CLEAResult®

EXHIBIT B – SUBCONTRACTOR CONSENT FORM

By signing below, ______________________________________ ("Contractor") requests and CLEAResult Consulting Inc. ("CLEAResult") consents to Contractor engaging with ____________________________________ ("Subcontractor") to perform services subject to the Contractor Participation Agreement, dated ________________ _____________, between Contractor and CLEAResult (the "Agreement"), subject to the terms and conditions of this Subcontractor Consent Form (this "Form"). Any capitalized terms not defined in this Form shall have the meaning described in the Agreement.

1. Effective Date. This Form is effective upon signature by both parties.

2. Contractor Warranty. Contractor represents and warrants that Subcontractor shall not perform any Work until Subcontractor has signed a written agreement to meet the obligations of Contractor under the Agreement. Contractor shall remain liable to CLEAResult and Sponsor for any failure of Subcontractor to comply with the Agreement.

3. Subcontractor Insurance. Contractor shall provide to CLEAResult a certificate of insurance for Subcontractor that meets the requirements of the Agreement, including but not limited to each minimum coverage amount specified in the Agreement and including CLEAResult as an additional insured.

CLEAResult	Contractor
By: ___________________________________	By: ___________________________________
Name: ________________________________	Name: ________________________________
Title: _________________________________	Title: _________________________________
Date: _________________________________	Date: _________________________________

ACORD™ CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY): 1/1/2013

PRODUCER
Insurance Broker's Information
(NAME & ADDRESS OF INSURER)

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW.

INSURED
Contractor's Information
(NAME & ADDRESS FROM CSLB LICENSE)

INSURERS AFFORDING COVERAGE	NAIC #
INSURER A: Insurer Info	NAIC #
INSURER B:	
INSURER C:	
INSURER D:	
INSURER E:	

COVERAGES

THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. AGGREGATE LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	ADD'L INSRD	TYPE OF INSURANCE	POLICY NUMBER	POLICY EFFECTIVE DATE (MM/DD/YY)	POLICY EXPIRATION DATE (MM/DD/YY)	LIMITS	
A		GENERAL LIABILITY X COMMERCIAL GENERAL LIABILITY CLAIMS MADE X OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: X POLICY PRO-JECT LOC	policy number	eff.	exp.	EACH OCCURRENCE	$ 1,000,000
						DAMAGE TO RENTED PREMISES (Ea occurence)	$ 100,000
						MED EXP (Any one person)	$ 5,000
						PERSONAL & ADV INJURY	$ 1,000,000
						GENERAL AGGREGATE	$ 2,000,000
						PRODUCTS - COMP/OP AGG	$ 1,000,000
A		AUTOMOBILE LIABILITY X ANY AUTO ALL OWNED AUTOS X SCHEDULED AUTOS X HIRED AUTOS X NON-OWNED AUTOS	policy number	eff.	exp.	COMBINED SINGLE LIMIT (Ea accident)	$ 1,000,000
						BODILY INJURY (Per person)	$
						BODILY INJURY (Per accident)	$
						PROPERTY DAMAGE (Per accident)	$
		GARAGE LIABILITY ANY AUTO				AUTO ONLY - EA ACCIDENT	$
						OTHER THAN AUTO ONLY: EA ACC	$
						AGG	$
		EXCESS/UMBRELLA LIABILITY OCCUR CLAIMS MADE DEDUCTIBLE RETENTION $				EACH OCCURRENCE	$
						AGGREGATE	$
							$
							$
							$
A		WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? If yes, describe under SPECIAL PROVISIONS below	policy number	eff.	exp.	X WC STATU-TORY LIMITS / OTH-ER	
						E.L. EACH ACCIDENT	$ 1,000,000
						E.L. DISEASE - EA EMPLOYEE	$ 1,000,000
						E.L. DISEASE - POLICY LIMIT	$ 1,000,000
		OTHER					

<-- Must have MINIMUM 'Code 1' Coverage (Any Auto or Equivalent

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES / EXCLUSIONS ADDED BY ENDORSEMENT / SPECIAL PROVISIONS

The Association of Bay Area Governments (ABAG) and its member counties (Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano, and Sonoma), Pacific Gas & Electric Company (PG&E), and CLEAResult Consulting, Inc., their respective affiliates, subsidiaries, directors, officers, representatives, agents and employees are named as additional insureds* with respect to liability arising out of or connected with the work performed by or for the contractor. Coverage is primary & noncontributory. <-- Wording MUST match for General Liability Certificates

CERTIFICATE HOLDER

Association of Bay Area Governments
and its member counties
c/o CLEAResult Consulting
700 Airport Blvd, Suite 110
Burlingame, CA 94010

<-Must match name and address listed in CPA

<-Rembmer to submit seperate certificates for CLEAResult Consulting, ABAG, and PG&E

CANCELLATION

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, THE ISSUING INSURER WILL ENDEAVOR TO MAIL 30* DAYS WRITTEN NOTICE TO THE CERTIFICATE HOLDER NAMED TO THE LEFT, BUT FAILURE TO DO SO SHALL IMPOSE NO OBLIGATION OR LIABILITY OF ANY KIND UPON THE INSURER, ITS AGENTS OR REPRESENTATIVES.

AUTHORIZED REPRESENTATIVE
Signature Required

IMPORTANT

If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

DISCLAIMER

The Certificate of Insurance on the reverse side of this form does not constitute a contract between the issuing insurer(s), authorized representative or producer, and the certificate holder, nor does it affirmatively or negatively amend, extend or alter the coverage afforded by the policies listed thereon.

BayREN Participating Contractor SAMPLE Insurance Certificates - CLEARESULT CONSULTING INC. CERT
NOTE: This is not a legal document, The information included here is meant to visualize the program's insurance requirements listed on page 3 of the CPA (listed on the last page of this document)

ACORD™ CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY): 1/1/2013

PRODUCER

Insurance Broker's Information
(NAME & ADDRESS OF INSURER)

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INSURED

Contractor's Information
(NAME & ADDRESS FROM CSLB LICENSE)

INSURERS AFFORDING COVERAGE	NAIC #
INSURER A: Insurer Info	NAIC #
INSURER B:	
INSURER C:	
INSURER D:	
INSURER E:	

COVERAGES

THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. AGGREGATE LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	ADD'L INSRD	TYPE OF INSURANCE	POLICY NUMBER	POLICY EFFECTIVE DATE (MM/DD/YY)	POLICY EXPIRATION DATE (MM/DD/YY)	LIMITS	
A		GENERAL LIABILITY X COMMERCIAL GENERAL LIABILITY CLAIMS MADE X OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: X POLICY PRO-JECT LOC	policy number	eff.	exp.	EACH OCCURRENCE	$ 1,000,000
						DAMAGE TO RENTED PREMISES (Ea occurence)	$ 100,000
						MED EXP (Any one person)	$ 5,000
						PERSONAL & ADV INJURY	$ 1,000,000
						GENERAL AGGREGATE	$ 2,000,000
						PRODUCTS - COMP/OP AGG	$ 1,000,000
A		AUTOMOBILE LIABILITY X ANY AUTO ALL OWNED AUTOS X SCHEDULED AUTOS X HIRED AUTOS X NON-OWNED AUTOS	policy number <-- Must have MINIMUM 'Code 1' Coverage (Any Auto or Equivalent	eff.	exp.	COMBINED SINGLE LIMIT (Ea accident)	$ 1,000,000
						BODILY INJURY (Per person)	$
						BODILY INJURY (Per accident)	$
						PROPERTY DAMAGE (Per accident)	$
		GARAGE LIABILITY ANY AUTO				AUTO ONLY - EA ACCIDENT	$
						OTHER THAN AUTO ONLY: EA ACC	$
						AGG	$
		EXCESS/UMBRELLA LIABILITY OCCUR CLAIMS MADE DEDUCTIBLE RETENTION $				EACH OCCURRENCE	$
						AGGREGATE	$
							$
							$
							$
A		WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? If yes, describe under SPECIAL PROVISIONS below	policy number	eff.	exp.	X WC STATU-TORY LIMITS OTH-ER	
						E.L. EACH ACCIDENT	$ 1,000,000
						E.L. DISEASE - EA EMPLOYEE	$ 1,000,000
						E.L. DISEASE - POLICY LIMIT	$ 1,000,000
		OTHER					

SAMPLE

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES / EXCLUSIONS ADDED BY ENDORSEMENT / SPECIAL PROVISIONS

The Association of Bay Area Governments (ABAG) and its member counties (Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano, and Sonoma), Pacific Gas & Electric Company (PG&E), and CLEAResult Consulting, Inc., their respective affiliates, subsidiaries, directors, officers, representatives, agents and employees are named as additional insureds* with respect to liability arising out of or connected with the work performed by or for the contractor. Coverage is primary & noncontributory. <-- Wording MUST match for General Liability Certificates

CERTIFICATE HOLDER

CLEAResult Consulting, Inc.
c/o CLEAResult Consulting
700 Airport Blvd, Suite 110
Burlingame, CA 94010

<-Must match name and address listed in CPA

<-Rembmer to submit seperate certificates for CLEAResult Consulting, ABAG, and PG&E

CANCELLATION

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, THE ISSUING INSURER WILL ENDEAVOR TO MAIL 30* DAYS WRITTEN NOTICE TO THE CERTIFICATE HOLDER NAMED TO THE LEFT, BUT FAILURE TO DO SO SHALL IMPOSE NO OBLIGATION OR LIABILITY OF ANY KIND UPON THE INSURER, ITS AGENTS OR REPRESENTATIVES.

AUTHORIZED REPRESENTATIVE

Signature Required

IMPORTANT

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DISCLAIMER

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ACORD™ CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY) 1/1/2013

PRODUCER
Insurance Broker's Information
(NAME & ADDRESS OF INSURER)

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INSURED
Contractor's Information
(NAME & ADDRESS FROM CSLB LICENSE)

INSURERS AFFORDING COVERAGE	NAIC #
INSURER A: Insurer Info	NAIC #
INSURER B:	
INSURER C:	
INSURER D:	
INSURER E:	

COVERAGES

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						DAMAGE TO RENTED PREMISES (Ea occurence)	$ 100,000
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						GENERAL AGGREGATE	$ 2,000,000
						PRODUCTS - COMP/OP AGG	$ 1,000,000
A		AUTOMOBILE LIABILITY X ANY AUTO ALL OWNED AUTOS X SCHEDULED AUTOS X HIRED AUTOS X NON-OWNED AUTOS <-- Must have MINIMUM 'Code 1' Coverage (Any Auto or Equivalent	policy number	eff.	exp.	COMBINED SINGLE LIMIT (Ea accident)	$ 1,000,000
						BODILY INJURY (Per person)	$
						BODILY INJURY (Per accident)	$
						PROPERTY DAMAGE (Per accident)	$
		GARAGE LIABILITY ANY AUTO				AUTO ONLY - EA ACCIDENT	$
						OTHER THAN AUTO ONLY: EA ACC	$
						AGG	$
		EXCESS/UMBRELLA LIABILITY OCCUR CLAIMS MADE DEDUCTIBLE RETENTION $				EACH OCCURRENCE	$
						AGGREGATE	$
							$
							$
							$
A		WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? If yes, describe under SPECIAL PROVISIONS below	policy number	eff.	exp.	X WC STATU-TORY LIMITS OTH-ER	
						E.L. EACH ACCIDENT	$ 1,000,000
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						E.L. DISEASE - POLICY LIMIT	$ 1,000,000
		OTHER					

SAMPLE

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES / EXCLUSIONS ADDED BY ENDORSEMENT / SPECIAL PROVISIONS

The Association of Bay Area Governments (ABAG) and its member counties (Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano, and Sonoma), Pacific Gas & Electric Company (PG&E), and CLEAResult Consulting, Inc., their respective affiliates, subsidiaries, directors, officers, representatives, agents and employees are named as additional insureds* with respect to liability arising out of or connected with the work performed by or for the contractor. Coverage is primary & noncontributory. <-- Wording MUST match for General Liability Certificates

CERTIFICATE HOLDER

Pacific Gas & Electric Company
c/o CLEAResult Consulting
700 Airport Blvd, Suite 110
Burlingame, CA 94010

<-Must match name and address listed in CPA

<-Rembmer to submit seperate certificates for CLEAResult Consulting, ABAG, and PG&E

CANCELLATION

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AUTHORIZED REPRESENTATIVE
Signature Required

IMPORTANT

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DISCLAIMER

The Certificate of Insurance on the reverse side of this form does not constitute a contract between the issuing insurer(s), authorized representative or producer, and the certificate holder, nor does it affirmatively or negatively amend, extend or alter the coverage afforded by the policies listed thereon.

V. Insurance Requirements	
During the term hereof, Participating Contractor shall maintain the following minimum insurance coverage and limits of liability unless stated herein:	
Commercial General Liability	$1,000,000 aggregate and per event of bodily injury, property damage or personal injury or death.
Business Automobile Liability	$1,000,000 combined single limit, including coverage over owned, non-owned and hired vehicles.
Worker's Compensation	In accordance with statutory minimums and California state and local requirements, but including no less than Employer's Liability of $1,000,000 per event of injury or death each accident. If you have no employees, please provide a waiver for workers' compensation liability with your Contractor Application.
Professional Liability, Errors, and Omissions	Professional Liability insurance is not required. However, the contractor is encouraged to consider such coverage in consultation with the Contractor insurance broker.

As part of the application to become a Participating Contractor, current certificates of insurance must be supplied with the following requirements:

1. Insured company name and address matches CSLB listing
2. Coverage values as described in table above
3. "Description of Operations" language matches the Program's requirements outlined below
4. Certificate holder names and addresses as listed below

Additional Insured Endorsement Certificates: ABAG and its member counties, PG&E, and CLEAResult Consulting, Inc:

Description of Operations – "The Association of Bay Area Governments (ABAG) and its member counties (Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano, and Sonoma), Pacific Gas & Electric Company (PG&E), and CLEAResult Consulting, Inc. (CLEAResult), their respective affiliates, subsidiaries, directors, officers, representatives, agents and employees are named as additional insureds* with respect to liability arising out of or connected with the work performed by or for the contractor. Coverage is primary & noncontributory."

*In the event the Commercial General Liability policy includes a "blanket endorsement by contract," add the phrase "under a blanket endorsement."

Additionally Insured Endorsement: The Certificate Holders are to be named as additional insured, using the addresses below:

Association of Bay Area Governments and its member counties c/o CLEAResult Consulting 700 Airport Blvd., Suite 110 Burlingame, CA 94010 Phone: (866) 878-6008 Fax: (510) 269-2017	**CLEAResult Consulting Inc.** c/o CLEAResult Consulting 700 Airport Blvd., Suite 110 Burlingame, CA 94010 Phone: (866) 878-6008 Fax: (510) 269-2017	**Pacific Gas & Electric Company** c/o CLEAResult Consulting 700 Airport Blvd., Suite 110 Burlingame, CA 94010 Phone: (866) 878-6008 Fax: (510) 269-2017

Please provide a copy of this page (Section V – Insurance Requirements) to your insurance agent to ensure that the Insurance Certificates are completed and worded correctly.

BayREN Home+

2020 Single Family Program COVID-19 Safety Acknowledgment

This acknowledgment is required for all BayREN Home+ Participating Contractors. By signing and submitting to the Program Implementer, you agree to the following:

I ___________________, on behalf of ________________________________, confirm that I

(Name) *(Company Name)*

have watched or attended the **"BayREN Home+ Participating Contractors COVID Updates Webinar"**. I agree to adhere, at a minimum, to the California published "Guidance for Construction Employers" found at https://covid19.ca.gov/pdf/guidance-construction.pdf and to utilize the California published "COVID-19 General Checklist for Construction Employers" found at https://covid19.ca.gov/pdf/checklist-construction.pdf. I also agree to follow all other federal, state, county, and local published COVID protocols and will confer with local County and/or City representatives to be informed of any additional requirements, especially in respect to customer interaction. **I also understand that these minimum standards are in no way exhaustive, subject to change at any time, and are only intended as a starting point to defining and documenting my company-specific COVID protocols.**

Signature: ______________________________________

Name: ____

Title: ____

Company Name: _________________________________

Date: ____________________

V 4: Updated: May 15, 2020

Form **W-9**
(Rev. October 2018)
Department of the Treasury
Internal Revenue Service

Request for Taxpayer Identification Number and Certification

▶ Go to *www.irs.gov/FormW9* for instructions and the latest information.

Give Form to the requester. Do not send to the IRS.

Print or type.
See **Specific Instructions** on page 3.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.

2 Business name/disregarded entity name, if different from above

3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only **one** of the following seven boxes.

☐ Individual/sole proprietor or single-member LLC ☐ C Corporation ☐ S Corporation ☐ Partnership ☐ Trust/estate

☐ Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ ________

Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is **not** disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.

☐ Other (see instructions) ▶

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):

Exempt payee code (if any) ________

Exemption from FATCA reporting code (if any) ________

(Applies to accounts maintained outside the U.S.)

5 Address (number, street, and apt. or suite no.) See instructions.

Requester's name and address (optional)

6 City, state, and ZIP code

7 List account number(s) here (optional)

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN,* later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number

☐☐☐ – ☐☐ – ☐☐☐☐

or

Employer identification number

☐☐ – ☐☐☐☐☐☐☐

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here **Signature of U.S. person ▶** **Date ▶**

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to *www.irs.gov/FormW9.*

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, *later.*

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),

2. Certify that you are not subject to backup withholding, or

3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and

4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting,* later, for further information.

Note: If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States.

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items.

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.

2. The treaty article addressing the income.

3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.

4. The type and amount of income that qualifies for the exemption from tax.

5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

Backup Withholding

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 24% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,

2. You do not certify your TIN when required (see the instructions for Part II for details),

3. The IRS tells the requester that you furnished an incorrect TIN,

4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or

5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code,* later, and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships,* earlier.

What is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code,* later, and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of $50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a $500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

Note: ITIN applicant: Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C corporation, or S corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "Business name/disregarded entity name." If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

Line 3

Check the appropriate box on line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box on line 3.

IF the entity/person on line 1 is a(n) . . .	**THEN check the box for . . .**
• Corporation	Corporation
• Individual • Sole proprietorship, or • Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.	Individual/sole proprietor or single-member LLC
• LLC treated as a partnership for U.S. federal tax purposes, • LLC that has filed Form 8832 or 2553 to be taxed as a corporation, or • LLC that is disregarded as an entity separate from its owner but the owner is another LLC that is not disregarded for U.S. federal tax purposes.	Limited liability company and enter the appropriate tax classification. (P= Partnership; C= C corporation; or S= S corporation)
• Partnership	Partnership
• Trust/estate	Trust/estate

Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space on line 4 any code(s) that may apply to you.

Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)

2—The United States or any of its agencies or instrumentalities

3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

4—A foreign government or any of its political subdivisions, agencies, or instrumentalities

5—A corporation

6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession

7—A futures commission merchant registered with the Commodity Futures Trading Commission

8—A real estate investment trust

9—An entity registered at all times during the tax year under the Investment Company Act of 1940

10—A common trust fund operated by a bank under section 584(a)

11—A financial institution

12—A middleman known in the investment community as a nominee or custodian

13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over $600 required to be reported and direct sales over $5,000[1]	Generally, exempt payees 1 through 5[2]
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

[1] See Form 1099-MISC, Miscellaneous Income, and its instructions.

[2] However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a)

J—A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

Note: You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns. If this address differs from the one the requester already has on file, write NEW at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your address in their records.

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN.

If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note: See *What Name and Number To Give the Requester,* later, for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at *www.SSA.gov*. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at *www.irs.gov/Businesses* and clicking on Employer Identification Number (EIN) under Starting a Business. Go to *www.irs.gov/Forms* to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to *www.irs.gov/OrderForms* to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note: Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, 4, or 5 below indicates otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code,* earlier.

Signature requirements. Complete the certification as indicated in items 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), ABLE accounts (under section 529A), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account[1]
3. Two or more U.S. persons (joint account maintained by an FFI)	Each holder of the account
4. Custodial account of a minor (Uniform Gift to Minors Act)	The minor[2]
5. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee[1]
b. So-called trust account that is not a legal or valid trust under state law	The actual owner[1]
6. Sole proprietorship or disregarded entity owned by an individual	The owner[3]
7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor*

For this type of account:	Give name and EIN of:
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity[4]
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A broker or registered nominee	The broker or nominee
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
15. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

[1] List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

[2] Circle the minor's name and furnish the minor's SSN.

[3] You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

[4] List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships,* earlier.

***Note:** The grantor also must provide a Form W-9 to trustee of trust.

Note: If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records From Identity Theft

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

Victims of identity theft who are experiencing economic harm or a systemic problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to *phishing@irs.gov.* You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at *spam@uce.gov* or report them at *www.ftc.gov/complaint.* You can contact the FTC at *www.ftc.gov/idtheft* or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see *www.IdentityTheft.gov* and Pub. 5027.

Visit *www.irs.gov/IdentityTheft* to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.

Participating Raters

BayREN Home+

Raters may work with a BayREN Home+ Participating Contractor to help a homeowner complete an energy upgrade and receive incentives; however, Home Energy Ratings are not required in order to receive incentives. The list below includes qualified raters working in the Bay Area. The city listed indicates the city in which the business is based. Please contact Raters directly to determine if they work in your city. A Home Upgrade Advisor can assist in choosing a rater or a contractor.

Call an Advisor toll free at (866) 878-6008.

APOLLO ENERGIES, INC.
apolloenergiesinc.com
info@apolloenergiesinc.com
888-614-8338
Vacaville, CA

APPERSON ENERGY MANAGEMENT
appersonenergymanagement.com
info@appersonem.com
707-579-5158
Santa Rosa, CA

ARCHON ENERGY SOLUTIONS
archonenergysolutions.com
admin@archonenergy.com
888-600-1614
707-689-4657
Vacaville, CA

BAY AREA ENERGY CONSULTANTS
bayareaenergyconsultants.com
bayareaenergyconsultants@yahoo.com
408-883-3865
San Jose, CA

BEIN' GREEN BUILDINGS
beingreenbuildings@gmail.com
510-559-3628
Albany, CA

iPERMIT ERATERS
ipermiteraters.com
stephanie@ipermiteraters.com
818-735-7876
Westlake Village, CA

CALRATERS
calraters.com
nikole@calraters.com
925-984-0896
Dublin, CA

DUCT TESTERS INC
ducttesters.com
info@ducttesters.com
866-950-1191
209-579-5000
Ripon, CA

ELEM3NTS
e3-elements.com
info@e3-elements.com
408-634-6690
San Jose, CA

ENERGINEERS
Energineers.com
info@energineers.com
510-329-9631
Hayward, CA

ENERGUY
energuy.com
877-600-0123
Concord, CA

ENERGYMATE
Energymate.rater@gmail.com
510-621-8782
Dublin, CA

GILLERAN ENERGY MANAGEMENT
gilleranenergy.com
707-528-7318
Santa Rosa, CA

HERS PRO
hers-pro.com
herspro@gmail.com
855-HERS-PRO
La Honda, CA

RICK'S ENERGY SOLUTIONS
ricks-energy-solutions.com
707-578-5380
Santa Rosa, CA

SIMPLE HOME ENERGY
simplehomeenergy.com
john@simplehomeenergy.com
877-300-4665
Los Gatos, CA

WE GREEN ENERGY SOLUTIONS
wegreeninc.com
888-991-4377
San Jose, CA

AMH Energy Inc
http://www.AMHEnergy.com
916-757-4588
Roseville, CA

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Local Governments Empowering Our Communities

ATTACHMENT A

Bay Area Regional Energy Network (BayREN)
Single Family Residential Program
Program Manual

Revised December 03, 2020

CONTENTS

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WELCOME, PROGRAM PARTICIPANTS!

Welcome to the Bay Area Regional Energy Network (BayREN) Single Family Residential (SF) Program also referred to as BayREN Home+ (the Program). This innovative Program offers energy efficiency rebates and services targeted specifically to residential homeowners and renters of single family detached homes and up to four unit buildings within the nine-County San Francisco Bay Area.[1]

As a Participating Contractor or Rater, you are a critical program ally. It is your expertise that allows customers to make their homes more energy efficient and helps the state reach its greenhouse gas reduction goals.

The Program will help you by providing lead generation through BayREN marketing efforts, an active listing on the BayREN "Find a Contractor" tool, and customer access to rebates or reduced interest rate financing. A high level of cooperation and communication is expected of Participating Contractors and Raters. Other benefits may include workforce development opportunities, trainings and networking events.

This manual provides you with information about BayREN Home+, guidelines on becoming a Participating Contractor and providing Rater services, and the processes you need to follow to help your customers access Program services and rebates.

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[1] The nine counties are: Alameda, Contra Costa, Marin, Napa, Solano, San Francisco, San Mateo, Santa Clara and Sonoma.

About the Program

Program Goals

The objective of BayREN Home+ is to increase the number of customers who complete energy saving upgrades in BayREN territory. The Program will:

- Help homeowners and renters reduce their energy use, while improving market awareness of health, safety, indoor air quality, and other non-energy benefits associated with energy efficiency improvements
- Improve Program participation among moderate income homeowners in the Bay Area
- Provide access to rebates and other energy efficiency services including the Energy Advisor, Green Home visits, and energy efficiency kits
- Provide tools and resources necessary for Participating Contractors to market and grow their business
- Facilitate a customer journey that encourages multiple energy efficiency improvements over time while encouraging customers to implement a "whole-house" approach

Benefits of Participation

BayREN Home+ offers you the following participation benefits:

- BayREN, local government, and statewide marketing and outreach based on market targeting analytics raises customer awareness and generates leads
- Rebates for common energy efficiency measures that reduce overall cost to the customer and access to reduced interest rate financing to help sell more comprehensive energy efficiency jobs
- BayREN "Find a Contractor" web tool listing allows customers to search for your company and identify the services you provide
- Access to Program resources, educational material, and web-based and in-person trainings to help you grow your business and improve your technical skills

Project Team Roles and Responsibilities

Participating Contractor Role

Your role as a Participating Contractor will be to provide high quality energy efficiency services to customers who wish to pursue improvements through the Program. Participation in the Program requires the following activities:

- **Completion of Required Enrollment Documents & Training –** Before becoming a Participating Contractor, the following is required:
    - Fully executed BayREN SF Contractor Participation Agreement (CPA)
    - Certificates of Insurance
    - Proof of active CSLB license
    - W-9

- Primary Building Performance Institute (BPI) Building Analyst certificate[2]
    - Completion of Program overview, Program requirements, Program rebate application / portal, and BPI best practices training

- **Adherence to Program Installation Standards and Building Codes –** Participating Contractors will be required to complete improvements that meet the Program Installation Standards and meet all applicable building codes. The Program Installation Standards can be found in Appendix B.

- **Combustion Appliance Safety (CAS) Testing -** Before receiving a rebate for any Program measure, it is required that a certified BPI Building Analyst complete a CAS Test according to ANSI/BPI-1200-S-2015 Standards[3]. The Participating Contractor is responsible for submitting the Program CAS Grading Sheet upon completion of a project (see "Required Forms and Documents" section in this manual).

- **High Standards of Professionalism -** High standards of professionalism are necessary to maintain a good reputation in the communities we serve, and we encourage you to strive for the best in customer service. BayREN's goal is to ensure that customers are completely satisfied with their home improvement experience, including their interactions with Participating Contractors. It is expected that contractors will handle all interactions with customers and BayREN partners with the utmost respect and professionalism (see "Customer Service" section in this manual).

- **Minimum Work Requirement -** To ensure that contractors are staying up-to-date with Program standards, Program benefits, and requirements, active participation in the Program is a requirement. All contractors must successfully complete at least (1) job every (6) months in order to maintain an active status in the Program.

- **Rebate Application Management –** Customers will rely on Participating Contractors to submit finalized rebate applications to the Program. Participating Contractors are expected to complete rebate applications in a timely manner and respond to incomplete applications within (1) week or sooner of any project flaw notice from Program staff. Failure to respond to project flaw notices will negatively impact a contractor score according to the "Evaluation of Participating Contractor Performance" section in this manual.

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[2] The Primary Building Performance Institute (BPI) Building Analyst certificate of the Building Analyst who will be performing Combustion Appliance Safety (CAS) testing for your company

[3] https://www.bpi.org/sites/default/files/ANSI-BPI-1200%20Standard%20Practice%20for%20Basic%20Analysis%20of%20Buildings.pdf

Participating Rater Role

- **BPI BA Services & CAS Testing –** BayREN Participating Raters (Raters) will partner with Participating Contractors to address Program participation requirements. Raters may enter into a subcontract agreement with Participating Contractors to meet the BPI BA Program requirements and to complete CAS testing according to ANSI/BPI-1200-S-2015 Standards as well as support other requirements associated with rebate application and documentation management on behalf of the Participating Contractor.

- **QA/QC Services –** BayREN places a high value on work quality and project performance. Raters are expected to verify that installed measures meet Program Installation Standards (see Appendix B) and work with Participating Contractors to address any CAS or measure eligibility issues prior to project completion and Program application submission.

- **BayREN Home+ Application & Documentation Management –** Raters may be subcontracted by Participating Contractors to complete Program rebate applications. In this scenario, it is the Rater's responsibility to submit complete and accurate rebate applications on behalf of the Participating Contractor and coordinate with BayREN Program staff to ensure timely rebate application processing.

- **High Standards of Professionalism -** High standards of professionalism are necessary to maintain a good reputation in the communities we serve, and we encourage you to strive for the best in customer service. Our goal is to ensure that participants are completely satisfied with their home improvement experience, including their interactions with Participating Contractors and Raters. It is expected that all interactions will be handled with the utmost respect and professionalism.

Contractor Services Role

BayREN provides guidance and support to Participating Contractors through the BayREN Contractor Services department. BayREN Contractor Services will provide the following Program oversight and support services:

- **Onboarding Support –** BayREN Contractor Services will support interested Contractors with the onboarding process. This includes assistance with required Program participation documents, initial Program training, assistance with the rebate portal and application process, BPI Building Analyst identification, and staff training and mentoring. The Program will also provide one-on-one resources to support contractors with initial Program participation.

- **Ongoing Training and Mentoring –** Some Participating Contractors may lack the technical capabilities to manage an upgrade project, lack access to training and educational resources, and may thus be reluctant to participate in the Program. BayREN Contractor Services will:

    - Be available for individual training and support needs

- Provide web-based and in-person technical and sales trainings
- Provide on-site training and mentoring
- Be transparent with Participating Contractors in regard to Program performance, available rebates, and customer feedback
- Assist with integrating Program rebates and financing into the Participating Contractor's business model
- Provide a go to resource for all Program needs and/or issues

- **Quality Assurance (QA)/Quality Control (QC) –** BayREN Contractor Services will perform QA/QC inspections on a sampling of all work completed through the Program. Participating Contractors are expected to perform work compliant with state and local building codes and the Program Installation Standards (see Appendix B) in this manual. To protect the reputation and effectiveness of the Program, Participating Contractors may be removed from the Program if work does not pass QA/QC inspections.

- **Participating Contractor and Project Management –** In order to ensure successful Program delivery, BayREN Contractor Services will track the performance of Participating Contractors. This includes, but is not limited to, QA/QC results, customer feedback, Program participation levels, project timeline management and communications, as well as Program participation documentation management. Contractor Services will provide regular feedback on contractor performance. As part of that feedback, each Participating Contractor will receive an overall performance score. Details on this score can be found in the "Evaluation of Participating Contractors" section of this manual.

Incentive Processing Center (IPC) Role

- **Incentive Processing –** On behalf of BayREN, the IPC will review rebate applications submitted by the Participating Contractor on behalf of the customer and either approve them, reject them, or return them to the applicant for corrections.

- **Desktop Review –** The IPC will review applications and required documentation for accuracy and adherence to applicable Program requirements. This includes the review of customer eligibility, measure eligibility, invoice accuracy, CAS Grading Sheet, Proof of Permit Closure, and other documentation specified in the "Project Details" section of this manual necessary for BayREN to claim savings and ensure work quality and the health and safety of customers.

- **Payment –** Approved applications will be processed by IPC for payment. Payments will be made to Program Customers by check or, if assigned by the Customer in the application, the payment may be made to the Participating Contractor.

Energy Advisor Role

Energy Advisors act as a first point of contact for Program participants and offer free phone-based services. Energy Advisors assist customers step-by-step through their energy efficiency journey and will:

- Walk customers step-by-step through the Program and associated requirements
- Provide education and resources about energy efficiency improvements and associated non-energy benefits that encourage participation in the Program
- Perform utility bill analysis for customers and develop a long term energy efficiency plan
- Assist customers to identify a Participating Contractor for their project and drive 'warm' leads to Participating Contractors
- Assist customers with project bids or estimate reviews
- Maintain ongoing relationships with customers and provide follow-up services to ensure potential customers move forward with an energy efficiency project
- Provide referrals to other complementary programs and/or incentives based on the customer's interest
- Collect customer feedback about their experience and communicate results to BayREN and the Program team
- Encourage word-of-mouth referrals and provide tools and resources to facilitate the process
- Serve as a resource to Participating Contractors by providing excellent customer facing services and a resource for Participating Contractors to direct potential clients to for additional sales and education support

BayREN Member Agencies

BayREN's outreach activities are primarily performed by the BayREN member agencies.[4] The member agencies will conduct marketing activities and host workshops and events in order to drive interest in the Program. BayREN member agencies will:

- Promote the Program through activities such as local workshops and events, social media campaigns, existing and new relationships with other complementary agencies and programs, and other marketing activities
- Provide opportunities for Participating Contractors (as available) to table and/or present at events and homeowner workshops
- Conduct targeted outreach to customers with a high propensity to participate in the Program
- Interact with potential customers and promote the value of completing energy efficiency improvements through the Program

[4] The agencies are: Energy Council (Alameda Cities and County); County of Contra Costa; County of Marin; County of Napa; County of Solano; San Francisco Department of Environment (City and County of San Francisco); County of San Mateo; County of Santa Clara; Regional Climate Protection Authority (Sonoma County and cities).

Program Resources and Support

Marketing and Outreach

Participating Contractors and Raters will have primary responsibility for acquiring your own customers. BayREN will support your marketing efforts – at a minimum - through the following activities:

1. Statewide, regional, and local marketing initiatives targeted at high-propensity customers
2. Development of Program resources and collateral to help convey Program and energy efficiency benefits to customers
3. Advertise your Company and services provided through the BayREN "Find a Contractor" Tool (depending on Participating Contractor status)
4. Drive warm leads to your Company through BayREN's Energy Advisor service (depending on Participating Contractor status)
5. Ongoing follow-up and support for potential customers interested in energy efficiency improvements
6. Complementary access to Program trainings and resources
7. Allow you to co-brand your services with BayREN to reinforce the credibility of your marketing messages

Participating Contractor Support

BayREN will be available to assist you with Program participation by providing:

- A dedicated phone number and email for Participating Contractor and Rater support
- Training opportunities with BayREN Contractor Services representatives related to energy efficiency measure best practices, rebates, financing, Program administrative requirements, and customized trainings as needed
- Regular Program updates communicated via monthly newsletters or ad-hoc announcements
- Feedback on overall and individual job performance
- Ongoing mentoring and guidance for Participating Contractors and staff

Programmatic Support

The Program will provide Participating Contractors and Raters with access to a Program resources website, www.bayrenresidential.org, which contains the necessary Program documents including: downloadable Program forms and agreements, this Program manual, and other relevant materials. BayREN will also provide a dedicated telephone number and email address for contacting implementation staff with questions regarding participation requirements, qualifying equipment, and instructions on filling out required forms and applications.

General Terms and Conditions

Contacts

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Project Details

The BayREN Home+ was established to ensure that PG&E ratepayer dollars for energy efficiency would be used to provide services that result in energy savings, backed by a strict quality control process and exceptional customer service to Bay Area customers. Following the direction of the California Public Utilities Commission, which authorizes these funds, projects must include the following to be eligible for a rebate:

1. Record of an active PG&E customer account ID and service ID (Customers of Marin Clean Energy, Sonoma Clean power, East Bay Community Energy, Peninsula Clean

Energy, Silicon Valley Clean Energy, CleanPowerSF and San Jose Clean Energy, are eligible for the Program)

2. Basic home details and customer information
3. Itemized invoice detailing measures installed, measure price, and customer incentive amount
4. Program Application with PG&E account holder, Participating Contractor, and BPI BA signatures
5. For duct sealing measures, photo documentation (date and time stamped) of duct leakage results
6. For equipment downsizing measures, photo documentation (date and time stamped) of pre-and post-project equipment nameplates with input & output kBTU
7. For building air sealing, photo documentation (date and time stamped) of CFM50 building leakage results
8. By law, all projects containing central air conditioning or heat pump measures will need to submit proof of permit closure in order to receive an incentive for the project.[5] BayREN cannot legally pay incentives or rebates to customers or contractors for central air-conditioning or heat pumps without collecting proof of permit closure
9. All projects containing an air conditioning measure must submit proof of an existing condenser. BayREN will only incentivize replacement of central air conditioning systems. Projects that increase the rated capacity of air conditioning will not be incentivized.
10. For Program measures that impact the building envelope, it is required that a certified BPI Building Analyst complete a CAS Test after all upgrades are complete and according to ANSI/BPI-1200-S-2015 Standards. The CAS results must be submitted with the Program rebate application
11. For electrification measures, Contractor must provide itemized invoice with infrastructure upgrade costs if the site required any electric infrastructure upgrades (i.e. panel upgrades)
12. For electrification equipment measures, Contractor must provide itemized invoice for other electrification measures installed at the site
13. For electrification equipment measures, Contractor must provide photographs of existing equipment and capped gas line(s)
14. For electrification appliance measures, Customer must provide itemized invoice with electric infrastructure (electrical panel, etc.) upgrades (if applicable)
15. For electrification appliance measures, Customer must provide photographs of installed equipment and proof of existing natural gas equipment and capped gas line(s)

Double Counting of Energy Savings

The energy savings from measures installed through BayREN Home+ may not count towards energy savings for other programs, pilots, or demonstration projects funded by the Public Goods

[5] Senate Bill No. 1414, Chapter 678.
https://leginfo.legislature.ca.gov/faces/billTextClient.xhtml?bill_id=201520160SB1414

Charge or any other ratepayer-funded source. Therefore, it is necessary to validate customer eligibility prior to completing any improvements. Customer validation and rebate eligibility are described in more detail under the Customer Eligibility Requirements section in this manual.

Availability of Funds

Home+ incentives are available on a first-come, first-served basis until funds are depleted. To ensure that your project receives the eligible rebates, Participating Contractors are encouraged to submit the Home+ Enrollment form before completing the project to confirm customer eligibility and reserve funds. In the unlikely event that funds are limited to serve eligible customers, BayREN reserves the right to allocate incentives in a manner that maximizes energy savings and customer satisfaction. Any unserved customers will be referred to the Energy Advisor service and other complementary existing programs.

Customer Service

Participating Contractors are expected to provide exemplary customer service in connection with any activities related to the Program. At a minimum, this customer service shall include:

- Providing an accurate description and representation of the Program and its benefits
- Offering the most comprehensive, cost-effective, and energy efficient solution to ensure customer satisfaction
- Providing the customer with courteous, attentive, and responsive staff with a professional manner and appearance
- Promoting and strengthening the partnership with the Program, PG&E, Marin Clean Energy, and other BayREN partners
- Working effectively with customer and Program staff to identify and resolve issues as quickly as possible
- Ensuring that the efficiency measures are installed with minimal disruption to the customer
- Providing the customer an estimate of the date the installation will be completed and informing the customer if the installation appears to be taking longer than the original estimate and why
- Responding to customer inquiries and Program provided leads promptly (within 48 hours or 2 business days). If requested information is not available on short notice, a response acknowledging the inquiry is still required and should provide a reasonable time when a full response is to be expected
- Performing all corrections as identified during field QA/QC activities. If the problem presents a health and safety threat, the correction shall be made immediately
- Participating Contractor's contracts with the Property Owner must provide a warranty for all labor and materials furnished or performed for the Property Owner from defects in workmanship for a period of at least twelve (12) months after installation is completed.
- All rebate Program measures must be either: a) installed by a Participating Contractor, or b) installed by a subcontractor to the Participating Contractor. All subcontractors must be reported through the 'Subcontractor Consent Form' and the project contract must only be

between the customer and the Participating Contractor. Measures installed by non-participating contractors who contract directly with the customer are ineligible.

Required Forms and Documents

The Program requires the documents, forms, and agreements listed below. All Program forms and sample documents will be maintained at the BayREN website: www.bayrenresidential.org. BayREN reserves the right to make changes in any or all of these documents, forms, and agreements as needed.

A. **Contractor Participation Agreement (CPA):** Required for Participating Contractors receiving incentives through the Program, the CPA details requirements related to contractor licensing, insurance, training, and work standards.

B. **Subcontractor Consent Form:** Required for any subcontractors that Participating Contractors utilize for the direct installation of any measured within the Home+ Program. A form is required for each individual subcontractor. Each subcontractor must also meet the insurance requirements for the Program as outlined below. This does not include Raters in the Program.

C. IRS W-9 Form: Required attachment to the Contractor Participation Agreement, this form provides the Participating Contractor's tax status for possible filing of incentive income to the IRS and a 1099 report to the Participating Contractor at the end of each calendar year. This form must also be used for Customers who will receive a rebate but are *not* the active PG&E account holder.

D. Certificates of Insurance: All contractors participating in the Program and each of their installing subcontractors must provide and maintain acceptable levels of insurance that meet Program requirements. This includes General Liability, Automotive, and Workers Comp insurance. Certificates are required for each insurance type and must include ABAG, CLEAResult, and PG&E as certificate holders. Additional information about insurance requirements can be found in the Contractor Participation Agreement.

E. Rebate Application: Participating Contractors are encouraged to submit a rebate application before completing the project to reserve funds. The final Program rebate application must be completed fully and correctly and signed by the appropriate parties for any project seeking rebates. The application must include proper documentation of installation date and submitted along with other required documentation as soon as possible after project installation has been completed.

F. Itemized Customer Invoice: Itemized invoices listing all completed measures must be submitted after project installation to qualify for Program rebates. Invoices must list: (1) equipment manufacturer, model number, and quantity; (2) itemized measure cost; (3) total project cost; and (4) the amount is paid. Project costs should exclude any equipment and labor for work unrelated to energy efficiency improvements.

G. CAS Grading Sheet: An excel workbook is provided for Participating Contractors to collect and report CAS test-out results to the Program. Before receiving a rebate for Program measures, it is required that a certified BPI Building Analyst complete a CAS test-out according to ANSI/BPI-1200-S-2015 Standards. The Participating Contractor is responsible for submitting the CAS Grading Sheet along with a rebate application in order for a project to be eligible.

BECOMING A PARTICIPATING CONTRACTOR

Participating Contractor Eligibility Requirements

Contractors interested in Program participation will need to meet all Program eligibility requirements and successfully complete initial Program onboarding and training requirements.

Contractors will need to complete a Contractor Participation Agreement and demonstrate the following eligibility criteria:

- Hold and maintain appropriate licenses required by the State of California Contractors State License Board to perform the class and type of work required, and if applicable, ensure that any subcontractors meet the same requirement
- Maintain an active BPI BA certification. This may include proof of an active certification for existing staff, or proof of a partnership with a BayREN Rater who holds equivalent credentials. BayREN will verify these capabilities as part of the Participating Contractor request process
- Hold and maintain general commercial liability insurance coverage with a single limit of $1,000,000 or higher per event
- Hold and maintain worker's compensation insurance with a single limit of $1,000,000 or higher per event
- Hold and maintain automotive liability insurance with a single limit of $1,000,000 or higher per event
- Submit a signed Contractor Participation Agreement to BayREN
- Complete the BayREN Participating Contractor orientation and training

Contractor Participation Agreement (CPA)

Contractor Participation Agreements will be executed when a prospective contractor demonstrates their eligibility. The CPA is between the Participating Contractor and CLEAResult Consulting Inc. in its role as a Program Implementer under contract to MTC. This Agreement sets out the terms and conditions under which Participating Contractors shall participate in the Program. The CPA does not create any contractual relations between Participating Contractor and MTC, ABAG[6], its member agencies or PG&E. Participating Contractors will enter into a separate agreement with Property Owners to provide building performance consulting and/or installation services that are in compliance with Program requirements and standards. This Agreement is completely voluntary and can be terminated at any time for any reason by either CLEAResult or the Participating Contractor with prior written notice from the terminating party to the other party. In the event of termination of the Participation Agreement for non-compliance, the Participating Contractor will be notified of such termination in writing by CLEAResult, and will be allowed 30 days from the date of the notification to submit any remaining documentation

[6] Association of Bay Area Governments

for qualifying equipment or improvements that have previously been installed by the Participating Contractor. Participating Contractor and Program Implementer obligations are further defined in the CPA.

Evaluation of Participating Contractor Performance

BayREN Home+ staff will provide training and support to Participating Contractors in order to facilitate successful participation in the Program. However, Contractor eligibility to participate is contingent upon high performance and customer satisfaction. Participating Contractors are expected to abide by all policies and procedures set forth in this manual and its appendices. Program staff monitor Participating Contractor performance carefully and will communicate directly with a Participating Contractor if there are areas that need improvement. Any Participating Contractor who systemically fails to address errors and does not improve performance will be subject to suspension and removal from the Program.

Overview

The Program will evaluate Participating Contractor performance on an ongoing basis using a weighted score composed of three critical components. The following components are each scored and then weighted, and the sum of the three weighted components becomes the Participating Contractor score:

- Quality of work (50%) – All inspections scored on a 10-point scale and averaged
  - Inspectors review installed energy efficiency measures at job sites or through Photo QC process and create an objective score for each measure (i.e. if a project has 3 measures, the average score from the 3 individual measures will be the inspection score for that project)

- Customer surveys (25%) – All surveys and feedback scored on a 5-point scale and averaged
  - The customer provides quantifiable feedback on their level of satisfaction by answering the following survey questions:
    - Overall, I am satisfied with my contractor's performance on our project (Scale five stars – select 1-5, 5 is most satisfied))
    - My contractor completely explained the process for receiving the BayREN Home+ Program rebates (scale five stars – select 1-5, 5 is most satisfied)
    - My contractor completed the project to the quality I expected. (scale five stars – select 1-5, 5 is most satisfied)
    - I would recommend this contractor to a family / friend or neighbor (scale five stars – select 1-5, 5 is most satisfied)

        - My contractor discussed additional ways to improve the health, safety and indoor air quality while reducing my energy costs. (scale five stars – select 1-5, 5 is most satisfied)

- Responsiveness and data quality – (25%) – Ongoing communications scored on a 5-point scale and averaged
    - Program administration rates quality of submitted data and timeline to respond to customer and inquiries from Program staff and averaged

This Participating Contractor scoring concept is a vital component of an integrated contractor management system. The Participating Contractor's score would determine their 'Active' or 'Probationary' status. The scoring system and benefits of the Participating Contractor status are detailed below. The overall contractor management system is developed to identify and promote our most effective business partners: those who will contribute the most to Program success.

Contractor Score & Status

The Contractor Score is calculated as an average, over each calendar quarter. The Contractor Score will place the contractor in a status; however, that status can be overridden based upon other grounds the Program defines.

To be eligible for rebates, a Participating Contractor needs to maintain an 'Active' status. All Participating Contractors are ranked by their score and divided into four categories based on the following tier levels:

Status	**Contractor Score**
Active, Tier 1	9.2 or higher
Active, Tier 2	at least 8.8 but less than 9.2
Active, Tier 3	at least 8.0 but less than 8.8
Probationary	less than 8.0

Contractor status is intended to identify Participating Contractors' standing in the Program, and provide Program staff guidance regarding the contractors' ability to successfully participate in the Program. Status will identify contractors who have violated tenets of the Contractor Participation Agreement, or whose performance does not meet the performance expectations of the Program. All 'Active' status contractors will be listed on the Program website where Customers can identify a Participating Contractor for their project using the 'Find a Contractor' web tool. 'Probationary' status contractors will be removed from the list until they move to an 'Active' status.

Status changes will only be from 'Provisional' to 'Active', from 'Provisional' to 'Probationary', from 'Active' to 'Probationary' or from 'Probationary' to 'Suspension/Termination', or vice versa.

Provisional Status

All new contractors to the Program gain 'Provisional' status by executing a Contractor Participation Agreement and meeting the terms and conditions outlined in the agreement. In addition to agreeing to comply with the rules of the Program, contractors provide proof of insurance, any necessary licensing and/or certifications, and company information necessary to receive Program incentives.

Jobs undertaken by 'Provisional' status contractors are scored along the lines previously outlined. However, it is assumed that new 'Provisional' status contractors will require additional training and mentoring on the technical and work quality requirements as well as the Program administrative processes, which the Program will provide if requested. All contractors that successfully enroll in the Program are expected to bring their own customers to the Program[7]. Such 'Provisional' status contractors are required to satisfactorily complete an appropriate number of jobs to result in three (3) inspections within the first three (3) months of entering the program. The first BayREN project must be tested out with Program QC staff and with the installing contractor present as well as the BPI analyst present for diagnostic testing. It is the Contractor's responsibility to schedule their first QC with Program staff. The remaining two QCs may be completed by Photo Quality Control (PQC) or require additional in-field QCs coordinated with Program staff.

These initial three inspections will be averaged to determine the Contractor's initial grade. If the Contractor's initial grade is 8.0 or better, 'Active' status is achieved. Contractors with an initial grade below 8.0 or who do not bring in an adequate number of jobs to achieve three (3) inspections over the first three months will be moved to a 'Probationary' status. Contractors who receive a 'Probationary' status will need to submit a Performance Improvement Plan to Program staff before they can move back into a 'Provisional' status.

Active Status

Active status Contractors have proven that they can meet the Program expectations, are eligible to offer Program rebates to their customers, and will be listed on the Program website where Customers can identify a Participating Contractor for their project using the 'Find a Contractor' web tool.

To maintain 'Active' status, Contractors are expected to maintain a minimum work quality standard (see the "Quality Assurance / Quality Control" section of this manual). Contractors who do not meet this standard and whose score falls below 8.0 will be placed in a 'Probationary' status and will not be eligible for Program rebates until a Performance Improvement Plan is submitted to and accepted by Program staff, at which point they can move back into a 'Provisional' status and required to satisfactorily complete an appropriate number of jobs to result in three (3) inspections within the first three (3) months. Participating Contractors are

[7] 'Provisional' status contractors are still eligible to offer Program rebates as defined in the "Rebates" section of this manual.

required to complete a minimum of one (1) successful job per quarter in order to retain an 'Active' status in the Program.

Any 'Active' status Contractor, regardless of their Contractor score, may be placed in the 'Probationary' status if there is a Work Quality Emergency Failure (the home has been left in a serious health and safety situation), Program fraud is committed, or an egregious customer service situation occurs as determined by the Program.

'Active' status contractors will be distributed into tiers based upon their Contractor scores as described above. The tiers will determine the level of QC and Program oversight assigned to the Contractor. The highest tier will receive preference at BayREN marketing events and from Energy Advisors. The second tier is next and will receive preference over the lowest tier.

Probationary Status

Contractors who do not maintain the standards described in the 'Provisional' or 'Active' statuses sections of this manual as described above will fall into the 'Probationary' status. Contractors who receive a 'Probationary' status will not be eligible for Program rebates until a Performance Improvement Plan is submitted to and accepted by Program Staff, at which point they can move back into a 'Provisional' status and required to satisfactorily complete an appropriate number of jobs to result in three (3) inspections within the first three (3) months, at which point their Contractor score will be re-evaluated. Contractors who fail to increase their score to an 8.0 or higher after being placed in a 'Probationary' status within (3) months will be suspended/terminated.

A clear work plan for moving to an 'Active' status will be presented to and agreed to by the Contractor. This work plan will be based off the Contractors Performance Improvement Plan and prepared by CLEAResult in consultation with MTC and the Contractor.

If a contractor is placed on probation for a Work Quality Emergency Failure (the home has been left in a serious health and safety situation), or fraud is committed, the Program will undertake additional retroactive inspections to ascertain whether the issue is isolated or part of a pattern of problems. Patterns of problems could be grounds for moving to Suspension/Termination.

Contractors could also be placed on 'Probationary' status for failing to meet certain vital health and safety, regulatory, scheduling and backlog management or other programmatic requirements articulated elsewhere in this Program manual or the Contractor Participation Agreement.

Suspension/Termination Status

Contractors who fail to increase their score to an 8.0 or higher after being placed in a 'Probationary' status will receive a 'Suspended/Terminated' status and no longer be eligible for Program rebates or services. If a Contractor receives a 'Suspended/Terminated' status, all jobs not yet completed would be cancelled. If a Contractor with a 'Suspended/Terminated' status wanted to re-enter the Program, they would need to provide evidence to Program staff that the problem(s) have been corrected and could re-enter the Program (at the discretion of Program staff) as a 'Provisional' status Contractor.

Contractors could also receive a ‘Suspended/Terminated’ status for failing to meet certain vital health and safety, regulatory, scheduling and backlog management or other programmatic requirements articulated elsewhere in this Program manual or the Contractor Participation Agreement.

BAYREN CUSTOMER PARTICIPATION

Customer Eligibility Requirements

The Program will offer services to SF residential homeowners and renters of single family detached homes and up to four unit buildings and their contractors throughout the BayREN service territory. Eligible homes must meet the following requirements unless otherwise specified below:

- Be a homeowner or renter living in a detached single family or 2-4 unit home built in 2016 or earlier in the nine-County Bay Area, consisting of Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano, and Sonoma Counties.
- Receive gas or electric distribution service from PG&E and pay into the Public Goods Charge (PGC) fund for the respective service type. Community Choice Aggregator (CCA) customers are also eligible to participate.
- Receive energy efficiency measures eligible for the Program that correspond directly to the type of service (i.e. electricity and/or natural gas) that the property receives from PG&E.
- Have not previously received a rebate for the same product or equipment from more than one energy-efficiency program offering rebates, financing or other rebates funded with PG&E ratepayer dollars within the past three years for O&M measures, eight years for building shell and HVAC measures. In addition, products discounted by PG&E at the point of sale, whether retail ("upstream") or distributor ("midstream"), are not eligible for additional rebates.
- All rebate Program measures must be either: a) installed by a Participating Contractor, or b) installed by a subcontractor to the Participating Contractor. Measures installed by non-participating contractors who contract directly with the customer are ineligible.
- Additional Electrification Measure Eligibility clarification: Customer must be a PG&E natural gas customer. Municipal Utility customers are eligible (i.e. Alameda Municipal Power and Silicon Valley Power)

Customers must pass eligibility screens tied to their PG&E account data and other home data provided during the application process in order to participate in the Program. Prospective customers will work closely with their Participating Contractor and/or Energy Advisor to verify Program eligibility. Customers may also be asked to provide their PG&E energy data via 'ShareMyData' in order to more accurately track and analyze project-specific data and identify additional potential for energy savings.

Customers who do not qualify or meet eligibility requirements may be referred to other complementary programs.

If there is any question regarding customer eligibility, please contact Program staff.

Program Services & Rebates

Online Self-Evaluation and Energy Efficiency (EE) Kit

BayREN Home+ offers an online self-evaluation to customers. The online self-evaluation will provide customers with an opportunity to answer a short online survey to see how their home is using energy and where they might improve. Upon completion of the online self-evaluation, the customer is asked to provide their PG&E energy data via 'ShareMyData', at which point, if the customer completes the 'ShareMyData' process, they will be assigned an EE kit that will be mailed to the customer for self-installation.

The process of completing an online self-evaluation also includes the creation of a "customer portal account" which the customer will use throughout their energy efficiency journey. If the customer is applying for a Program rebate through a Participating Contractor, this portal will be used to transfer basic home and customer information to the Participating Contractor thereby reducing the time commitment associated with the application process.

The EE kit will be mailed directly to the customer. To receive an EE kit, customers must comply with the following:

- Be a homeowner or renter living in a detached single family or 2-4 unit home built in 2016 or earlier in nine-county Bay Area, consisting of Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano, and Sonoma counties
- Receive gas and/or electric distribution service from PG&E and pay into the Public Goods Charge (PGC) fund for the respective service type. Community Choice Aggregator (CCA) customers are also eligible to participate
- Receive energy efficiency measures that correspond directly to the type of service (i.e. electricity and/or natural gas) that the property receives from PG&E
- Have not previously received a rebate for the same product or equipment from more than one energy-efficiency program offering rebates, financing or other rebates funded with PG&E ratepayer dollars within the past three years for O&M measures, eight years for building shell and HVAC measures. In addition, products discounted by PG&E at the point of sale, whether retail ("upstream") or distributor ("midstream"), are not eligible for additional rebates
- Complete the online self-evaluation and create a "customer portal account"
- Provide access to customer energy consumption data via 'ShareMyData' to Program Implementer

The purpose of the online self-evaluation and EE kit is to facilitate an easy entry point for customers wishing to participate in the Program while gathering valuable home and energy data to inform energy efficiency potential and Energy Advisor recommendations to the customer.

Energy Efficiency (EE) Kit Contents. EE Kits will contain the items described in the table below. Eligible Customers who successfully provide access to customer energy consumption data via 'ShareMyData' will be assigned a kit based on their responses during the Online Self-

Evaluation and the Customers active PG&E Service Address ID (SAID). The contents of the kit configurations are as follows:

Kit Assignment Criteria	Kit Item and Quantity				
	LED 12W A19 DIM 27K T20 JA8	Low-Flow Showerhead - 1.5 GPM	Low-Flow Aerator (bath) - 0.5 GPM	Low-Flow Aerator (kitchen) - 1.5 GPM	Tier 2 Advanced Power Strip
Gas Only	0	1	2	1	0
Electric Only No AV No Water	10	0	0	0	0
Electric Only AV No Water	5	0	0	0	1
Combo Water No AV	10	1	2	1	0
Combo AV Water	5	1	2	1	1
Combo No AV No Water	10	0	0	0	0
Combo AV No Water	5	0	0	0	1
Electric Only No AV Water	10	1	2	1	0
Electric Only AV Water	5	1	2	1	1

Program Referrals. Some customers may not have completed an online self-evaluation or received an EE kit. It is encouraged that Participating Contractors, Raters, Home Energy Score Assessors, and other Program staff communicate the benefits of the EE kit to potential and existing customers in order to increase overall energy savings and drive Program awareness. The intent is to guide customers to the Program or Programs that offer them the maximum benefit.

Green Home Visits

The Program will collaborate with local Community Based Organizations (CBOs) to offer services to specific groups of customers that have historically low participation rates. Some of these groups will include but are not be limited to households where English is not the primary spoken language and senior households. BayREN will partner with select CBOs to perform in-home 'Green Home Visits' for these customers. During the Green Home Visit, the CBOs will perform a basic energy evaluation of the home and gather customer information. During the visit, EE kit measures will be direct installed for the customer. The Green Home Visit will also provide the customer with energy saving tips. The customer will be referred to an Energy Advisor who will maintain a longer-term relationship with them and educate the customer on the energy savings potential of their home and ways to achieve it.

Rebates

BayREN Home+ will pay rebates for eligible measures completed by a Participating Contractor. The rebate may be paid to the customer or the Participating Contractor. Participating Contractors are responsible for completing a rebate Enrollment form with the customer, completing eligible upgrades, and submitting the rebate application and other required forms once the project is completed. Once these have been submitted to the Program, the Incentive Processing team will confirm customer eligibility and reserve rebate funds for the project. Customers' must work with a Participating Contractor to be eligible for a rebate.

To qualify for a rebate, a customer must comply with the following:

- Be located in the nine-county Bay Area, consisting of Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano, and Sonoma counties
- Receive gas and/or electric distribution service from PG&E and pay into the Public Goods Charge (PGC) fund for the respective service type. Community Choice Aggregator (CCA) customers are also eligible to participate
- Receive energy efficiency measures that correspond directly to the type of service (i.e. electricity and/or natural gas) that the property receives from PG&E
- EE upgrades be done in a home that was built/constructed in 2016 or earlier
- Have not previously received a rebate for the same product or equipment from more than one energy-efficiency program offering rebates, financing or other rebates funded with PG&E ratepayer dollars within the past three years for O&M measures, eight years for building shell and HVAC measures. In addition, products discounted by PG&E at the point of sale, whether retail ("upstream") or distributor ("midstream"), are not eligible for additional rebates
- Complete a Combustion Appliance Safety (CAS) test if any measures completed impact the air tightness of the home
- Agree to allow random field inspections, by BayREN, CLEAResult or their designee, of work that has been performed. The customer will need to allow CLEAResult or BayREN access to the home for this purpose if the project is chosen for a field inspection

Rebates for projects completed in 2019 will be priced as shown in the Eligible Program Measure table, below:

Table 1: Program Rebate Amounts

Measure	2019 Incentives	Unit	Eligible Climate Zone
EE Kit and Direct Install			
Screw in LED – A19	Free to customer	Lamp	All
Faucet aerator – Bathroom ≤ 1.0 GPM	Free to customer	Faucet	All
Faucet aerator – Kitchen ≤ 1.5 GPM	Free to customer	Faucet	All
Low-flow showerhead 1.5 GPM	Free to customer	Showerhead	All
Tier 2 advanced power strip	Free to customer	Each	All
Operations and Maintenance			
Smart thermostat (must be listed on the ENERGY STAR qualified product list for Smart Communicating Thermostats)	$150.00	Each	All
Duct Seal / Repair ≤ 10% total leakage (Not eligible in homes with ductwork or FAU/Furnace/Air Handler in Garage)	$200.00	Each	All
Duct Replacement ≤ 5% total leakage	$800.00	Each	All
Building Shell			
Attic insulation ≥ R-44 (includes air sealing)	$0.75 (maximum of $1,000)	Area (ft^2)	All

Wall insulation ≥ R-13 (2x4 framing) or ≥ R-19 (2x6 framing)	$0.70 (maximum of $1,000)	Area (ft^2)	All
HVAC Equipment			
High efficiency furnace ≥ 95% AFUE with Variable Speed Motor (must replace existing central gas furnace)	$300.00	Each	All
High efficiency split central air conditioner ≥ 17 SEER or ≥ 13.3 EER High efficiency packaged central air conditioner ≥ 16 SEER (must replace existing central air conditioner)	$800.00	Each	All
High efficiency heat pump ≥ 17 SEER / 9.4 HSPF (must replace entire load associated with an existing electric heating system or heat pump)	$1,000.00	Each	All
DHW Equipment			
Heat pump water heater ≥ 3.1 UEF (must replace existing electric or heat pump water heater)	$1,000.00	Each	All
High efficiency storage gas water heater medium usage ≥0.64 UEF, high usage ≥0.68 UEF Instantaneous water heater ≥ 0.87 UEF (must replace existing gas water heater)	$400.00	Each	All
Bonus Rebates *(only one per service address)*			
Combine one or more Building Shell measures with a Heating and Cooling measure	$500.00	Per Home	All

Combine attic with exterior wall insulation work	$500.00	Per Home	All
Building air sealing ≥ 30% (Use of vintage tables requires combination with another measure, otherwise test-in and test-out results required)	$150.00	Per Home	All
Downsize heating and/or cooling system compared to existing system	$100.00	Per Home	All
Combustion Appliance Safety (CAS) test-out	$150.00	Per Home	All
Electrification Equipment Measures			
High efficiency heat pump ≥ 17 SEER / 9.4 HSPF (must replace existing central natural gas furnace and air conditioner with ducted direct exchange (non mini-split) heat pump or replace wall furnace and window air conditioner with a ductless mini-split heat pump.)	$1,000.00	Per Home	All
Heat pump water heater ≥ 3.1 UEF (must replace existing natural gas tank or tankless water heater)	$1,000.00	Per Home	All
Electrification Appliance Measures (Customer Application)			
*Induction electric stove and range cooktop (must replace existing natural gas range and cooktop)	$300.00	Per Home	All
*Heat pump clothes dryer ≥ 4.50 Combined Energy Factor (CEF) (must replace existing natural gas clothes dryer and listed as ENERGY STAR Efficient heat pump clothes dryer.	$300.00	Per Home	All

*Appliance measures. In order to receive an incentive, these measures require the PG&E account holder to submit a rebate application through the customer facing BayREN Home+ Portal.

Energy Advising

Energy Advisors are available at no cost to the customer and are an objective, unbiased third-party. Energy Advisors will act as a facilitator, educator, and advocate for customers pursuing upgrades. Energy Advisors will:

- Provide individualized and ongoing assistance to homeowners and renters with relevant Program offerings
- Educate participants on energy efficiency benefits including reduced energy bills and improved indoor air quality and comfort
- Be a single point of contact for all energy efficiency questions and/or BayREN projects
- Develop an energy efficiency plan for the customer and assist them on their journey to greater energy efficiency of their home
- Provide support with selecting a Participating Contractor, scheduling estimates and reviewing bids for eligible projects
- Help customers understand energy and evaluation reports
- Communicate available financing options and other BayREN Programs like the Green Labeling program
- Educate customers on complementary program offerings
- Maintain a long-term relationship with the customer
- Provide unparalleled customer service

Incentive Layering

BayREN Home+ customers are not excluded from concurrent participation in any other ratepayer-funded energy efficiency program that offers rebates or incentives, as long as ratepayer-funded programs do not provide incentives for the same measures being completed through the BayREN Program.

BayREN will cross reference Program projects with participation data from other ratepayer funded programs to confirm that there is no “double-dipping”.

QUALITY ASSURANCE / QUALITY CONTROL (QA/QC)

QA/QC are essential functions that enable the Program to verify the quality of installed measures, both for purposes of consumer protection and to safeguard ratepayer investments. The intent of QA activities is to ensure a great customer experience and deliver real project benefits to both the Participant and ratepayers.

For purposes of BayREN Home+, Quality Assurance and Quality Control are defined as follows:

- **Quality Assurance (QA):** A set of processes and procedures to manage for quality; that is, a proactive means to prevent quality failures and deliver consistently high-quality results.
- **Quality Control (QC):** A set of processes and procedures to verify the quality of the results; that is, a reactive means by which quality is gauged and monitored.

If a project is selected for QA/QC, the customer is responsible for participating in QA/QC process in order to be eligible for a rebate. This includes field quality control (FQC) inspections completed by BayREN, CLEAResult, or another designee. The QA/QC efforts will provide feedback to BayREN and Participants and may inform future Program improvements.

Quality Assurance Processes and Procedures

A comprehensive quality assurance program requires Participating Contractors to integrate quality assurance into their standard operating procedures. BayREN Home+ QA processes and procedures include the following:

- Participating Contractor training and mentoring related to measure requirements and installation best practices
- Customer screening for Program eligibility prior to investment of Program resources in providing customer services
- Availability of a certified BPI BA to ensure adequate health and safety testing (CAS) by qualified personnel
- Qualifying measure list and equipment specifications
- Participating Contractor quality assurance plans, including standard operating procedures for customer service, data management, rebate applications, financing, and installation procedures

The following table highlights the frequency of quality assurance provisions associated with the Program:

Table 3: Quality Assurance Provisions

Program Element	QA Requirements	QA Sampling Rate (Indicate Pre/Post Sample)	QA Personnel Certification Requirements
Rebates	Property must meet eligibility requirements for measures installed	100% pre/post	BPI-BA
	Contractor holds valid license and meets eligibility requirements	100% pre/post	None
	Project meets requirements of Program	100% pre/post	BPI-BA
	Field Verification of Measures Installed and performance of Combustion Safety Test	Post: Home Performance w/ENERGY STAR Protocols	BPI-BA

Quality Control Processes and Procedures

QC activities will identify all material defects that are in conflict with the Program's installation requirements and CAS requirements. Participating Contractors must remediate all identified defects before the project is eligible for a Program rebate, or if a rebate is already paid, to retain an 'Active' status in the Program.

Desktop Review of Job Submissions

The intent of the desktop review is to evaluate the validity of the submittals, such as the rebate application. The rebate application will be manually compared to PG&E customer data to ensure customer eligibility and Program requirements. Rebate applications may be returned for revision if: (1) The customer or measures are not eligible for the Program; (2) The application is incomplete or inaccurate; and/or (3) The Participating Contractor is not eligible to apply for incentives due to their standing with the Program.

Field Quality Control (FQC) Inspection

FQC inspections focus on verifying proper installation of improvements and ensuring customer satisfaction. The Program will leverage BayREN Raters as well as CLEAResult staff and other designees to complete FQC inspections. Eligible projects will be based on a sampling basis and/or as directed. BayREN Home+ QC will be conducted by (1) BayREN Raters who are responsible for verifying and "signing off" on measure installation quality according to Program requirements when subcontracted for CAS testing on ALL projects; (2) CLEAResult staff and/or designees will QC projects based on random sampling of projects.

The Participating Contractor shall coordinate with a BPI certified CAS technician to schedule an inspection to coincide with project completion in order to reduce impacts to the participant. Projects selected for FQC must pass the FQC inspection in order to receive a rebate. FQC inspections will confirm the following:

- Participating Contractor has adhered to all installation requirements and Program requirements, proper function and cleanliness of installed equipment, and accuracy of work
- Counts and types of all measures installed are as indicated in the rebate application
- Installed equipment is eligible for Program rebates and meets Program requirements
- Proper completion of CAS Testing

Photo Quality Control (PQC) Inspection

PQC inspections focus on verifying proper installation of eligible measures through the use of photographs submitted to CLEAResult through the project application process. PQCs will be completed by the Participating Contractor and each measure will require a Photograph(s) that is date and time stamped to depict the proper installation of the measure(s).

To be eligible for PQC Inspections, the Participating Contractor first must achieve an 'Active' status and have good standing in the Program. The Participating Contractor must then participate in a mandatory BayREN PQC webinar. PQCs will allow Participating Contractors to increase their QC score and elevate their standing in the program. Projects submitted through the PQC process are still subject to random in-field inspections.

QC Sampling Rates

The minimum FQC inspection rate is set at 5% (1 in every 20 jobs). The Program has also established an adjustable on-site inspection rate for contractors based on job experience and performance. This inspection rate reduces as the contractor gains experience in the Program and as on-site inspections and the Participating Contractor score (described in "Evaluation of Participating Contractor" above) show the contractor is performing well. Contactors may drop down a tier if performance slips.

Contractor Status	**# of Jobs**	**QC Level**	**QC Requirements**
Provisional	0-5	Level 3 QC	First job inspected on-site with Contractor present during CAS test-out. Next 2-5 jobs inspected on-site or through PQC inspections
Probationary	N/A	Level 3 QC	Requires on-site inspection with Contractor present during CAS test-

			out. Next 2-5 jobs inspected on-site or through PQC inspections
Active (Any Tier)	5-20	Level 2 QC	20% of all jobs inspected on-site or through PQC inspections (4 out of 20)
Active (Any Tier)	20+	Level 1 QC	5% of all jobs inspected on-site or through PQC inspections (1 in 20)

Inspection failure(s) will trigger corrective action(s) to the job. Sampling rates may be increased, or other penalties introduced if inspections produce unsatisfactory results.

Inspections completed by Program staff will seek to complete verification activities within ten (10) business days of the application submission, barring any delays associated with difficulty in contacting the Customer or scheduling an inspection.

Ongoing Monitoring

Performance will be monitored on an ongoing basis for all Participating Contractors. Performance is based on:

- Customer Satisfaction Survey results
- Feedback provided to Energy Advisors by customers
- Ability for Participating Contractor to meet minimum work requirements set forth in this manual
- QA/QC results
- Responsiveness and professionalism associated with BayREN requests

Where applicable, the Program may leverage metered energy savings data to support Participating Contractor development and training and performance analysis. The Program aims to provide a transparent and collaborative process to Participating Contractor performance improvements and will use data collected to inform BayREN Contractor Services support and mentoring activities.

Customer Satisfaction Surveys

Customers participating in the Program services will be invited to participate in customer satisfaction surveys. The timing of the survey will vary depending on the customers participation in the Program. Surveys will be deployed according to the following schedule:

Table 4: Customer Satisfaction Survey Schedule

Program Service	**Milestone**	**Survey Delivery Date**
Online Self-Evaluation & EE Kit	Completion of online self-evaluation & customer portal account	Within 5 weeks of portal account created date
Green House Call	Completion of Green House Call	Within 2 weeks of Green House Call
Rebates	Completion of Program measure	Within 3 weeks of project paid date

Eligible Energy Efficiency Measures

Table 4: Eligible Program Measures

Measure	**2019 Incentives**	**Unit**	**Eligible Climate Zone**
EE Kit and Direct Install			
Screw in LED – A19	Free to customer	Lamp	All
Faucet aerator – Bathroom ≤ 1.0 GPM	Free to customer	Faucet	All
Faucet aerator – Kitchen ≤ 1.5 GPM	Free to customer	Faucet	All
Low-flow showerhead 1.5 GPM	Free to customer	Showerhead	All
Tier 2 advanced power strip	Free to customer	Each	All
Operations and Maintenance			
Duct Replace ≤ 5% total leakage	$800.00	Each	All
Duct Seal / Repair ≤ 10% total leakage (Not eligible in homes with ductwork or FAU/Furnace/Air Handler in Garage)	$200.00	Each	All
Smart thermostat	$150.00	Each	All
Building Shell			
Attic insulation ≥ R-44 (includes air sealing)	$0.75 (maximum of $1,000)	Area (ft^2)	All
Wall insulation ≥ R-13 (2x4 framing) or ≥ R-19 (2x6 framing)	$2.00 (maximum of $1,000)	Area (ft^2)	All
HVAC Equipment			
High efficiency furnace ≥ 95% AFUE with Variable Speed Motor (must replace existing central gas furnace)	$300.00	Each	All

High efficiency split central air conditioner ≥ 17 SEER or ≥ 13.3 EER High efficiency packaged central air conditioner ≥ 16 SEER (must replace existing central air conditioner)	$800.00	Each	All
High efficiency heat pump ≥ 17 SEER / 9.4 HSPF (must replace entire load associated with an existing electric heating system or heat pump)	$1,000.00	Each	All
DHW Equipment			
Heat pump water heater ≥ 3.1 UEF (must replace existing electric water heater)	$1,000.00	Each	All
High efficiency gas water heater medium usage ≥ 0.64 UEF, high usage ≥ 0.68 UEF Instantaneous water heater ≥ 0.87 UEF (must replace existing gas water heater)	$400.00	Each	All
Bonus Rebates			
Combine one or more Building Shell measures with a Heating and Cooling measure	$500.00	Per Home	All
Building air sealing ≥ 30% (Use of vintage tables requires combination with another measure, otherwise test-in and test-out results required)	$150.00	Per Home	All
Downsize heating and/or cooling system compared to existing system	$100.00	Per Home	All

Combustion Appliance Safety (CAS) test-out	$150.00	Per Home	All
Electrification Equipment Measures			
High efficiency heat pump ≥ 17 SEER / 9.4 HSPF (must replace existing central natural gas furnace and air conditioner with ducted direct exchange (non mini-split) heat pump or replace wall furnace and window air conditioner with a ductless mini-split heat pump.)	$1,000.00	Per Home	All
Heat pump water heater ≥ 3.1 UEF (must replace existing natural gas tank or tankless water heater)	$1,000.00	Per Home	All
Electrification Appliance Measures (Customer Application)			
*Induction electric stove and range cooktop (must replace existing natural gas range and cooktop)	$300.00	Per Home	All
*Heat pump clothes dryer ≥ 4.50 Combined Energy Factor (CEF) (must replace existing natural gas clothes dryer and listed as ENERGY STAR Efficient heat pump clothes dryer.	$300.00	Per Home	All

*Appliance measures. In order to receive an incentive, these measures require the PG&E account holder to submit a rebate application through the customer facing BayREN Home+ Portal.

Appendix A. Dictionary of Terms

A Glossary-Program Administrator Dictionary, identified by the California Energy Efficiency Coordinating Committee Stakeholder process during the Business Plan development, can be found at https://abag.ca.gov/bayren/documents/BayREN_BusinessPlan_20170123_PDFA.pdf, Appendix C.

APPENDIX B. MEASURE INSTALLATION STANDARDS

Equipment must be installed in a manner that yields energy savings and provides long-term occupant comfort and safety. The Program uses the Installation Standards defined below for measure installation best practices. This ensures that the work performed is effective, durable, and safe. While the installation standards help identify the desired outcomes of energy efficiency measures associated with a project, they are not a replacement for the codes and/or technical standards mandated by a particular jurisdiction. State, local, or municipal code or ordinance has legal precedence and Participating Contractors should obtain copies of the applicable codes and standards for their jurisdiction before performing the work. For each measure, the Participating Contractor must meet the following Installation Standards:

Table 5: Program Measure Installation Standards and QC Checklist

Operations and Maintenance	
Duct Replace <= 5% total leakage	**Points**
Duct test reveals <= 5% total system leakage	2
Accessible Ducts and plenums have all been replaced and are properly fastened and supported	2
Duct boots sealed to floor, wall, or ceiling using caulk, foam, mastic tape, or mastic paste	2
All seams, cracks, joints, holes, and penetrations are sealed using mastic including the air handler	2
Connections and routing of duct work completed without kinks or sharp bends	2
Duct Replace <= 5% total leakage Total Points	***10***
Duct Seal / Repair ≤ 10% total leakage (Not eligible in homes with ductwork or FAU/Furnace/Air Handler in Garage)	**Points**
Duct test reveals <= 10% total system leakage	2
Ducts and plenums are properly fastened and supported	2
Duct boots sealed to floor, wall, or ceiling using caulk, foam, mastic tape, or mastic paste	2
All seams, cracks, joints, holes, and penetrations are sealed using mastic including the air handler	2

Connections and routing of duct work completed without kinks or sharp bends	2
Duct sealing <= 10% total leakage Total Points	***10***
Smart Thermostat	**Points**
Thermostat installed matches thermostat in Application	3.5
Thermostat is void of defects and functions according to manufacturer specifications	3.5
Customer was instructed on thermostat use and provided with the thermostat manual	3
Smart Thermostat Total Points	***10***
Building Shell	
Attic Insulation ≥ R-44 (includes air sealing)	**Points**
Thermal Boundary continuous and supports insulation. Proper Sealants and	2
Proper clearance and non-combustible materials used around combustion sources (e.g. Flues, Chimneys, Vents). Non-insulation contact (IC) lights have an airtight enclosure taller than the surrounding insulation. 3" clearance maintained. Top of enclosure has an R value not to exceed R.5	2
Insulation level matches manufacturer's coverage chart for desired R-value. Knee wall insulation has 6-sided encapsulation with proper insulation/air barrier alignment and has all gaps cracks and penetrations sealed	2
Attic access hatch is insulated to same R-value as surrounding insulation and is permanently attached to hatch cover. Hatch cover is properly weather stripped and has a tight seal. Rigid dam (wood or better) having height greater than surrounding insulation is constructed to ensure insulation does not fall into access opening.	2
Install attic depth markers no less than 1 for every 300sqft. Attic ventilation maintained (e.g. soffit baffles present)	2
Attic Insulation Total Points	***10***
Wall Insulation ≥ R-13 (2x4 framing) or ≥ R-19 (2x6 framing)	**Points**

Consistent, uniform thermal boundary between conditioned and unconditioned space to prescribed R-value of an adjoining insulated assembly	2
Complete insulation coverage without settling or voids throughout exterior wall plane.	2
Accuracy of application wall insulation sq. ft. compared to installed	2
Drill and fill holes are patched and returned to paint-ready condition	2
A dated receipt signed by the installer will be provided that includes coverage area, thickness, R-value	2
Wall Insulation Total Points	***10***
HVAC Equipment	
High Efficiency Furnace ≥ 95% AFUE (must replace existing central gas furnace)	**Points**
Furnace meets AFUE >= 95%	2
Furnace model # matches model # associated with rebate application	2
Furnace is void of defects and functions according to manufacturer specifications	2
Return Air duct/grille is sufficiently sized for the BTU and Airflow of the System	2
Supply and Return air opening is closed off and sealed with a durable material equivalent in strength to the surrounding material	2
High Efficiency Furnace Total Points	***10***
High Efficiency Split Central Air Conditioner ≥ 17 SEER or High Efficiency Packaged Central Air Conditioner ≥ 16 SEER (must replace existing air conditioner)	**Points**
Meets Program requirements >= 17 SEER	2
Air conditioner model # matches model # associated with rebate application	2
Air conditioner is void of defects and functions according to manufacturer specifications	2

Return Air duct/grille is sufficiently sized for the BTU and Airflow of the System	2
Supply and Return air opening is closed off and sealed with a durable material equivalent in strength to the surrounding material	2
High Efficiency Air Conditioner Total Points	***10***
High Efficiency Heat Pump ≥ 17 SEER / 9.4 HSPF (must replace existing electric heating system)	**Points**
Meets Program requirements >= 17 SEER / 9.4 HSPF	2
Heat Pump model # matches model # associated with rebate application	2
Heat Pump is void of defects and functions according to manufacturer specifications	2
Return Air duct/grille is sufficiently sized for the BTU and Airflow of the System	2
Supply and Return air opening is closed off and sealed with a durable material equivalent in strength to the surrounding material	2
High Efficiency Heat Pump Total Points	***10***
DHW Equipment	
Heat Pump Water Heater ≥ 3.24 EF or ≥ 3.1 UEF (must replace existing electric water heater)	**Points**
Water Heater Meets Program requirements >= 3.24 EF or >= 3.1 UEF	2
Water Heater model # matches model # associated with rebate application	2
Water Heater is void of defects and functions according to manufacturer specifications	2
Water Heater location, surrounding space for air flow, access, and mounting equipment is correctly installed. HPWH has unrestricted airflow and, according to the typical manufacturer specification, a minimum installation space of 700 cubic feet (depending on size of system).	2
Condensate drain lines are properly installed and piped to an adequate drain or condensate pump installed.	2
Heat Pump Water Heater Total Points	***10***

High Efficiency Gas Storage Water Heater ≥ 0.70 EF or medium draw pattern ≥ 0.64 UEF, high draw ≥ 0.68 UEF for Instantaneous Water Heater ≥ 0.82 EF or ≥ 0.87 UEF (both options must replace existing gas water heater)	Points
Meets Program requirements, for gas storage water heater >= 0.70 EF or medium draw pattern >= 0.64 UEF, high draw >= 0.68 UEF, for instantaneous water heater >= 0.82 EF or >= 0.87 UEF	2
Water Heater model # matches model # associated with rebate application	2
Water Heater is void of defects and functions according to manufacturer specifications	2
Water Heater piping meets the applicable code requirements and manufacturer specifications and prevents thermo-siphoning (e.g. heat traps or pipe insulation)	2
Condensate drain lines are properly installed and piped to an adequate drain or condensate pump installed.	2
High Efficiency Gas Water Heater Total Points	***10***

General Requirements

- Materials and installation procedures shall conform to all applicable building and electrical codes, standards, and regulations, and shall meet the specified warranty standards
- Participating Contractor will maintain all required permits and licenses necessary to conduct the installation work and pay all associated fees for such permits and licenses
- Plan and conduct installation work to safeguard persons and property from injury, in compliance with reasonable safety and work practices and with applicable laws, ordinances, codes and regulations of governmental agencies, including federal, state, municipal and local governing bodies having jurisdiction over any or all of the scope of services
- Use qualifying equipment that is new and free of defects in design, engineering, workmanship, and material. The equipment shall comply with the requirements of the Program and shall be fit for its intended purpose
- Equipment and materials shall be carefully handled, properly stored, and adequately protected to prevent damage before and during installation, in accordance with the manufacturers' recommendations
- Protect people and property from damage and debris at all times during the installation process, covering furniture, electronics, equipment, etc. to protect against dust and dirt during installation. Remove fingerprints from all surfaces touched by Participating Contractor or Participating Contractor staff and sweep or vacuum all debris from work site. Worksites shall be left in the same condition they were found at the end of each day

and at the completion of the installation. The Participating Contractor shall be solely responsible for damage or cleaning costs caused by installation

- Any unused or leftover materials, garbage, and debris shall be promptly removed from worksites and disposed of at the Participating Contractor's expense. On-site refuse containers shall not be used for disposal of any material whatsoever, without prior approval of the customer
- Keep access to all areas of each building clear; move and replace furniture during the project; minimize interference to occupants; and interrupt building services only after attaining the customer's approval
- Ensure Participating Contractor staff (both sales and installation) behave respectfully to other staff and customers. The Participating Contractor's staff shall not behave in any manner that is offensive to the customer. This includes, but is not limited to, the use of loud or foul language, smoking, the use of illegal drugs, and suggestive or provocative words or gestures. The Participating Contractor shall be accountable for the behavior and actions of employees and sales and installation personnel working on projects under the Program
- Immediately following installation, remove all replaced equipment from installation site and dispose in accordance with proper recycling/disposal requirements. Removed equipment may not be reinstalled at the customer's site or elsewhere
- Maintain accurate business records relating to the installation of qualifying equipment according to customary industry practice for at least one (1) year following installation

Appendix C. Healthy Home+ Pilot

"Healthy Home+" Pilot Contractor Expectations- "HH+ Contractor"

Objective: An opportunity for homeowners/property managers to connect with indoor health-focused and performance-focused contractors who are capable of 'best practice' solutions, exceeding Home+ standards to maximize the health of building indoor environments.

"Healthy Home+" Lead Handling

Homeowners who express health concerns and associated remediation for their home will be introduced to a select group of contractors who are able to perform a deeper assessment of the home, conduct safety and performance testing services before and after the project, provide a structured and transparent estimate with detailed options for recommended solutions focused on indoor air quality, safety, comfort, and efficiency. These homeowners will be guided to HH+ Contractors through:

- Online participating contractor list to include designation for "Healthy Home+" Pilot participating Contractors
- Customer-facing marketing materials supporting the "Healthy Home+" solutions
- A designated page on the Home+ website
- Through the Home Advisor Team handing over leads to the contractors in the customer's County for those customers who need health improvements. A minimum of two Contractors will be given each lead to prevent favoritism.

Contractor Expectations

Committed contractors will offer approved services and upgrade processes focused on building performance, health, and safety in the home. Contractors will be expected to adhere to the following:

- **Require BPI certified staff**
- **Maintain average Photo QC rate of 15% or greater**
- **Excellent Customer Service as defined by:**
  - <48 hour contractor response time for estimate requests and estimate questions
  - <48 hour response time to BayREN Advisors for Lead distribution and confirmation

Contractor Capabilities

In addition to the above expectations, HH+ Contractors must be capable of:

- **Stand-alone testing services such as:**
  - Load calculations for HVAC system upgrades or modifications

- Airflow testing for duct system upgrades or modifications utilizing duct blasters, flow hoods, or similar diagnostic equipment to measure delivered airflow at each register as well as total system leakage
- Envelope leakage testing utilizing blower doors, worst-case depressurization testing, smoke producing devices and infrared imaging to identify Air Sealing opportunities
- Indoor Air quality testing using air quality monitoring devices and reporting
- Access to Hazardous material or airborne pollutant safety testing (state link)(in-house or via third-party partner)
  - Mold, lead, VOCs, ventilation, air cleaners, cleaning products, combustion pollutants, carbon monoxide, allergens, asbestos, legionnaires, ozone, radon, etc.

- **Electrification of homes**
  - Capable of upgrading electrical panels or working with a licensed contractor to do so.
  - Capable of removing/decommissioning gas appliances and changing to electric appliances.
  - Capable of proper load calculations and installation methods to deliver maximum efficiency and effectiveness.
- **Meeting calibration requirements for Test-In and Test-Out equipment such as Blower Doors, Manometers, CO Detectors, Air Quality Meters, etc.**
- **Providing estimates by BPI Certified employee for indoor health improvement projects**
  - Estimates in a detailed format to clearly communicate upgrade project details and capability to email to the homeowner and advisor@bayren.org
  - Clear explanation of upgrade options and process as well as product details on estimates. Details to include model numbers, efficiency ratings, other pertinent ratings for equipment, and major project scope details. For example: Air Sealing scope, Attic Insulation, etc.

Examples of Best Practice Solutions for HH+ Contractors

- **Smart Thermostat**
  - Capable of Thermostat relocation if needed
  - Homeowner thermostat scheduling and device training
  - Smart / Internet connectivity activation

- **Duct Sealing**
  - Manual D Load Calculation w/ Duct Replacements
  - Duct Blaster Test
  - In cases of Asbestos ductwork, certified removal of ductwork or existing system components containing Asbestos (complete removal, not encapsulation)

- Seal all accessible joints, registers, plenum, supply, and return ducting
- Replacing: Utilize R-8 insulated ducts or buried under loose-fill attic insulation when possible. Utilize hard elbows to connect into boots where possible. Ducts should be straight with runs as sort as possible. Utilize tape, mastic, panduit (zip ties), and metal collars & plenums (no ductboard except when lining metal plenum).
- New ducts should be installed to "goal zero" leakage where possible.
- Balance via Load Calculation and flow hood testing (Rebate Eligible?)

- **Attic insulation**
  - Roof ventilation added if attic is not properly vented
    - Follow code requirements at minimum
    - Recommended additional ventilation for areas prone to fire.
  - Existing insulation removal, disposal, or recycling.
  - Rodent/pest cleaning and proofing
    - Pre-inspection of existing attic space to determine if pest problem exists
    - Have access to professional, licensed third-party for proper clean up, removal, prevention of re-infestation before installation of new attic insulation, or provide the service in-house.
  - Eave vent baffles to allow ventilation without disturbing insulation
  - Advanced air sealing procedures including the installation of:
    - Fire rated top hats for exposed gang boxes, terminals, receptacles, and ceiling mounted can lights or similar fixtures
    - Seal all joints at top plates, drywall joints, plumbing and electrical penetrations
    - Build dams using fire rated materials for all flue pipes, chimneys, and similar extreme heat hazards
  - Blower Door Assisted Air Sealing with Thermal Imaging and/or smoke producing device guidance
  - R44+ Blown-In Cellulose or Fiberglass
  - Not recommended: Batt Insulation on any horizontal plane
  - Other offerings: Suggestions to improve Thermal Envelope & air barrier alignment

- **Wall insulation**
  - For exposed walls: Dense Pack Fiberglass or Cellulose, OR Spray Foam with Fire Barrier.
  - Unexposed 4" walls: R13 Drill and Fill Cellulose or Fiberglass
  - Unexposed 6" walls: R19 Drill and Fill Cellulose or Fiberglass
  - Air Seal if possible
  - If possible, insulate between garage and house
  - Rough patch drill & fill holes to be ready for tape, texture, & paint.

- **Gas Furnace**
  - Load Calculation / AFUE 95%+ with right sized gas input or Dual Stage gas valve for reduced sizing where needed. Capability to 'lock out' high stage to eliminate overheating.
  - Safety: Install, redirect, or enlarge Air Source for Combustion Air if the existing system is atmospherically vented (when not replacing)?
  - Replace or modify ducts to be large enough for new system to keep static pressure within acceptable manufacturer range
  - Run combustion intake pipe to fresh air source (outside building envelope, not in closet)
  - Capability to offer/install Mini Split when full system replacement is being considered
  - Static pressure measurements taken and written on unit
  - Ensure adequate airflow to deliver full cooling capacity using flow hood

- **Air Conditioner**
  - Load Calculation to ensure system is right sized
  - Replace or modify ducts to match new system
  - Ensure adequate airflow to deliver full cooling capacity using flow hood
  - Properly charged refrigerant at startup
  - Mini Split when full system replacement is being considered

- **Heat Pump**
  - Load Calculation to ensure system is right sized
  - Properly charged refrigerant at startup
  - Offer full electric system and capability to avoid backup heat strips/ dual fuel furnace where possible

- **Gas water heater**
  - Safety: Powered vent, powered igniter, and flex gas line
  - Safety: Is there a recommendation to install, redirect, or enlarge an Air Source for Combustion Air if the existing system is atmospherically vented?
  - Insulation on exposed water pipe
  - Water heater blanket for systems over 15 years of age that will not be replaced
  - Capability to reroute or modify exhaust for atmospherically drafted DHW

- **Heat Pump Water Heater**
  - Heat Pump Water Heater ducted if possible
    - Source from/to Garage, Crawl space, or Attic space
  - Proper air volume in air source location (minimum 700 cubic ft depending on manufacturer specs)

- **Energy Audits or Stand-Alone services**
  - Blower door data from test-in is required and vintage tables will not be allowed.
  - Thermal Imaging report in addition to Energy Audit results
  - Energy Audit report with recommendations
  - 30+ minute private assessment review and efficiency plan offered by Auditor or Energy Advisor
  - Capable of Blower Door Assisted Air Sealing for any BPSC, duct blaster testing, safety testing, flow hood air delivery testing, and zonal pressure testing

- **Indoor Air Quality (IAQ)**
  - Capable of monitoring indoor air quality using approved, professional rated equipment
  - Capability of installing high Merv, efficient, low static pressure filtration systems
  - Capability of safely installing and tuning air-scrubber and similar air cleaning systems
  - Capability of installing or having installed moisture-prevention systems, such as crawlspace vapor barriers, landscape drainage systems, windows, roofing, etc.