (changed) by fresh outdoor air.
Air-free (CO)	A CO measurement taken with a test instrument that calculates the amount of CO ppm without the presence of excess air. The amount of oxygen in the combustion gas is taken into account by adjusting the as-measured CO ppm value to simulate oxygen-free conditions in the combustion gases.

Term	Definition
Appliance line valve (Appliance shut-off valve)	A manual gas shut-off valve installed between the gas supply pipe and the flexible gas connector. It must be located within 6' of the appliance it serves. The flexible gas connector must be completely in the same room as the appliance to which it is connected.
Appliance repairs	Cleaning and replacement of fuel nozzles and jets, replacement of thermocouples, refrigerant, or other component repairs or replacements necessary for safe and efficient operation. Must be accomplished by a technician qualified to perform such work. Also see "Appliance service."
Appliance service	Minor corrective work performed by utility service personnel or qualified technicians, intended to make an appliance operate properly without repair or replacement. Includes cleaning burners and orifices, adjusting air/gas mixture, adjusting manifold gas pressure, or correcting of electrical hazards.
As-measured (CO)	The measured CO ppm from a sample of combustion gases with no regard for the amount of excess air diluting the CO concentration. The test instrument does not perform a calculation to account for oxygen in the combustion gases.
Assessment	The process used to evaluate an eligible dwelling unit for weatherization services offered under the DOE and LIHEAP weatherization programs. The purpose is to determine if the dwelling qualifies for weatherization and, if so, what labor and materials are necessary to weatherize the unit. An assessment shall only be performed by qualified individuals possessing the required skill and training needed to perform assessment activities.
Astragal	The vertical strip that spans the gap between the two meeting edges of double doors (e.g., French doors). The astragal attaches to a stile on one of the doors and provides a surface against which the other door closes and seals.
Attic venting	Screened and/or louvered vents installed to provide attic ventilation (airflow though the attic) in a dwelling. • Low vents typically are eave and soffit vents, but they can also be a roof jack/eyebrow installed low on the roof, or a gable vent installed low on the gable wall. • High vents typically are roof jacks, eyebrow vents, dormer vents, and wind turbines. Minimum NFVA venting requirements are described in Section 40 Attic Ventilation.
Audit	See "Energy audit."

Term	Definition
Audit path	The weatherization approach in which energy conservation measures are included in the work scope based on the results of a site-specific energy audit as specified in Appendix D Energy Audit/Priority List Protocol.
Audit-driven measure (ADM)	A subset of energy conservation measures that require an energy audit. To be installed an ADM must be determined to be cost-effective by having Measure savings-to-investment ratio (SIR) value ≥1.0 and an overall Dwelling SIR of ≥1.0.
Automatic door bottom	An air-sealing device installed at the bottom of a door on the interior. A carrier (with a pliable gasket on the bottom) slides down to contact the floor or threshold when the door is closed, and it slides up to clear the floor/covering when the door is opened. It may be used when a shoe-and-saddle combination is not feasible. (Different from a flip sweep that pivots to move up and down, which is not an approved material.)
Automatic gas shut-off valve (AGSV)	An automatic safety device that is installed on some gas water heaters to protect against overheating by shutting off the gas supply when water in the tank reaches a preset level, typically 210°F. Code requires that a separate pressure relief valve also be installed somewhere in the cold water supply line. An AGSV (such as a Watts-210) may be used on water heaters instead of a temperature and pressure relief valve (TPV). This is done in locations where a gravity drain line to outdoors cannot be installed (e.g., interior locations in multi-family units and in basements). Also see "Temperature and pressure (relief) valve (TPV)."
Backdrafting	The reverse flow of combustion gases down the vent pipe and out the draft hood of a natural draft open combustion gas appliance. Intermittent backdrafting can be caused by wind gusts. Ongoing backdrafting can be the result of a negative pressure in the combustion appliance zone (CAZ) caused by: • Duct system return leaks in the vicinity of the appliance, • Blockage of the vent pipe, and/or • The excessive interference of mechanical systems exhausting air from the structure (e.g., bathroom and utility room exhaust fans, kitchen exhaust fans, clothes dryer, built-in vacuum system, etc.).
BB hole	A hole in a window pane that is less than ¼" in diameter, similar in size to a BB.

Term	Definition
Belly cavity return	Because belly cavity returns are considered a source of catastrophic duct leakage in a mobile home, whenever feasible, an un-ducted belly-cavity return, shall be: • Abandoned, by removing floor registers and filling/ sealing the holes, and • Replaced by a ducted central return. Regular duct testing shall be performed after the belly-cavity return has been replaced with a ducted central return. Note: If it is unfeasible to abandon a belly cavity return, modified duct testing shall be performed. • Isolate the return system from the FAU (e.g., with cardboard and tape at the bottom of the FAU). • Perform a duct test on the supply side of the system, with the Duct Blaster connected to a supply register or attached to the FAU at the supply plenum.
Bellyboard	A protective thin rigid or flexible material, also known as rodent barrier, attached to the bottom of the floor supports (joists) of a mobile home to keep rodents out of the insulation and underfloor area.
Braiding	When multiple separate funding sources are used on one weatherization project to address the different needs within the home, while ensuring each funding source is isolated and tracked independently. This is also referred to as "full measure leveraging". One funding source is required to be Department of Energy Weatherization Assistance Program (DOE WAP) funds.
British thermal units per hour (Btuh)	A measure of the quantity of energy from fuel that is consumed by the burner of an appliance. • For simplicity, large Btu ratings can be referred to as kBtuh (1,000 Btuh = 1 kBtuh). Thus, the rating of a 90,000 Btuh input furnace can be expressed as 90 kBtuh.
Built-up roof (low-slope)	A low-slope roof that is "built up" with roofing felt laminated in overlapping layers to form a membrane that is 2–4 plies thick. To protect the membrane from sunlight and physical wear, a layer of aggregate (crushed stone or other mineral granules) is embedded in the surface.
Buy-down **(Measure buy-down)**	A method of measure funding that applies to audit-driven measures when the property owner/landlord of a multi-unit building contributes to the cost of a measure through a financial contribution or with an applied rebate. This optional approach only applies to single-family (2-4 unit buildings only), small multi-family, or large multi-family rental properties, and the buy-down cannot be applied to an owner-occupied unit. Additional requirements apply as specified in Appendix D Energy Audit/Priority List Protocol.

Term	Definition
Call-back	A call-back is when a measure fails (either during inspection or later within the warranty period) that is required to be corrected by an agency. The required warranty periods are defined in each measure. Also see "Go-back."
Carbon monoxide (CO)	A gas produced as a byproduct of the combustion process. CO is toxic to humans and animals because it binds to hemoglobin atoms in the bloodstream in place of oxygen and starves the body of oxygen. CO poisoning can cause a variety of health problems or death.
Catastrophic leakage	Duct or shell leakage that is large and must be documented by photographs, measurements of the gap, calculations, and a written description of the leakage. • In ducts, catastrophic leakage is defined as a condition identified when: – The duct tester is in "open mode" and speed control is at maximum and – Duct pressure no greater than 24 Pascals is achieved ▪ Examples include crushed or disconnected ducts, incomplete duct systems, or visible holes through the duct material that allow the escape of conditioned air. ▪ Duct leak repairs must be made in accordance with Appendix B Duct Leakage Testing Protocol as long as no unresolvable CAS or IAQ fails are present. • In a shell (envelope), catastrophic leakage is defined as a physical gap(s) measuring at least 5 sq. in. of leakage calculated for a single measure location (e.g., a door, a window, etc.). – Shell leak repairs must be made as long as no unresolvable CAS or IAQ fails are present, in accordance with Appendix C Shell Leakage Testing Protocol.
Chandelier	A suspended luminaire (e.g., hanging from ceiling or attached to bottom of a ceiling fan) that incorporates exposed lamps as a decorative element. It is sometimes referred to as "cluster lighting."
Child/children	Member(s) of a household who have not attained their 19th birthday.
Client advisory condition	A non-conforming condition that does not need to be corrected to weatherize or to install infiltration reduction measures. Client advisory conditions are reported to the client and recorded in section D of CSD CASIF Form 702.

Term	Definition
Client education	Verbal and written information provided to the client describing energy-saving behavioral adjustments to decrease the energy consumption of the household. Client education can include, but is not limited to, providing the client with resource information; local agency referral; mold, radon, and lead-safe education; warranty information; advising the client of the benefits of weatherization; and showing the client how to properly operate and maintain the installed weatherization measures.
Climate zone (CZ)	One of the 16 climate zones established by the California Energy Commission that represents a geographic area and has a particular weather pattern. A climate zone is based on energy use, temperature, weather, and other factors that determine the types of building standards that are subject to the Title 24 Energy Efficiency Standards and that determine the energy conservation measures that must be installed in a weatherized dwelling.
Closure system (Duct closure system)	The sum total of components used to secure and seal a duct system joint or seam against air leakage (e.g., pressure-sensitive tape, heat-activated tape, or mastic with fiberglass mesh reinforcement). Closure systems for non-metallic flexible ducts also include one or more drawbands.
Co-funding	When leveraged funds (not owner-contributed funds) are applied to install a measure that does not have a Measure Savings to Investment Ratio (Measure SIR) of 1.0 or greater. One funding source is required to be Department of Energy Weatherization Assistance Program (DOE WAP) funds. Compared to measures using leveraged funds, the DOE WAP investment must result in a Measure SIR of at least 1.0, and the Dwelling SIR must be at least 1.0 (calculated using the DOE WAP total investment only). This is also referred to as "partial measure leveraging".
Combustion appliance	An appliance that burns fuel. Combustion appliances include those that use natural gas, propane (LP gas), fuel oil, wood, wood pellets, coal, or any other flammable liquid (e.g., kerosene) or combustible material.
Combustion appliance zone (CAZ)	The room or area of a home in which one or more open combustion appliances are located. The area is subject to pressurization or depressurization that can affect proper operation of the appliance(s). • Depressurization (negative pressure) in the CAZ is of greatest concern for natural draft appliances—typically a furnace, water heater, wood burning stove, or fireplace drawing combustion air from the living space.

(Continued on next page.)

Term	Definition
	(Continued on previous page.)
Combustion appliance zone (CAZ)	• The CAZ could be a living room containing a wood burning stove, a kitchen or utility porch containing a water heater, or an appliance enclosure containing a furnace and/or water heater. • Excessive depressurization of the CAZ can cause backdrafting and spillage of CO out of the draft hood and into the living space.
Cost sharing	Dividing the cost of a measure between two funding sources. Cost sharing is not the same as braiding or co-funding. It is used when an SIR is not required. This method of dividing the cost of a measure applies only to Health and Safety, Priority List, and General Heat Waste category measures in the Department of Energy Weatherization Assistance Program (DOE WAP). It requires labor costs to be billed to the DOE WAP and materials costs to be billed to another funding source. This billing option shall not be used for audit-driven measures.
Combustion appliance safety (CAS) fail	A CAS fail is a condition that must be corrected within 20 business days but does not require immediate service (is not a hazard). It is recorded in section D of CSD CASIF Form 702. Infiltration reduction measures must not be installed until all CAS fails are corrected.
Combustion appliance safety (CAS) hazard	A health-threatening condition associated with the operation of a gas- or oil-burning combustion appliance that requires immediate service within 18 hours of identification. No weatherization measures shall be installed until all CAS hazards are corrected.
Combustion ventilation air (CVA)	Adequate CVA in a room or space is a volume of at least 50 cu. ft. per 1,000 Btuh of aggregated input rating of all fuel-burning space and water heating appliances installed in that space. In homes built in 2008 and later, cooking appliances and gas dryers must be added to the CVA calculation. There is insufficient CVA when there is less than 50 cu. ft. per 1,000 Btuh. In this case, additional venting must be added or the condition is considered a CAS fail.
Compact Fluorescent Lighting (CFL)	Energy saving lighting compared with incandescent bulbs. CFLs must be pin-based for CSD programs. LED lighting is the preferred technology currently. See "High-efficacy lighting," "Thread-based CFL," and "Pin-based CFL."
Conditioned space	An area, room, or space that is normally occupied and is heated or cooled for human habitation by any equipment (CMC, §205.0.)

Term	Definition
Conventional home	A site-built dwelling unit (not a factory-built manufactured or mobile home). Note: Single-family dwellings must have a minimum living area of 330 sq. ft. to qualify for weatherization services.
Cover plate gasket	A pre-cut thin foam insulation material designed to fit behind the cover plate of an electrical box (switch or receptacle) to reduce infiltration.
Crawlspace venting	Screened and/or louvered vents installed to provide crawlspace or foundation ventilation (airflow though the crawlspace) in a dwelling. Minimum NFVA venting requirements are described in Section 40 Attic Ventilation and Section 41 Crawlspace Ventilation.
Diagnostic testing	A series of testing protocols performed under the weatherization program that uses specialized tools to assess: • The operating condition of combustion appliances for general safety and carbon monoxide emission levels • Pressurized testing procedure to assess the integrity of building envelope and specific points of air infiltration • Pressurized testing procedure that checks duct systems for leakage and outside air infiltration Diagnostic tests shall only be performed by qualified individuals possessing the required skill and training needed to perform diagnostic testing activities.
Department of Energy Weatherization Assistance Program (DOE WAP)	The U.S. Department of Energy (DOE) provides funds for the Weatherization Assistance Program (WAP). This program is authorized by Title IV of the Energy Conservation and Production Act (P. L. 94 385). The federal regulations for this program are in 10 CFR Part 440. The intent of this program is to increase the energy efficiency of low-income dwellings, reduce the occupant's total residential energy expenditures, and improve their health and safety. For the DOE WAP, allowable measures and materials are defined in the Department of Energy Regulations, 10 CFR Part 440.
Door bottom	Includes the door shoe and sweep. It does not include weatherstripping.
Door shoe	A rigid metal attachment to the bottom of a door that holds a pliable gasket material (sweep), which prevents air leakage under the door.

Term	Definition
Drawband	A device that encircles a duct and mechanically secures the core-to-fitting attachment, i.e., a synthetic duct tie ("zip tie") or a worm-drive stainless steel clamp. Duct ties are also used to secure/seal flexible duct jackets (vapor barrier) and to secure fiberglass duct wrap.
Dual-use duct system	A duct system used to deliver air from both an evaporative cooler (in summer) and a forced air heating unit (in winter). A vent cover shall not be installed on such a system because the ducts are used to deliver heat and must not be blocked off.
Duct closure system	See "Closure system (Duct closure system)."
Duct insulation	Faced or unfaced insulation material applied to ducting to prevent the transfer of heat through the duct walls. Retrofit duct insulation in weatherization programs is usually fiberglass duct wrap (1"–2" thick) applied to the outside of rigid metal ducting located in an unconditioned space.
Duct system	All ducts, fittings, plenums, and fans assembled to form a continuous passageway for distribution of air (CMC, §206.0).
Dwelling unit	A house, stationary mobile or manufactured home, apartment, group of rooms, or single room occupied as separate living quarters.
Elderly	An individual 60 years of age or older.
Electric baseload measure	A subset of weatherization measures designed specifically to reduce energy consumption in the areas of lighting and electrical appliances. Allowable electric base load measures include LED bulbs, fixtures, night lights, table and floor lamps, microwave ovens, refrigerator repairs/replacements, and electric water heater timers.
Elevator (Shim)	See "Threshold risers and elevators/shims."
Energy audit	A software analysis tool for assessing a dwelling unit's energy consumption and determining a list of cost-effective measures for a specific dwelling.
Energy conservation	Energy conservation measures (also known as weatherization measures) include a wide variety of measures installed in or applied to the dwelling to increase the energy efficiency or to reduce the total energy expenditures of the dwelling.
Essential appliance	By CSD definition, an essential combustion appliance is a primary gas heater or primary gas water heater.

Term	Definition
Evaporative cooler	A device (appliance) that cools air through the evaporation of water. Evaporative cooling is especially well suited for climates where the air is hot and humidity is low. • The cabinet of an evaporative cooler has one or more sides equipped with a "pad" (a permeable material, also referred to as "media") through which water will move and air can be pulled. The pad is wetted with water, and the fan inside pulls outside air through the pad. Evaporation of water in the pad lowers the temperature of the moving air, which is then pushed into the building. • The evaporation process adds moisture to the incoming air, which can cause air inside the building to become humid ("sticky") at higher outdoor temperatures. • Clients must be instructed to leave one or more doors, windows, and/or pressure relief passages open whenever the unit is operating, day or night.
Evaporative cooler repairs	Repair or replacement of filter pads, water pump, belt, motor, or other components that will promote efficient operation of the unit.
Factory-built housing	See "Modular home."
Family unit	All persons living together in a single dwelling unit.
Forced air unit (FAU)	The portion of a central heating and/or air conditioning system that contains the air handler (blower section). In a split system, it is the furnace. In a package unit, the combination heating or air conditioning unit may be referred to as the FAU.
Full measure leveraging	See "Braiding."
Gas shut-off valve	See "Automatic gas shut-off valve (AGSV)" and "Appliance line valve (Appliance shut-off valve)."
General heat waste (GHW) measures5	A subcategory of weatherization measures within the Department of Energy Weatherization Assistance Program (DOE WAP) designed specifically to improve energy efficiency by reducing general heat and cooling waste within the dwelling. General heat waste measures are defined by contract; in the DOE WAP this subcategory is only applied in the Audit Path. These are capped at a total maximum cost of $250 for all measures in this category.
Go-back	See "Call-back."
Halogen	See "Quartz halogen."

Term	Definition
Hard-wired fixture	A fixture that is: • Mechanically attached to an electrical box with screws and • Electrically connected directly to conductors extending from the electrical box The conductors from the box are attached directly to the fixture's terminals with screws or wire nuts, not plugged into an outlet.
Hazard/hazardous condition	Any condition posing an immediate health and safety threat to the client and/or persons working in the dwelling unit. Hazardous conditions include, but are not limited to CAS hazards, appliance-related hazards, and electrical hazards as defined in the Appendix E Health and Safety Requirements. Also see "Combustion appliance safety (CAS) hazard."
Health and Safety measures	A subset of weatherization measures installed to correct health and safety hazards generated by combustion or electrical appliances and to preserve or improve IAQ. These measures include carbon monoxide alarms, smoke alarms, kitchen exhausts, heating/cooling and water heater repairs and replacements, lead-safe weatherization, and cooking appliance repair and replacements (LIHEAP only).
Heat-activated tape	Metallic duct-sealing tape with an adhesive coating that is activated and cured by the application of heat and pressure. Heat-activated tape is used only to seal joints in rigid fiberglass duct systems.
Heat waste measures	See "General heat waste (GHW) measures5."
Heating/air conditioning appliance repairs	See "Appliance repairs."
HEPA (high-efficiency particulate air) filter	A filter that collects 99.97% of all particles greater than 0.3 microns in size. (See "Micron.")
Home Energy Rating System (HERS) rater	A HERS rater, also referred to as a HERS provider, is an entity or individual recognized by the California Energy Commission certified in field and diagnostic testing verifications, necessary for demonstrating compliance with the Building Energy Efficiency Standards (BEES).
High-efficacy lighting	Generally defined as LED or pin-based compact fluorescent lighting, which produce higher amounts of light per watt of electricity than incandescent bulbs. Title 24 specifies that new and replacement lights in bathrooms, garages, laundry rooms, and (outside) front porches generally must provide high-efficacy lighting. (Continued on next page.)

Term	Definition
	(Continued on previous page.)
High-efficacy lighting	High-efficacy compact fluorescent lamp fixtures must be pin-based rather than thread-based; however, LED fixtures may be thread-based to meet the high-efficacy definition.
High-efficiency toilet (HET)	A HET is a WaterSense-labeled toilet that is rated at 1.28 gallons per flush (gpf) or less and has a Maximum Performance (MaP) rating of 350 grams or greater.
House depressurization limit (HDL)	The maximum depressurization (negative pressure) acceptable in a given CAZ as explained in Appendix A Combustion Appliance Safety Protocol. HDL is important with open combustion appliances, especially natural draft (with a draft hood), because they can back-draft and spill CO when negative pressure in the CAZ is too great.
Inaccessible appliance	A combustion appliance that cannot be accessed for CAS testing due to a locked entry or a physical impediment. Examples include: • An appliance in a locked room/enclosure with a key that is not available • An attic-mount furnace in a multi-unit dwelling that requires entry through an inaccessible unit • A floor furnace in a crawlspace with inadequate crawl clearance • A floor furnace that has been covered over by plywood or attached floor covering (e.g., wall-to-wall carpet or vinyl) • A floor or wall furnace that has been turned off and blocked by heavy furniture (e.g., a hutch or cabinet)
Indoor air quality (IAQ) fail	The following air quality contaminants are described in Appendix E Health and Safety Requirements. They may cause serious health issues for clients and their families, and their presence would be considered an IAQ fail unless correctable within the program scope: • Un-vented moisture sources • Significant pet waste and odors • Fumes from stored chemicals/volatile organic compounds • Radon • Asbestos-containing materials • Methane gas • Biological hazards • Combustion byproducts, etc. (Continued on next page.)

Term	Definition
	(Continued on previous page.)
Indoor air quality (IAQ) fail	Infiltration reduction measures shall not be installed when sources of air pollution are present that cannot be corrected. Any IAQ fail must be corrected before infiltration reduction measures may be installed. If a combustion appliance is creating an IAQ or CAS hazard, the appliance shall be checked/serviced by a qualified technician or properly abandoned.
Infiltration reduction measure (IRM)	Measure(s) installed in or applied to dwellings to reduce or stop infiltration (the uncontrolled flow of conditioned air out of the dwelling and outside air into the living space). IRMs are primarily shell sealing measures, but duct sealing is also included (and completed before shell sealing). Additional IRMs are caulking, door repair/replacement, glass replacement, minor envelope repairs, interior vent covers, exterior door weatherstripping, other weatherstripping (access doors, windows, etc.), and window and sliding glass door repair/replacement.
Inoperable appliance	An appliance that does not operate and, therefore, cannot be CAS tested until checked/serviced by a qualified technician. This term is most commonly applied to a gas-burning appliance in which the main burner(s) will not light.
Intake	Includes, but is not limited to, the process of reviewing applicant documentation to verify program eligibility and completing an intake form.
Interim CAS test	A minimum CAS test that must be performed on an open combustion appliance when installation of infiltration reduction measures has begun but is not completed at the end of a workday. This test applies to appliances that draw combustion air from the living space. It is especially important for natural draft units (which have a draft hood) because they can spill CO into the home.
J-Channels	J-channels generally are used around roofing, siding, doors, and windows and are used to keep water away from structural features. J-channels and flashing are specifically needed around windows to prevent moisture intrusion, along the edges of a mobile home roof, or anywhere else that an existing J-channel is damaged, incorrectly installed, or is missing and may be replaced in these conditions in conjunction with the associated measure.
Labeled	See "Listed, listing."
Lapped seam	The joint formed where two pieces of material (usually sheet metal) are overlapped.

Term	Definition
Lead de minimis (minimum action) California Department of Public Health (CDPH)	The CDPH requires: • In homes built before 1978, lead-safe weatherization (LSW) practices are required by CSD in any home where paint will be disturbed (most strict policy). • Agencies, field personnel and their supervisors, and all subcontractors are required to know and follow lead-safe practices for containment, clean-up, and certification. • Requirements for dealing with lead-based paint are outlined in Appendix E Health and Safety Requirements.
Environmental Protection Agency (EPA)	The EPA Renovation, Repair and Painting (RRP) rule: • Applies to any housing constructed prior to 1978, except housing types inhabited by the elderly or persons with disabilities (unless any child who is less than six years of age resides or is expected to reside in such housing) or any 0-bedroom dwelling. • De minimis (minimum action) levels are activities that will disturb – More than 6 sq. ft. of painted surfaces on the interior of a building (per room) or – more than 20 sq. ft. total on the exterior
Department of Housing and Urban Development (HUD)	The HUD Lead-Safe Housing Rule is required for all HUD public housing and Section 8 rental assistance clients • When HUD's de minimis levels are exceeded, which are: – 2 sq. ft. of paint disturbance per interior room or – 20 sq. ft. on exterior surfaces • When 10% of the surface area of small building components (e.g., trim, window sill, baseboard) is disturbed. When calculating the de minimis level, the entire surface of the component must be included in the computation. See Appendix E Health and Safety Requirements for additional guidance.
Lead-free, certified	Residential property that has been determined by a California Certified Inspector/Risk Assessor Contractor to be free from the presence of lead-based paint
Lead-safe, certified	Residential property in which lead-painted surfaces are intact and/or have been treated with measures to stabilize and eliminate lead-paint hazards and that, as such, poses no immediate threat to the occupants, as determined by a California Certified Inspector/Risk Assessor Contractor.

Term	Definition
Leakage value (LV)	The measured amount of air leakage in a dwelling. The LV is calculated in CFM50 by dividing a dwelling blower door reading by the total square footage of conditioned floor area in a dwelling. The LV is compared with the target value as a measure of successful air sealing work.
Light-emitting diode (LED)	An LED is a semiconductor device that emits visible light when an electric current passes through it.
LED bulb	An LED light bulb is a solid-state lighting device that uses LEDs to produce light. An LED bulb with a standard threaded base may replace existing a screw-in incandescent bulb or CFL. LED bulbs with a pin base are installed in pin-based sockets.
LED night-light	A night-light equipped with an LED light source rather than an incandescent bulb.
Limited home repair (LHR)	• Those repairs that have a direct association with weatherization measures being installed and are necessary for the effective performance or preservation of weatherization materials, or are related to activities that eliminate a Health and Safety hazard that would otherwise prevent weatherization or protects/preserves the installation of a Health and Safety measure. LHR shall not include: • Any other measure or associated incidental repair that has a chargeable line item. • Repairs to the dwelling that are outside of the program scope, including but not limited to handicap ramps, major roof repairs, or correction to structural issues that are a mandatory deferral condition
Listed, listing	Equipment or materials included in a list published by a nationally recognized testing agency (e.g., UL, CSA, ITS, ETL, Warnock Hersey, etc.) that maintains periodic inspection of the production of listed equipment or materials. Listing indicates compliance with nationally recognized standards. Listed appliances and components must be installed in a manner that complies with the terms of the listing (i.e., in accordance with manufacturer's instructions). Other terms include "labeled" and "classified."
Longitudinal joint	A lengthwise joint along a piece of rigid metal duct (e.g., the joint running the full length of a snap-together sheet metal duct).
Low-flow showerhead	Low-flow showerheads have a flow rate less than or equal to 1.8 gpm.

Term	Definition
Low-rise multi-family	Five or more dwelling units with no more than three stories above grade in height. This term is used to define a building type applicable to the Department of Energy Weatherization Assistance Program (DOE WAP) Priority List path.
Luminaire	A complete lighting fixture. A luminaire includes the light source/lamp, the reflector for directing the light, an aperture/opening (with or without a lens/diffuser), the outer shell/housing, an electrical ballast (if required), and connection to a power source.
Mandatory measures	Weatherization measures required by a program to be performed where applicable and feasible. In other words, if a mandatory measure is feasible, it must be installed. (Installation is not optional.)
Manufactured housing	See "Mobile home."
Materials	Materials are those allowable items that are installed in or on the dwelling to promote energy conservation. All materials must conform with the material specifications for the measure installed.
Measure in place	A weatherization measure that already exists, is in serviceable condition, and functions properly—even if not installed in accordance with current installation standards. This makes replacement not feasible unless specifically allowed by CSD.
Micron	A unit of length in the metric system equal to one millionth of a meter. One micron is 0.00003937 inches. A strand of human hair is about 100 microns wide.
Mini-split air conditioner or heat pump	Mini-split units are small heat pumps that condition air in smaller spaces and have no ducts. They are easily installed, and their energy consumption is low compared to central systems. Installation of a mini-split system to replace an existing system requires a program waiver.
Minor envelope repair (MER)	MERs are those infiltration reduction repairs that have a direct association with weatherization measures being installed and are necessary for the: • Effective performance or preservation of weatherization materials, or • To stop infiltration and general heat waste. See Section 32 Infiltration Reduction.

Term	Definition
Mobile home	A mobile or manufactured home is regulated by HUD and is built on a trailer chassis and designed for highway delivery to a permanent location. It can be a single-, double-, or triple-wide home. To receive weatherization services under a CSD program, a mobile home must be a permanent, full-time residential dwelling with a floor area of at least 320 sq. ft. It must be more than 8' in width and more than 40' in length.
Modular home (Factory-built housing)	A modular home is not the same as a mobile home. In California, modular homes are called factory-built housing and are subject to Title 24 and the California Residential Code—not the HUD code. Alteration permits are issued/inspected by the local building department, not HCD. A modular home has framing characteristics similar to a conventional home and is built for permanent installation on a foundation. It is not built on a trailer chassis, it does not have axles, wheels, or a license plate, and it is transported in one or more sections on a dolly or trailer. To receive weatherization services in CSD programs, a modular home must be a permanent, full-time residential dwelling with a floor area of at least 330 sq. ft.
Multi-family	Five or more units in a single building with common or independent heating and/or cooling systems. See "Multi-unit dwelling (MUD)." In a multi-family whole building project, there must be five or more units with common heating and/or cooling.
Multi-family central water heating system	A water heating system that provides hot water for more than one residential unit of a multi-family complex.
Multi-unit dwelling (MUD)	Within local code, a MUD is defined as a residential dwelling structure containing more than one residential unit within a single building or complex. Within CSD's programs, a MUD is defined as a residential dwelling structure containing five or more attached residential units within a single building.
National Fire Protection Association (NFPA) 90B	Standards governing installation of "warm air heating and air conditioning systems" in one- or two-family dwellings and structures not exceeding 25,000 cu. ft. (NFPA 90A applies to larger structures). It provides specifications for the manufacture and installation of rigid metal ductwork and references UL 181 regarding factory-made air ducts (e.g., flexible ducts and rigid fiberglass ducts).
Net free venting area (NFVA)	The net amount of venting (open) area provided by a vent after the blocking effect of mesh and/or louvers has been subtracted from the gross area of the vent opening.

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Term	Definition
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Net free venting area (NFVA)	NFVA = [Total area of the opening] minus [Space occupied by screen and/or louvers present in the vent opening]
Non-infiltration measures (NIM)	When a home is NIM, measure installation is limited to non-infiltration measures only. No infiltration reduction measures shall be installed. The most common cause is the presence of a CAS or IAQ fail that cannot be resolved within the weatherization program.
Non-conforming	Usually used in reference to an appliance or component that does not meet code, such as an unlisted or improperly vented gas appliance or a vent pipe with improper termination or inadequate clearance from combustibles.
Non-essential appliance	By CSD definition, a non-essential appliance is a gas appliance—such as a gas clothes dryer, secondary gas heat source, or portable heater—that does not qualify for repair or replacement under the CSD weatherization programs. Also see "Essential appliance."
Non-operable (non-op) appliance	See "Inoperable appliance."
Occupancy sensor	An electronic device that detects the presence of a person in the room/area where a light fixture is located and turns the light on. These are not allowed under the program. Also see "Vacancy sensor."
Operable	Applies to a component (e.g., window or door) or an appliance. The item is considered operable when it properly operates (opens/closes, runs, functions, etc.). Also see "Non-operable (non-op) appliance."
Operable appliance	A heating or cooling appliance that operates when started and provides conditioned air.
Overcurrent protection	An electrical protection device (circuit breaker or fuse) designed to break (disconnect) the circuit if the current exceeds the acceptable rating.
Package terminal air conditioner (PTAC)	A self-contained, non-ducted air conditioning/heating unit that is normally mounted through an outside wall. It is usually larger than a typical wall-mount air conditioner and is most commonly seen in motel rooms and apartments. Installation of a PTAC requires a program waiver because it provides heating and cooling and may conflict with the CSD policy to only provide repair/ replacement to a primary source.

Term	Definition
Package unit	An air conditioner, or a combination heating and air conditioning system, contained within one housing unit that is installed outdoors (on the roof or on a slab next to the house). A combination heating and air conditioning unit may also be called a dual pack. Also see "Split system."
Partial measure leveraging	See "Co-funding."
Pascal (Pa)	A unit of pressure equal to 0.004 inches of water column (IWC). • 1 Pa = 0.004 IWC and 1 IWC = 250 Pa • 25 Pa, the pressure typically used for duct leakage testing, is equivalent to 0.1 IWC • 50 Pa, the pressure typically used for shell leakage testing, is equivalent to 0.2 IWC • Conversion formulas are: – [Pa = IWC ¸ 0.004] – [IWC = Pa x 0.004]
Perm	A unit of permeance, which refers to how permeable a material is (i.e., how well moisture will pass though it). Vapor barriers are rated in perms.
Pin-based CFL	Pin-based CFLs plug in rather than screw in. CSD requires that installed high-efficacy lighting fixtures be LED or ENERGY STAR®–certified pin-based CFL fixtures. Also see "High-efficacy lighting" and "Thread-based CFL."
Plenum	An air compartment, chamber or building cavity to which one or more ducts are connected (CMC, §218). • The plenum forms part of either the supply air system or the return air system. • On residential HVAC systems, the supply and return plenums typically are large rectangular boxes/ chambers that connect the FAU to the supply air duct system and the return air system. • FAUs in garages and hallway closets often rest on a platform cavity that constitutes the return plenum, referred to as a platform return. Unlined platform returns are considered to have catastrophic air leakage.
Pressure-sensitive tape	Duct tape with a tacky adhesive coating (butyl, acrylic, etc.) that adheres to a surface with the application of pressure. (Heat is not required.) Duct tapes used in CSD programs must be listed and marked per UL 181A and 181B standards.

Term	Definition
Primary heating/cooling	The main heating and/or cooling appliance for the dwelling. Only the primary heating and/or cooling source (one unit per dwelling) shall be repaired or replaced. It may be provide heating only, cooling only, or heating and cooling. When a home has more than one heating or cooling source, one of the following shall be considered the primary unit: • The appliance that provides conditioned air for the dwelling's primary common living area (i.e., occupied during waking hours) or • The unit providing conditioned air to the largest volume of living space or • The unit with the largest heating/cooling capacity/ output (Btuh or tons) Portable heaters shall not be considered a primary heat source. In a two-story home that has a separate heating and/ or cooling source on each floor, the unit on the ground floor is considered the primary heating and/or cooling source, with the following exceptions: • If the larger capacity/output unit is upstairs, it may be considered the primary unit. • A multi-story home may be constructed with a synchronized system, i.e., one FAU and duct system per story, designed to run concurrently. Repair or replacement of components to the synchronized system may be allowed through approval of a CSD programmatic waiver only.
Priority List	The subset of energy conservation measures determined to be cost-effective by a measure evaluation process. In the DOE WAP, these measures may be installed in a dwelling in the specified climate zone without performing an energy audit.
Priority List path	The weatherization approach in which energy conservation measures included in the work scope are prescribed and installed following a specific order, which is based on the dwelling type and primary heating source. To use the Priority List path, the dwelling must meet specific Department of Energy dwelling characteristics as specified in Appendix D Energy Audit/ Priority List Protocol.

Term	Definition
Programmable thermostat	A thermostat with a clock and internal program that automatically lowers (sets back) or raises (sets up) the room temperature control, so the HVAC unit will turn on only when needed and turn off when not needed for occupant comfort. • A programmable thermostat is usually programmed to lower the room temperature setting by about 10°F in winter (or raise it in summer) when the home is unoccupied and during sleeping hours. • It then brings the HVAC unit back on a short time before occupants return home or get up in the morning.
Qualified technician (for appliance service/repair/replacement)	Qualified persons to work on electric or gas combustion appliances include: • C-20 (HVAC) contractors for furnaces and air conditioners • C-36 (Plumbing) contractor for water heater repair or replacement • C-10 (Electrical) contractor for electrical repairs • D-34 (Specialty) major gas appliance installations (including gas cooking appliances) and ventilating hoods in connection with existing fuel and energy lines that were installed by others. • Utility and propane company gas service technicians for gas appliances.
Quartz halogen	A type of incandescent lamp that is very compact and puts out high-intensity light and heat. Quartz halogen torchiere lamps are very hot and can ignite flammable materials that come close to the lamp (bulb). They also consume much more energy than LED bulbs, so existing quartz halogen torchiere lamps are exchanged for replacement LED torchieres in the CSD Weatherization Program.
Recreational vehicle	A travel trailer, motor home, bus, truck camper or camping trailer that was originally designed as a temporary living quarters and could be self-propelled or mounted on or drawn by another vehicle. A recreational vehicle does not fit the definition of a mobile home or manufactured home. This type of unit is excluded from weatherization services.
Re-weatherization	Once a dwelling has been weatherized and submitted to CSD as a completed unit, any subsequent weatherization services provided to the dwelling are considered re-weatherization. Policies for re-weatherization are determined by funding type and are described in Appendix G Assessor, Crew Leader, Installer, and Inspector Guide.

Term	Definition
Ride-along	A representative of the agency who accompanies a designated third-party or CSD inspector who is performing on-site inspections. CSD requires that, to the extent possible, a ride-along be sufficiently trained to make necessary corrections during inspections, thereby minimizing or eliminating the need for return trips that may inconvenience the client and/or require re-inspection in accordance with Appendix G Assessor, Crew Leader, Installer, and Inspector Guide.
Risers	See "Threshold risers and elevators/shims."
Rodent barrier	See "Bellyboard."
Room air conditioner or cooler	A wall- or window-mount unit (without ducts) that serves a limited portion of the living space, usually just one room or area. The front of the unit is indoors, and the rear of the unit is outdoors. Wall mount units require a hole through the wall the size of the appliance body. Also see "Package terminal air conditioner (PTAC)," which is physically similar (it extends through the wall) but is usually larger; and "Mini-split air conditioner or heat pump," which has an air-handling unit mounted entirely indoors and only a small conduit (with refrigerant lines and wires) extending through the wall to an outdoor unit.
R-value	R-value is a measure of a material's resistance to the movement of heat through it. • Insulation is rated by R-value—the higher the number, the better the insulation's ability to resist heat flow. See Section 37 Attic and Ceiling Insulation, Section 39 Floor Insulation, and Section 38 Wall Insulation.
Sconce	A type of light fixture attached to a wall in such a way that it uses only the wall for support. The light is usually directed upward. It can be a single- or multi-lamp luminaire.
Secondary appliance	When a client has more than one type of appliance served by the program (i.e., heaters, cooling sources, water heaters, refrigerators, or cooking appliances), the assessor shall identify the secondary appliance. Also see "Primary heating/cooling." All repair and replacement services are limited to a dwelling's primary appliance only.
Secondary heating or cooling	Secondary systems (heating or cooling units) are employed only in extreme weather or as backup to the primary system and do not provide conditioned air to the entire dwelling.

Term	Definition
Separate living quarters	Living quarters in which the occupant(s) do not live and eat with any other person(s) in the structure and which have either: • Direct access from the outside of the building or through a common hall or • Complete kitchen facilities for the exclusive use of the occupant(s) The occupant(s) may be a single family, one person living alone, two or more families living together, or any other group of related or unrelated persons who share living arrangements.
Service—Appliance	See "Appliance service."
Shade screen **(Solar shade screen)**	Shade screens utilize a mesh fabric that blocks some of the sun's rays from coming in through the windows while allowing occupants to see out. The screen's ability to block sunlight is its shading coefficient. The smaller the shading coefficient number, the less sunlight (and heat) is allowed into the home. Shade screens installed in the CSD programs must have a shading coefficient in accordance with the measure's material specifications.
Shim	See "Threshold risers and elevators/shims."
Shower arm	The curved pipe, sometimes also called the neck, extending from the shower wall onto which the showerhead is attached.
Single-family dwelling	A detached dwelling structure containing no more than one dwelling unit, or a duplex, triplex, or fourplex. In contrast to this definition, see "Multi-unit dwelling (MUD)."
Site-built dwelling	A conventional single-family dwelling unit built on location, differentiated from manufactured (mobile) homes. Also known as "stick-built."
Smart thermostat	A smart thermostat saves energy by automatically changing the set temperature according to learned behavioral patterns of heating and cooling.
Smoke test	See "Visual draft test."
Solid fuel heating appliance	A combustion appliance that burns solid fuel (wood, wood pellets, or coal). It can be a free-standing stove, fireplace insert, or fireplace.
Solid-state timer	A timer that utilizes an electronic timing mechanism, as opposed to a mechanical or wind-up timer.

Term	Definition
Spillage	In an open combustion natural draft appliance (that has a draft hood), spillage is the unwanted outflow of combustion gases through the draft hood and into the room/space containing the appliance. Spillage occurs when the vent system draft is not adequate to carry combustion gases up through the vent pipe and outdoors. • Brief spillage occurs when combustion first begins in a cold appliance, because cold air in the vent pipe impedes exhaust flow until the system warms up. • Occasional spillage may be caused by wind gusts creating pressure at the vent termination. • Continuous spillage (a CAS hazard) may result when – The vent pipe is blocked by an obstruction or is improperly constructed (too short, too many elbows, improper slope or diameter, etc.) or – There is excessive negative pressure in the appliance location (the CAZ)
Spillage test	A test for spillage performed along the entire draft hood opening. A mirror or the sense of touch (e.g., the back of the hand) is used to detect hot moisture, which will be present if combustion gases are "spilling" out through the draft hood opening. • The mirror will fog up when it comes into contact with hot moisture from spillage. • Spillage will feel hot and moist on the back of the hand.
Split system	A heating and cooling system in which: • The air conditioning evaporator coil (the inside coil) is attached to the furnace, which is located indoors (typically in the garage, attic, basement, or interior closet) and • The condenser unit (with outside coil, compressor, and fan) is installed outdoors, usually on a slab next to the house. Also see "Mini-split air conditioner or heat pump" and "Package unit."
Storm windows	A fixed or operable window installed on the exterior of a framed-in window to reduce infiltration and heat loss/ gain.

Term	Definition
Structural/engineering issues	During assessment, or once weatherization work has begun in a home, if structural or engineering issues are identified or environmental/health and safety hazards are discovered, the issues shall be documented and work must stop until the agency re-obtains property owner permission for the revised scope of work. Examples of these issues include but are not limited to: • Need to relocate an appliance such as a furnace, water heater, or air conditioner. • Feasibility of windows or wall insulation (which may change the appearance of the building exterior). • Need to add an enclosure to house an appliance. • Need to re-size a window or door to meet egress requirements, when required by local jurisdiction. • Need to add ventilation/venting in an unusual location or with an unusual appearance. • Rehabilitation of framing materials around a door or window, that would change the dwelling appearance. • Addition of a whole-house mechanical ventilation system. • HPO measure replacement, which might change the historic value of a dwelling measure. • Notification of the presence (or potential) of a hazardous material (such as vermiculite, asbestos, raw sewage, etc.) which would require clean-up by the owner's certified contractor for weatherization work to continue.
Substandard (construction)	A feature that does not comply with current code or the TRM, or is unsafe or creates an unsafe (or hazardous) condition. Examples include the following: • An unsound ceiling structure that will not support the weight of the installer plus added insulation—such as 2" x 4" joists 48" on center, bowed and sagging joists, or ¼" drywall ceiling. • A sagging roof with improperly sized or spaced rafters. • Wall sheathing that is too thin and is weak or bowed.
Target value	An infiltration reduction goal of no more than 1 cubic foot per minute (CFM) of air leakage per square foot of conditioned floor area in a dwelling.
Temperature and pressure (relief) valve (TPV)	A safety valve required on water heaters that releases water (and thus relieves pressure) if either the temperature or pressure in the tank gets too high. Temperature relief is typically set at 210°F, and pressure relief at 125–150 psi. TPVs are very important because an overheated water heater can explode and cause considerable injury and/or property damage. TPVs must have a gravity drain line to the outdoors. Also see "Automatic gas shut-off valve (AGSV)."

Term	Definition
Thermal shutters	Insulated devices that are designed to cover windows to prevent heat flow through the window. They can keep summer heat out and winter warmth in.
Thermostatic shower valve **Thermostatic showerhead**	A valve installed in a shower that reduces water flow to a trickle when the water temperature reaches a preset level. Manual activation restores water flow. A thermostatic shower valve reduces energy waste when a person turns on the shower to warm up and leaves it unattended beyond the time required for hot water to reach the showerhead. It can be a separate component or built into the showerhead.
Thread-based CFL	A CFL with a standard E27 "Edison" thread (screw) base. Thread-based CFLs are installed in energy efficiency programs to replace standard incandescent bulbs—because, for the equivalent amount of light, CFLs use about 25% of the electricity consumed by the incandescent bulbs they replace. Also see "Pin-based CFL," "LED bulb," and "High-efficacy lighting."
Threshold risers and elevators/ shims	Threshold risers are installed on top of the threshold to increase its total height (profile). Elevators and shims are placed underneath the threshold to raise it up so its top surface is higher than the floor. Note: The topmost surface of the threshold or riser must not exceed the maximum height specified in Section 32 Infiltration Reduction.
Tier 2 advanced power strip (T2 APS)	A "smart" power strip equipped with an infrared sensor and/or a motion detector that automatically turns off "switched" outlets when any of the following conditions occurs during a preset period of time: • An infrared remote control signal has not been received • Motion has not been detected within the vicinity of the sensor • The controlling device has been turned off by the user
Torchiere	A tall (5'–6'), free-standing floor lamp with a weighted base and an upward-facing, bowl-shaped reflector on top. In the CSD Weatherization Program, LED torchieres are installed to replace existing fluorescent, halogen, and other incandescent and floor lamps, which consume much more electricity than the LED alternatives. (LIHEAP only. This option is not available as a DOE measure.)

Term	Definition
Transverse joint	The joint formed when two pieces of duct are spliced together (e.g., the joint around the circumference where two round ducts are joined together, or the joint around the perimeter where two rectangular ducts are joined together).
UL Class 0 Duct	Air duct materials having a fire hazard classification of zero (flame spread and smoke developed).
UL Class 1 Duct	Air duct materials having a flame-spread rating of ≤25 without evidence of continued progressive combustion and a smoke-developed rating of ≤50.
UL-classified	Indicates that UL testing was limited to examination of one potential hazard.
UL-labeled	Indicates that a product is either UL Listed or UL Classified. Note that a product can be certified and listed without involving UL. Other accredited laboratories (e.g., CSA, ITS, ETL SEMKO, Warnock Hersey, etc.) can test products and certify compliance with established standards. Thus, such products can be "listed and labeled" without reference to UL. Also see "Listed, listing."
UL-listed	Indicates that UL testing included examination of all foreseeable hazards.
UL-recognized	Indicates that a component (such as a motor) is approved for use in a UL-listed product (such as an evaporative cooler). The complete cooler is UL Listed, but the tested and approved components used in it are UL-recognized components. Each UL-recognized component is tested to a UL standard applicable to that component, and it is "recognized" for use in a UL-listed product.
Unusually tight construction	Homes with the following construction features: • Walls and ceilings exposed to the outside atmosphere have a continuous water vapor retarder rated 1 perm or less, with all openings sealed; • Weatherstripping on openable windows and doors; and • Caulking or sealants applied to areas such as joints around window and door frames, between sole plates and floors, between wall-ceiling joints, between wall panels, and at plumbing and wiring penetrations and other openings. (CMC, §223.0.)
Useful life	The length of time a weatherization program measure is expected to be useable. Useful life terms are defined in the CSD contracts. Also called "Effective Useful Life" (EUL).

Term	Definition
Vacancy sensor	A vacancy sensor is turned on manually. (It does not come on automatically when a person enters the room.) It keeps the light on when occupancy is detected, and it automatically turns off the circuit after occupancy is no longer detected.
Vanity light (wall-mounted) **Hollywood light**	A multi-lamp fixture made up of a strip of globe lamps, usually mounted next to, above, or around a mirror.
Visual draft test	A draft test performed on an open combustion natural draft appliance utilizing smoke from a smoke pencil, smoke puffer, incense stick, extinguished match, etc. Smoke is applied along the entire draft hood opening. • If smoke is drawn inward, the draft is considered adequate and the appliance passes. • If smoke floats around the draft hood or is pushed away (e.g., due to backdrafting or spillage), the appliance fails the draft test.
Vulnerable populations	Young children (≤5 years old), disabled individuals, and elderly persons (≥60 years old).
Wall- or window-mount air conditioner or cooler	See "Room air conditioner or cooler."
Weatherization program	Weatherization services provided under the CSD-administered DOE, LIHEAP, and ECIP federal contracts. Additional short-term contracts/programs such as LIWP and HET programs may be added upon CSD decision.
Whole-house mechanical ventilation fan	In the ASHRAE 62.2 standard, mechanical ventilation is defined as "the active process of supplying air to or removing air from an indoor space by powered equipment such as motor-driven, ducted fans and blowers (exhaust, supply, or balanced (heat recovery ventilators [HRVs] and energy recovery ventilators [ERVs]), but not by devices such as wind-driven turbine ventilators and mechanically operated windows."
Window film	A thin, flexible, plastic vinyl material with UV-, infrared-, and/or light-blocking components. It is applied to the interior side of window glass to block some of the sun's rays from coming into the home. The film's ability to block sunlight is its shading coefficient. The smaller the shading coefficient number, the less sunlight (and heat) is allowed into the home. Window film installed in the CSD programs must have a shading coefficient in accordance with the measure's material specifications.

California Energy Commission Climate Zones

1. INTRODUCTION

1.1 The California Energy Commission (CEC) climate zones (CZs) and map were created from analyzed weather station data from throughout California. Locations in each of the 16 CZs have temperature data similar to other locations in that CZ.

1.2 It is necessary to know the CZ for certain weather-sensitive measures, such as ceiling insulation, duct testing, and duct repair and sealing.

2. CZ MAP

2.1 The CEC CZ map shows where the 16 CZs are located. The CEC has an online CZ search application and interactive map.

2.2 To determine the CZ for a job location, use the California Energy Commission mapping tool here: https://caenergy.maps.arcgis.com/apps/webappviewer/index.html?id=5cfefd9798214bea91cc4fddaa7e643f. Type in the address or name of the nearest city, town, or weather station and the tool will identify the location in the correct climate zone.

2.3 The representative city for each CZ is shown below:

CZ 1: Arcata	CZ 9: Burbank-Glendale
CZ 2: Santa Rosa	CZ 10: Riverside
CZ 3: Oakland	CZ 11: Red Bluff
CZ 4: San Jose	CZ 12: Sacramento
CZ 5: Santa Maria	CZ 13: Fresno
CZ 6: Torrance	CZ 14: Palmdale
CZ 7: San Diego	CZ 15: Palm Springs
CZ 8: Fullerton	CZ 16: Blue Canyon

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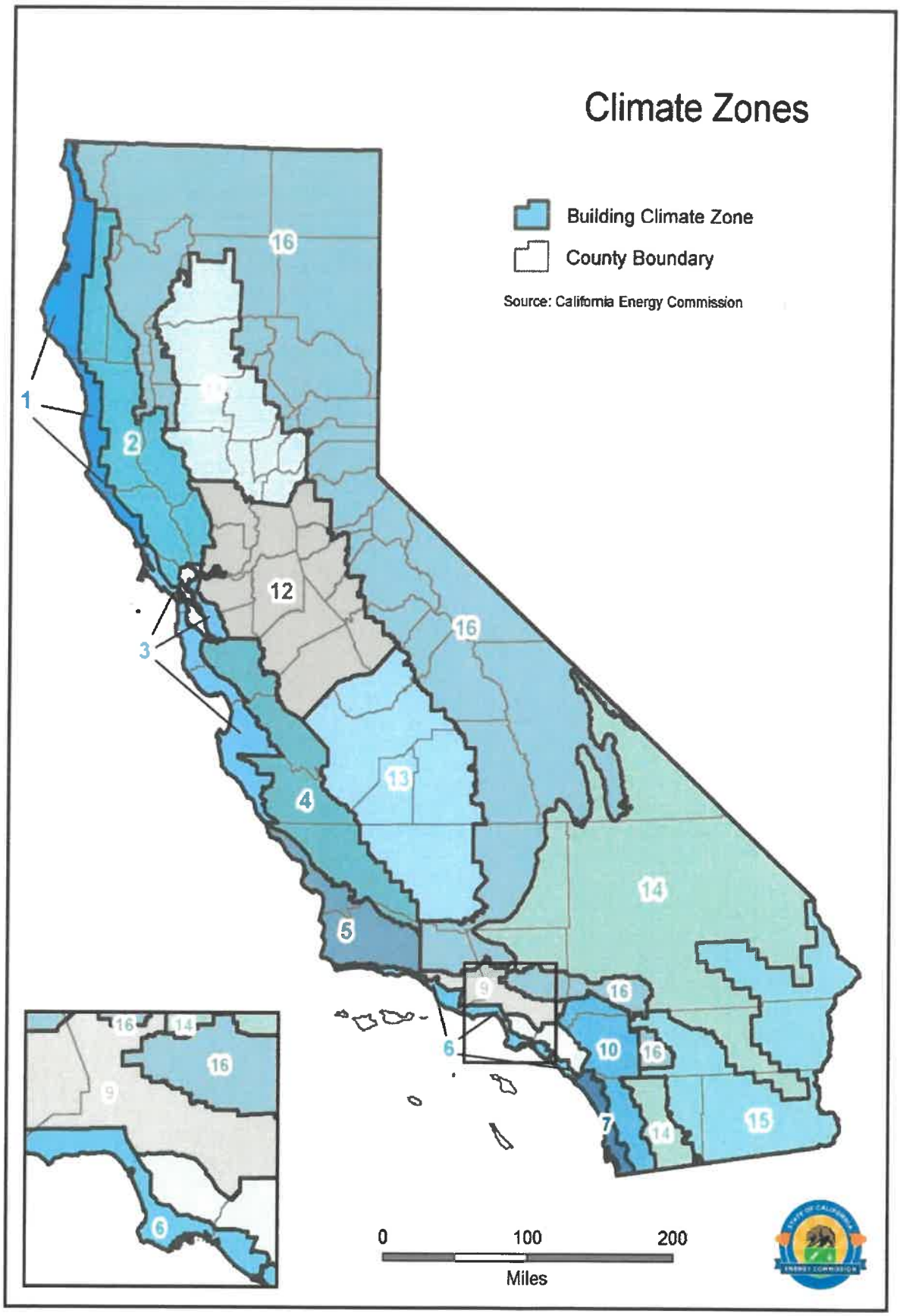
Climate Zones
Building Climate Zone
County Boundary
Source: California Energy Commission
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Miles