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COMMISSION GUIDELINES

California Schools Healthy Air, Plumbing, and Efficiency Plumbing Program Guidelines

Second Edition

**Gavin Newsom, Governor
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ABSTRACT

The School Noncompliant Plumbing Fixture and Appliance Program is one of the two grant programs under the School Energy Efficiency Stimulus Program, established by Assembly Bill 841 (Ting, Chapter 372, Statutes of 2020). The program authorizes funding to local educational agencies and California state agencies for the replacement of plumbing fixtures and appliances to ensure that systems meet specified ENERGY STAR® and water efficiency requirements. These guidelines provide requirements for program participation including eligible applicants and projects, application process, funding awards and distribution, as well as project documentation and reporting requirements. For the purposes of administering the program, the program is referred to as the California Schools Healthy Air, Plumbing, and Efficiency Program. The second edition of these guidelines addresses the initial phase of program awards, which is limited to local educational agencies, and incorporates changes to project eligibility.

Keywords: School Energy Efficiency Stimulus, CalSHAPE, SEES, School Noncompliant Plumbing Fixture and Appliance Program, grant, energy efficiency, school, local educational agency, underserved community, plumbing, ENERGY STAR®, fixture, assessment

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CHAPTER 1:

Program Overview

A. Introduction

The School Energy Efficiency Stimulus (SEES) Program, established by Assembly Bill (AB) 841 (Ting, Chapter 372, Statutes of 2020), provides grants to local educational agencies (LEA) as defined in Table 1 to assess, maintain, adjust, repair, or upgrade heating, ventilation, and air-conditioning (HVAC) systems in schools. The SEES Program also provides grants to LEAs and California state agencies to replace noncompliant plumbing fixtures and appliances. AB 841 requires the California Energy Commission (CEC) as the program administrator to design, administer, and implement the program in collaboration with the utilities providing funding for the program. The SEES Program is comprised of the School Reopening Ventilation and Energy Efficiency Verification and Repair (SRVEVR) Program and the School Noncompliant Plumbing Fixture and Appliance (SNPFA) Program. For administering these programs, the SNPFA Program is referred to as the California Schools Healthy, Air, Plumbing, and Efficiency (CalSHAPE) Plumbing Program. The SRVEVR Program is referred to as the CalSHAPE Ventilation Program.

These guidelines describe the program design, application process, and reporting requirements for the CalSHAPE Plumbing Program. The requirements of the CalSHAPE Ventilation Program are provided in separate guidelines.

These program guidelines provide applicants with information on program structure, applicant eligibility, and program requirements. All grant applicants and recipients are required to follow all program requirements, including those outlined in Public Utilities Code (PUC) Division 1, Part 1, Chapter 8.7 (commencing with Section 1600) and as further outlined in these guidelines.

The CalSHAPE Program is established as part of each of the utilities' energy efficiency portfolios as a joint program among all the participating utilities that shall be consistent across the utility territories. The CalSHAPE Ventilation and Plumbing Programs are separate programs, and grant awards will be made specific to each program.

The CEC prioritized schools in underserved communities, as defined in Table 1 below, in the first two funding rounds of the of the CalSHAPE Plumbing Program. This second edition of these guidelines expands the eligibility of the program awards to LEAs and projects for all schools located in the service territory of one of the four utilities, as defined in Table 1, that fund the CalSHAPE Program. The CEC will continually evaluate the effectiveness of the program guidelines in achieving the purposes of AB 841 and may publish new editions to update eligibility and prioritization as needed.

B. Keyword/Terms

Table 1 identifies the key words or terms used in the program guidelines.

Table 1: Key Words and Terms

Word/Term	Definition
AB	Assembly Bill
CalSHAPE Plumbing Program	The CalSHAPE Plumbing Program administers the requirements of the School Noncompliant Plumbing Fixture and Appliance Program as specified in Article 4 of Chapter 8.7 (commencing with Section 1630) of Part 1 of Division 1 of the PUC.
CalSHAPE Program	California Schools Healthy Air, Plumbing, and Efficiency Program, which includes two grant programs: CalSHAPE Plumbing Program and CalSHAPE Ventilation Program.
CalSHAPE Plumbing Program Guidelines	California Schools Healthy Air, Plumbing, and Efficiency Plumbing Program Guidelines
CalSHAPE Ventilation Program	The CalSHAPE Ventilation Program administers the requirements of the School Reopening Ventilation and Energy Efficiency Verification and Repair Program as specified in Article 3 of Chapter 8.7 (commencing with Section 1620) of Part 1 of Division 1 of the PUC.
CEC	California Energy Commission
CEQA	The California Environmental Quality Act found in California Public Resources Code Section 21000 et seq., and the CEQA Guidelines, promulgated by the California Natural Resources Agency, California Code of Regulations Title 14, Section 15000 et seq. CEQA generally requires state and local government agencies to inform decision makers and the public about the potential environmental impacts of proposed projects, and to reduce those environmental impacts to the extent feasible.
Contractor	A person or company with the appropriate license classification, as determined by the Contractors State License Board.
DIR	California Department of Industrial Relations
LEA	Local educational agency. A school district as defined in Section 41302.5 of the Education Code, a charter school that has been granted a charter pursuant to Part 26.8 (commencing with Section 47600) of Division 4 of Title 2 of the Education Code, or a regional occupational center established under Section 52301 of the Education Code that is operated by a joint powers authority and

	that has an active career technical education advisory committee pursuant to Section 8070 of the Education Code.
Noncompliant Appliance	Means all the following: (1) Any commercial dishwasher that was manufactured prior to January 1, 2010, that does not meet the efficiency requirement of the ENERGY STAR® Product Specification for Commercial Dishwashers, Version 1.1. (2) Any automatic commercial ice maker that was manufactured prior to January 1, 2010, that does not meet the efficiency requirement of the ENERGY STAR Product Specification for Automatic Commercial Ice Makers, Version 1.0. (3) Any commercial clothes washer that was manufactured prior to January 1, 2010, that does not meet the efficiency requirement of the ENERGY STAR Product Specification for Clothes Washers, Version 5.0.
Noncompliant Plumbing Fixtures	Has the same meanings as set forth in Section 1101.3 of the Civil Code, which is any of the following: (1) Any toilet manufactured to use more than 1.6 gallons of water per flush. (2) Any urinal manufactured to use more than one gallon of water per flush. (3) Any showerhead manufactured to have a flow capacity of more than 2.5 gallons of water per minute. (4) Any interior faucet that emits more than 2.2 gallons of water per minute.
Notice of proposed award	CEC notification to the LEA following approval of a grant application.
Notice of funding availability	A notice issued by the CEC to identify anticipated funding that will be made available in each round of CalSHAPE Program grants. The notice will provide relevant application dates and any funding restrictions applicable to that funding round.
Project	"Project" refers to all replacements of Noncompliant Plumbing Fixtures and Appliances that are funded by a School Plumbing Fixture and Appliance Replacement Grant at a site.
PUC	Public Utilities Code
School Plumbing Fixture and Appliance	A grant provided as part of the CalSHAPE Plumbing Program to fund the replacement of Noncompliant Plumbing Fixtures and Appliances.

Replacement Grants	
SEES Program	School Energy Efficiency Stimulus Program established pursuant to Section 1610 of Chapter 8.7 Article 1 of the PUC. For program administration purposes, the SEES Program will be referred to as the CalSHAPE Program.
Service territory requirement	Sites must be located in a participating utility's service territory to receive a CalSHAPE Program grant. PUC Section 1615(c) requires the CEC to ensure that moneys from each utility are used for projects located in the service territory of the utility from which the moneys are received.
Site	School where School Plumbing Fixture and Appliance Replacement Grant work will be performed.
Skilled and Trained Workforce	Has the same meaning as set forth in Section 2601 of the Public Contract Code.
Underserved Community	A community that meets one of the following criteria: (1) Is a "disadvantaged community" as defined by subdivision (g) of Section 75005 of the Public Resources Code. (2) Is included within the definition of "low-income communities" as defined by paragraph (2) of subdivision (d) of Section 39713 of Health and Safety Code. (3) Is within an area identified as among the most disadvantaged 25 percent in the state according to the California Environmental Protection Agency and based on the most recent California Communities Environmental Health Screening Tool, also known as CalEnviroScreen. (4) Is a community in which at least 75 percent of public school students in the project area are eligible to receive free or reduced-price meals under the National School Lunch Program. (5) Is a community located on lands belonging to a federally recognized California Indian tribe.
Utility or Utilities	Means both of the following: (1) An electrical corporation with 250,000 or more customer accounts within the state. (2) A gas corporation with 400,000 or more customer accounts within the state.

	This definition includes Pacific Gas and Electric Company (PG&E), Southern California Edison Company (SCE), San Diego Gas & Electric Company (SDG&E), and Southern California Gas Company (SCG).
Water-Conserving Appliance	Means any of the following: (1) A commercial dishwasher that meets the criteria of the ENERGY STAR Product Specification for Commercial Dishwashers, Version 2.0, or any revision to those criteria published by the United States Environmental Protection Agency that is adopted by the CEC for the program. (2) An automatic commercial ice maker that meets the criteria of the ENERGY STAR Product Specification for Automatic Commercial Ice Makers, Version 3.0, or any revision to those criteria published by the United States Environmental Protection Agency that is adopted by the Energy Commission for the program. (3) Any commercial clothes washer that meets the criteria of the ENERGY STAR Product Specification for Clothes Washers, Version 8.0, or any revision to those criteria published by the United States Environmental Protection Agency that is adopted by the Energy Commission for the program.
Water-Conserving Plumbing Fixtures	Has the same meanings as set forth in Section 1101.3 of the Civil Code, which is any fixture that complies with current building standards applicable to a newly constructed real property of the same type.

Source: California Energy Commission

C. Budget

Funding for the CalSHAPE Program comes from the energy efficiency budgets of California’s large electric and gas investor-owned utilities. Specifically, these utilities include electrical corporations with 250,000 or more customer accounts within the state and gas corporations with 400,000 or more customer accounts within the state, as determined by the California Public Utilities Commission (CPUC). These utilities are Pacific Gas and Electric Company (PG&E), Southern California Edison Company (SCE), San Diego Gas & Electric Company (SDG&E), and Southern California Gas Company (SCG).

The program will accumulate funding in 2021, 2022, and 2023. The annual funding for the program is derived from a combination of current year available funds and prior year unspent and uncommitted energy efficiency funds as described in PUC Section 1615(a). Each year, from 2021 to 2023, it is expected that the utilities will be required to prepare a joint advice letter detailing that year’s budget for CPUC approval. Funding awards must be distributed proportionally to each utility area based on program funds contributed by that utility and used

for projects located in the utility’s service territory. PG&E has both electric and gas service territories, and the available funding attributed to each service territory will be in accordance with the energy efficiency portfolio budget recovery electric and gas funding percentages provided by PG&E in the utilities’ joint advice letter to the CPUC.

The CEC will allocate the available funding contributed by each utility using five funding categories. The funding category available to each school site is determined based on the utility service territory in which the site is located. Table 2 identifies the funding categories and the associated utility service territories from which an award will be made. All projects funded by a program grant must meet the same requirements, as described by these guidelines, regardless of funding category.

The CEC will provide notices of annual budget accrual, total program funding, and available funds for each funding category at least once per year. Funds are allocated to the two grant programs per PUC Section 1616, with 75 percent to CalSHAPE Ventilation and 25 percent to CalSHAPE Plumbing.

Table 2: Utility Service Territory Funding Categories

Funding Category	Utility Service Territories
PG&E Electric	PG&E electric/PG&E gas PG&E electric/Nonparticipating utility gas PG&E electric/SCG gas
PG&E Gas	Nonparticipating utility electric/PG&E gas
SCE	SCE electric/Nonparticipating utility gas SCE electric/SCG gas
SCG	Nonparticipating utility electric/SCG gas
SDG&E	SDG&E electric/SDG&E gas SDG&E/Nonparticipating utility gas SDG&E electric/SCG gas

Source: California Energy Commission

Following PUC Section 1615(e), the CEC shall return all unused funds to each utility by December 1, 2026. To accomplish this, all projects, reporting, and reconciliation must be completed, and any unused funds returned to the CEC as described in Chapter 4. LEAs will be provided instructions for returning any unused funds to the CEC.

D. CalSHAPE Plumbing Eligibility

1. Eligible Applicants

California LEAs are eligible applicants for grants. An LEA is defined as any of the following:

- a. A school district as defined in Section 41302.5 of the Education Code, which includes:
 1. County boards of education.
 2. County superintendents of schools.
 3. Direct elementary and secondary level instructional services provided by the state, including the Diagnostic Schools for Neurologically Handicapped Children as established under Article 1 (commencing with Section 59200) of Chapter 3 of Part 32 of the Education Code.
- b. A charter school that has been granted a charter following Part 26.8 (commencing with Section 47600) of Division 4 of Title 2 of the Education Code.
- c. A regional occupational center established pursuant to Section 52301 of the Education Code that is operated by a joint powers authority and that has an active career technical education advisory committee pursuant to Section 8070 of the Education Code.

California LEAs may apply for funding to be used for projects at schools that are in the service territory of the utilities as defined herein. LEAs must demonstrate that each site meets service territory requirements. CEC staff will verify submitted information as needed to ensure compliance with the service territory requirements.

Authorized third parties may complete applications on behalf of LEAs but may not sign or enter into agreements on behalf of LEAs. A letter of authorization from the LEA, specifying any authority or responsibility delegated to the third party, is required as part of the application package. No funding will be provided for the costs of completing an application for funding or for third-party consultant fees for application or project-related work.

2. Utility Service Territories and Application Tiers

PUC Section 1615(c) states that CEC shall ensure that moneys from each utility are used for projects within the service territory from which the money is received; for example, the funds collected from PG&E will be distributed in PG&E territory.

For implementing the program, CEC has established an approach based on the method employed for the CEC's Energy Conservation Assistance Act — Education Subaccount (ECAA-Ed) Competitive Loan Program to ensure that program funds are available to a range of LEAs within each utility service territory. LEAs in each utility service territory funding category are divided into three tiers based on LEA student enrollment. LEA tiers are detailed in Table 3.

Table 3: LEA Tier by Enrollment Numbers

Tier	Number of Students
1	Fewer than 1,000
2	Between 1,000 and 5,000
3	More than 5,000

Source: California Energy Commission

LEAs will be included in one or more of the application tiers as detailed in Table 4 corresponding to a utility service territory funding category and the size of the LEA.

Table 4: LEA Application Tiers

Tier	PG&E Electric	PG&E Gas	SCE	SDG&E	SCG
1	PG&E-E1	PG&E-G1	SCE1	SDG&E1	SCG1
2	PG&E-E2	PG&E-G2	SCE2	SDG&E2	SCG2
3	PG&E-E3	PG&E-G3	SCE3	SDG&E3	SCG3

Source: California Energy Commission

3. Allocation of Funds Method

To allocate program funds for each program year, CEC will calculate the available funds by tiers presented in Table 4 for each utility service territory funding category. The calculation will be based on the final budget for each utility as approved by the CPUC for each program year as described in PUC Section 1615(a)(1).

CEC will allocate funds by application tier for each utility service territory funding category using the percentages shown in Table 5.

Table 5: Available Funds by Application Tier

Tier	PG&E Electric		PG&E Gas		SCE		SDG&E		SCG	
1	PG&E-E1:	10%	PG&E-G1:	10%	SCE1:	10%	SDG&E1:	10%	SCG1:	10%
2	PG&E-E2:	10%	PG&E-G2:	10%	SCE2:	10%	SDG&E2:	10%	SCG2:	10%
3	PG&E-E3:	80%	PG&E-G3:	80%	SCE3:	80%	SDG&E3:	80%	SCG3:	80%

Source: California Energy Commission

CEC will provide the amount of funds available for each utility's service territory and the funds available in each application tier in the notice of funding availability as described in Chapter 3, which will be issued for each funding round.

4. Funds Not Used in an Application Tier

If all funding originally allocated to a particular application tier is not disbursed at the conclusion of the applicable funding round, undisbursed funds may be reallocated to one or more other application tiers, or reserved for a future funding round depending on current and projected applicant demand. Consistent with PUC Section 1615(c), funds cannot be reallocated to fund projects from one utility service territory to another.

5. Eligible Schools

Beginning with the start of Funding Round Three, unless otherwise restricted in the notice of funding availability, all sites that meet the requirements for eligible schools in this section and are in the service territory of at least one of the utilities, as provided in Section C, are eligible for a School Plumbing Fixture and Appliance Replacement Grant award.

LEAs may apply for grants to conduct activities at schools that:

- a. Are on a site owned by the LEA.
- b. Are on a publicly owned site, such as a site owned by a school district or other public entity, whether the LEA has a lease with that entity.
- c. Are on a privately owned site for which there is a lease with a term that exceeds the program duration, ending after December 1, 2026.

LEAs must provide proof of ownership or complying leases. Information on the documentation that may be provided as proof of ownership or complying lease is provided in Chapter 3.B. Charter schools will be required to submit a certificate of good standing with the application package.

Sites that are located within the service territory of a community choice aggregator (CCA) or local publicly owned electric utility (POU) are not prohibited from participating in the program. School sites located within a CCA or POU may be eligible for funding based on the appropriate utility service territory funding category as described in Section C and Table 2.

The CEC reserves the right to limit eligibility to achieve statutory and other goals. The CEC will provide notification of any site eligibility changes or limitations in a funding round in the notice of funding availability or any updates to it.

6. Number of Applications

An LEA may submit up to three applications for program funds in each funding round. There is no restriction on how many sites an LEA can include in a single application. A site can be included only once in an application in each funding round. A site may be included more than once in applications that are submitted in different funding rounds provided each application is for the replacement of different noncompliant plumbing fixtures and appliances at the site.

7. Relationship to CalSHAPE Ventilation Applications and Awards

CalSHAPE Ventilation and CalSHAPE Plumbing are separate programs. LEAs are required to submit individual applications to participate in either program.

8. Multiple Sources of Funding

Participation in another program does not prevent participation in the program. However, an LEA receiving program funding may not receive additional funds from another program that, when combined with program funding, exceed the total cost of the project. Furthermore, program funds shall be used only for distinct, eligible costs described in these guidelines that are not funded by another funding source. CEC reserves the right to review and audit all grant and funding award documents to ensure compliance with this requirement

E. Schools in Underserved Communities

PUC Section 1612 requires the program offer funds to schools that are in an underserved community before schools that are not in an Underserved Community. The program defines an "underserved community" as meeting one of the following criteria:

1. Is a "disadvantaged community" as defined by Public Resources Code Section 75005(g).¹
2. Is included within the definition of "low-income communities" as defined by Health and Safety Code Section 39713(d)(2).²
3. Is within an area identified as among the most disadvantaged 25 percent in the state according to the California Environmental Protection Agency and based on the most

1 Public Resources Code Section 75005(g) defines "disadvantaged community" as a community with a median household income less than 80 percent of the statewide average.

2 Health and Safety Code Section 39713(d)(2) defines "low-income communities" as census tracts with median household incomes at or below 80 percent of the statewide median income or with median household incomes at or below the threshold designated as low income by the Department of Housing and Community Development's list of state income limits adopted under Health and Safety Code Section 50093.

recent California Communities Environmental Health Screening Tool, also known as CalEnviroScreen.

4. Is a community in which at least 75 percent of public school students in the project area are eligible to receive free or reduced-price meals under the National School Lunch Program.
5. Is a community located on lands belonging to a federally recognized California Indian tribe.

PUC Section 1612 requires that at least 25 percent of projects to be in underserved communities. To meet the statutory requirement that schools meeting one or more underserved community criteria be offered funding before other schools, CEC limited applications and awards for the first two funding rounds to schools meeting one or more of the underserved community criteria referenced in PUC Section 1601(e) and described in these guidelines.

Beginning with the start of Funding Round Three, the CEC will no longer offer priority awards to schools in underserved communities but reserves the right to limit eligibility to achieve statutory and other goals. The CEC will continue to identify sites that meet the criteria for underserved communities, listed above, for data collection purposes and to verify that statutory requirements are met.

CHAPTER 2:

Project Requirements

A. School Plumbing Fixture and Appliance Replacement Grants

An LEA may apply for a grant to fund the replacement of noncompliant plumbing fixtures and appliances with water-conserving plumbing fixtures and appliances.

Grant applications must specify the details of each site and provide contractor estimates for costs specific to each site. Awards will be made based on contractor's estimates. Additional details on application requirements are provided in Chapter 3.

School Plumbing Fixture and Appliance Replacement Grant funds can be used only for costs directly related to the replacement of the noncompliant plumbing fixtures and appliances with water-conserving plumbing fixtures and appliances as described in this chapter. More information on ineligible costs can be found in Chapter 3.H.

B. Noncompliant Plumbing Fixtures and Appliances

1. Noncompliant Plumbing Fixtures

Plumbing fixtures exceeding the following water usage levels as set forth in Section 1101.3 of the Civil Code shall be considered noncompliant:

- a. Any toilet manufactured to use more than 1.6 gallons of water per flush
- b. Any urinal manufactured to use more than one gallon of water per flush
- c. Any showerhead manufactured to have a flow capacity of more than 2.5 gallons of water per minute
- d. Any interior faucet that emits more than 2.2 gallons of water per minute

2. Noncompliant Appliances

Noncompliant appliances meeting one of the following conditions shall be considered noncompliant:

- a. Commercial dishwasher manufactured before January 1, 2010, that does not meet the efficiency requirement of the ENERGY STAR® Product Specification for Commercial Dishwashers, Version 1.1
- b. Any automatic commercial ice maker manufactured before January 1, 2010, that does not meet the efficiency requirement of the ENERGY STAR Product Specification for Automatic Commercial Ice Makers, Version 1.0
- c. Any commercial clothes washer manufactured before January 1, 2010, that does not meet the efficiency requirement of the ENERGY STAR Product Specification for Clothes Washers, Version 5.0

C. Application

Applicants will be required to provide documentation showing the existence of noncompliant plumbing fixtures or appliances with the application for a School Plumbing Fixture and Appliance Replacement Grant. The documentation must provide a description, list the respective efficiencies, and identify the noncompliant components of the plumbing fixtures and appliances that are included for replacement in the contractor estimate. This documentation will be used to determine which fixtures or appliances meet the noncompliant plumbing fixtures and appliances requirements listed in Chapter 2.B and are therefore eligible for replacement through the program.

The documentation included with the application shall include:

1. Name and address of site and person or contractor preparing and certifying any documents.
2. Documentation of the plumbing fixture and appliance equipment model number, serial number, general condition of unit, ENERGY STAR rating, and any additional information that could be used to assess replacement options given potential for increased water usage efficiency benefits.
 - a. If this information is unknown, the applicant may instead provide a written explanation and additional documentation that confirms the plumbing fixture or appliance qualifies as a noncompliant plumbing fixture or appliance. The documentation may include the following:
 1. A picture or video confirming the Energy Star rating or flow rate.
 2. A written letter stating the date the plumbing fixture or appliance was installed or general information on its approximate age.
3. The contractor-verified cost estimate for the replacement of all Noncompliant Plumbing Fixtures and Appliances included in the application.

D. Documentation of Completed Work

Upon completion of all work funded by a grant, the applicant must document the noncompliant plumbing fixture and appliance replacement at each site included in the grant. The documentation of completed work must include:

1. Name and address of site and person or contractor preparing and certifying information.
2. Description of noncompliant plumbing fixtures and appliances.
3. Verification that the applicant has installed water-conserving plumbing fixtures and appliances, as defined in Table 1. This verification must include the minimum water efficiencies for plumbing fixtures and minimum ENERGY STAR ratings for plumbing appliances.
4. The new water-use efficiencies for each of the replaced plumbing fixtures and appliances.

5. Verification that all work was performed by qualified personnel, including the provision of the contractor's name and license, and verification that all construction work has been performed by a skilled and trained workforce.

The respective ENERGY STAR databases can be found at the following locations:

1. ENERGY STAR Requirements for Dishwashers:
[Energy Star Commercial Dishwasher Requirement 1.1](#)
2. Energy Star Requirements for Commercial Ice Makers:
[Energy Star Requirements for Automatic Commercial Ice Makers 1.0](#)
3. ENERGY STAR Requirements for Commercial Clothes Washers:
[Energy Star Requirement for Commercial Clothes Washers Version 5.0](#)

E. Skilled and Trained Workforce Requirement

All construction work completed as a part of the School Plumbing Fixture and Appliance Replacement Grant must be performed by a skilled and trained workforce, which has the same meaning as in Section 2601 of the Public Contract Code. LEAs may use in-house staff to complete the work if the staff meets all skilled and trained workforce requirements.

F. Proper Disposal/Recycling Requirements

Grant recipients shall dispose or recycle all noncompliant plumbing fixtures, noncompliant appliances, or both in compliance with all local ordinances, standards, and requirements. Noncompliant plumbing fixtures and appliances are to be removed from service as part of this program and are not to be resold or reinstalled.

G. Grant Budget

The budget for each LEA grant award will be equal to the sum of approved individual site budgets for all sites included in the LEA grant application. Each site budget will be equal to the amount of the contractor estimate for eligible work to be completed at that site. CEC program staff will determine the approved site budget based on program requirements, including eligible cost requirements in these guidelines and SEES Program statutes. No additional funding will be awarded for costs that exceed the approved site budgets.

H. Payment of Prevailing Wage

The LEA shall ensure, to the extent applicable, the budget considers the payment of prevailing wages. These grants may be subject to public works requirements (Labor Code Section 1720 et seq.), a requirement of which is to pay prevailing wages. LEAs are responsible for complying with all applicable laws, which can include public works requirements.

Only the California Department of Industrial Relations (DIR) and courts of competent jurisdiction may issue legally binding determinations that a project is or is not a public works project. LEAs shall assume their projects are public works unless they obtain a determination to the contrary from DIR or an appropriate court. As such processes can be time-consuming,

please plan accordingly given the application deadline. Without such a determination, LEAs shall explain how they have included appropriate budgets for prevailing wages.

I. Project Term

For each School Plumbing Fixture and Appliance Replacement Grant project, the LEA will have up to 24 months to complete all work and submit the final documentation described in Chapter 4.

CHAPTER 3:

Grant Applications and Awards

This chapter provides information for participation in the initial phase of program awards including the application process, required application forms and supporting documentation, a description of the process used by the CEC to approve applications and determine grant awards, payment of funds, and project and reporting requirements.

The funding award amounts will be made based on a contractor's site-specific estimate for eligible work.

The CEC will issue a notice of funding availability identifying the anticipated funding to be made available in each round of grants. The notice of funding availability will identify any relevant application dates including the first and last date applications can be submitted and any funding restrictions applicable to that round of funding. Dates may be adjusted by the CEC through the issuance of a notice updating information.

A. Application Process

The application process has been designed to simplify the submission of an initial application. CEC will also provide an option for the LEA to receive reimbursement of incurred costs up to 50 percent of the total grant award after the CEC has accepted the LEA's application, countersigned the grant agreement, and reserved funds for use based on the costs in the submitted contractor estimate.

The application and award process generally follows the following steps.

1. The CEC issues a notice of funding availability with details of the total funding available, start and end dates for application acceptance, and the breakdown of funds by funding category and by tiers, as described in these guidelines.
2. LEAs submit grant applications electronically as required in the notice of funding availability.
3. The CEC will begin to review applications in the order that complete applications are received.
 - a. CEC staff will accept and review all applications submitted by the posted deadline.
 - b. At any time, should the CEC determine that all funds in a single funding category or tier or both have been reserved, the CEC may provide public notification of that determination but will continue to accept applications and identify LEAs that may be funded should additional funding become available.
4. The CEC will grant funding awards for complete applications, at which time funds will be reserved for the LEA for approved projects.

5. Incomplete applications and applications deemed not to have met the application requirements (collectively referred to as “noncompliant” applications) will not be considered.
 - a. The CEC will notify LEAs if an application is noncompliant, and the applicant may reapply during the open application period. Depending on the volume and timing of applications received, the CEC may not always be able to review and notify applicants of noncompliant applications during the open application period. Accordingly, applicants are encouraged to apply as early in the process as possible.
6. The CEC will issue a notice of proposed award to an LEA with a complete application. The LEA will be required to submit the additional required documents and complete and sign a grant agreement to reserve the grant award funding.
7. Once the CEC accepts the LEA’s final application documents, it will countersign the grant agreement and reserve funds for the LEA based on the costs in the submitted contractor estimate.
8. The LEA may thereafter request reimbursement for incurred costs of up to 50 percent of the total grant award. Any incurred costs greater than 50 percent of the total grant award will be included in the final invoice. For these guidelines, the term “incurred costs” is defined as an eligible expense for which the recipient has become liable (legally obligated) to pay.
9. All planned projects will also receive additional guidance on project completion, reporting, and invoice submittal.
10. All projects must adhere to the requirements provided in these guidelines and must use all required forms to receive a grant award and funding.

B. Application Package

Eligible applicants must submit a complete application package for a School Plumbing Fixture and Appliance Replacement Grant using the electronic submission process and system identified in the notice of funding availability issued by the CEC. The application package must include the following in the required form or formats. The information required in the application form is listed in Appendix A of these guidelines, and all forms will be made available for use in developing the application package on the [program web page](https://www.energy.ca.gov/programs-and-topics/programs/california-schools-healthy-air-plumbing-and-efficiency-program) (<https://www.energy.ca.gov/programs-and-topics/programs/california-schools-healthy-air-plumbing-and-efficiency-program>).

1. Applicant Details (Plumbing-1): LEA information including official name, address, responsible parties, contact information, description of LEA territory, and schools.
2. Overall Grant Request Summary (Plumbing-2): Grant site and budget summary page and status of all site-specific work, including start date and projected end date.
3. Site-Specific Details (Plumbing-3): Detailed information identifying all sites to be addressed by the grant, general site information, identification of the number and type

of Noncompliant Plumbing Fixtures and Appliances on site, project completion status, total site-specific estimate for replacement project.

4. The LEA self-certifies:
 - a. It will follow the program guidelines.
 - b. The information included in the application package is true and correct to the best of the LEA's knowledge.
 - c. It will obtain Division of the State Architect (DSA) project approval as applicable under California Code Regulations, Title 24.
 - d. It acknowledges that the expended funds may be subject to audit, including a financial audit.
 - e. It will comply with all reporting requirements.
 - f. It will comply with all School Plumbing Fixture and Appliance Replacement Grant terms and conditions.
 - g. All noncompliant plumbing fixtures and appliances will be disposed of or recycled in compliance with its own policies or other applicable state and local end-of-life management and recycling requirements.
 - h. It will comply with all skilled and trained workforce requirements.
 - i. All applicable DIR and Labor Code requirements on public works, including the payment of prevailing wage, will be followed.
 - j. It acknowledges that it may be subject to a post program site visit and measurement and evaluation study conducted by the CEC or its delegate.
5. Supporting documentation:
 - a. Site-specific contractor estimate supporting each site-specific amount requested.
 1. To be deemed complete, a contractor estimate must be itemized and include all required details.
 - b. Certificate of Good Standing for Charter School Applicants.
 - c. Letter of authorization for third-party applicants.
 - d. Acceptable documentation for proof of ownership or complying lease includes:
 1. For sites owned by a school district, a letter signed by a school district official or authorized staff with a list of the sites and an attestation that the sites are owned by the school district.
 2. For sites owned by a charter school, a copy of the property deed, county records, or other official public document that confirms the charter school's ownership of the site.
 3. For leased sites, a copy of the lease with a term that exceeds the program duration, ending after December 1, 2026. If the lease term does not end after December 1, 2026, the LEA may submit a letter of intent signed by the site

owner with a statement that the owner intends to renew the lease with the LEA for a term that ends after December 1, 2026.

C. Contractor Estimates

The amount requested in the application package may only be for reasonable costs of the replacement of noncompliant plumbing fixtures and appliances, as described in Chapter 2.

The contractor estimate must include a detailed site-specific budget, timeline, and a clear and accurate description of the work that will be provided. The site-specific budget needs to show cost estimates for the replacement of each plumbing fixture or appliance unit, which includes the materials and labor costs.

The LEA will be required to submit the original contractor estimate as part of the application package to demonstrate that all costs are reasonable for the work to be completed. The contractor estimate must include supporting documentation demonstrating that the scope of work is consistent with the requirements of these guidelines, as listed in Chapter 2.

Ineligible costs, as described in Chapter 3.I, cannot be included as part of the contractor estimate. Additional information consistent with these guidelines may be required from LEAs to complete the grant agreement after notification of the grant award.

The CEC does not have authority to authorize LEAs to use a particular procurement method for use of these funds. LEAs will have to rely on their own existing authority and shall comply with applicable law.

D. Application Review

Applications will be accepted only electronically through the CEC's electronic submission system, and all applications submitted will be identified by the date and time received. Any applications received after the noticed deadline will not be accepted, and a notice of rejection will be sent to the applicant. Any application forms or links and deadlines shall be described in the notice of funding availability. The CEC will not accept applications via email or fax. Applications must use the CEC's electronic submission system.

The CEC will review each submitted application package to ensure all the required information has been provided. An application with minor errors or inconsistencies that do not affect the completeness of the package may still be considered for funding. If an applicant or the CEC discovers any minor errors or inconsistencies, the applicant will be given 15 business days excluding state and federal holidays or until the application deadline, whichever occurs first, to resubmit the application to resolve the errors or inconsistencies. If the application is resubmitted, but there are remaining or additional errors or inconsistencies discovered in the application, the applicant will be given an additional 15 business days excluding state and federal holidays or until the application deadline, whichever occurs first, to resubmit the application to resolve the errors or inconsistencies. If the applicant does not resubmit the application in the allowed time frame, the application will be rejected.

If an application is rejected during the open application period, the LEA may revise and resubmit the application during the open application period. Depending on the volume and timing of applications received, the CEC may not always be able to review and notify applicants of errors during the open application period. If the applicant does resolve the errors or inconsistencies before the application deadline, the application will be approved or not be approved accordingly following to program requirements.

CEC staff will rank all approved applications by the date and time the final approved application was received. Grant applications will be processed until all available funds within each funding category and tier are awarded. Any approved grant applications received that exceed the amount of funds available in the current round of funding for the funding category and application tier will be placed in order of date and time received on a priority list for funding when funds become available.

E. Notice of Proposed Award and Execution of Grant Agreement

Following approval of an application, CEC staff will send a notice of proposed award to the successful LEA and request the following additional information to complete the grant agreement, consistent with these guidelines:

1. Payee Data Record (STD-204): Required for grant award payment.
2. An authorizing document from the governing body, such as a resolution authorizing acceptance of the award and entering award agreement.
3. A signed grant agreement indicating that the LEA has read and accepted the terms and conditions.

Failure to agree to the terms and conditions by taking actions such as failing to sign the grant agreement or indicating that acceptance is based on modification of the terms will result in rejection of the application. The CEC reserves the right to modify the terms and conditions prior to executing the grant agreement.

At the time the grant agreement is fully executed by the CEC, the grant award funding will be reserved for the LEA.

F. Payment of Grant Funds

The CEC expects to receive funding for the program from participating utilities quarterly. Payment to grantees depends on CEC receipt of funding.

The CEC will issue an email notice to approved grant applicants identifying the amount of the award. As noted above, the LEA will be awarded the amount requested, which must equal the total of each site-specific budget.

G. Timing of Payment

After the grant agreement is fully executed and the CEC has reserved funds for the project, the LEA may request, and the CEC may approve payment of, reimbursement of the LEA's incurred costs of up to 50 percent of the total grant award for all sites included in the grant

agreement. Payment will be issued by the State Controller's Office (SCO). SCO expects to be able to issue payments within four weeks once all required documentation is reviewed and approved by the CEC.

An LEA may submit up to four requests for reimbursement of incurred costs for each grant agreement at any time during the project term. An LEA may only submit one request per month and that request may include any number of sites. The aggregate amount of all requests for reimbursement of incurred costs may not exceed 50 percent of the total grant award, which may be identified as the "initial payment" amount in Exhibit B of grant agreements.

The remaining grant funds will be provided upon receipt and review of all final required documentation. If the LEA does not complete all the project requirements, all grant award funding shall be promptly returned to the CEC.

CEC staff will issue payment for the final invoice once and only when all final reporting is submitted and approved by CEC staff.

H. Reimbursement of Incurred Costs

Incurred costs eligible for reimbursement are costs for which the recipient has become legally obligated to pay and that comply with the terms of an executed grant agreement for a School Plumbing Fixture and Appliance Replacement Grant. Grantees will receive a notification after the execution of the grant agreement with specific information on the process to request reimbursement of incurred costs.

Grantees are required to provide proof of incurred costs with any request for reimbursement. The documentation must demonstrate that the costs are eligible for reimbursement, as described in these guidelines, are consistent with the grant agreement and terms and conditions, and qualify as incurred costs, as defined in Section A.

Documentation of incurred costs must provide site-specific information and be itemized to show both the material and labor costs for each plumbing fixture and appliance replacement listed in the grant agreement for which costs have been incurred. In addition, documentation of incurred costs must establish that all work performed complies with any applicable skilled and trained workforce and other labor requirements.

I. Ineligible Costs

Only direct costs and work performed in accordance with the terms of the grant agreement will be eligible for reimbursement. Costs not related to the replacement of the noncompliant plumbing fixtures and appliances, as defined in Chapter 2.B, are not eligible expenses.

Costs that are not reimbursable with grant funding include, but are not limited to:

1. Costs, other than those noted above, incurred outside the terms of the grant agreement with the CEC.
2. Purchase of equipment not an integral part of the project.

3. Replacement of existing funding sources for ongoing programs.
4. Costs stemming from DSA requirements.
5. Consultant fees.

CHAPTER 4:

Project Completion and Reporting

A. Completion of Projects

As noted, grant recipients will have 24 months to complete all replacement work and final documentation requirements. Although the CEC may issue a reminder of the project deadline, it is the grant recipients' responsibility to monitor project completion and meet all required documentation and invoicing deadlines.

LEAs shall submit final documentation electronically using the system or process required by the CEC at the time the documentation is due. The CEC will provide all forms, formats, and guidance needed to assist in documentation on the program web page.

B. Reporting

PUC Section 1618 states that the reduction in greenhouse gases (GHG) and energy savings attributed to a project funded by the CalSHAPE Program shall be attributed to the utility that provided those funds.

Energy and GHG savings are not a required element of the final documentation reporting on grant projects. Nonetheless, additional data or information may be requested from the grantee to allow the CEC to determine the GHG reductions and energy savings under PUC Section 1618. The LEA, contractor, licensed professional, or a combination thereof, shall cooperate with CEC staff or CEC consultants in any assessment of the energy and GHG savings of a project, including providing access to the project site and providing project and equipment information. The cost associated with any additional reporting or assessment will not be funded by a program grant.

C. Final Documentation and Invoice for Remaining Funds

After the project has been completed, the applicant will submit a final document package to the CEC that includes:

1. Detailed noncompliant plumbing fixture and appliance documentation, as specified in Chapter 2.C.
2. Documentation of installed plumbing fixtures and appliances, as specified in Chapter 2.D.
3. Final invoice(s) for all expended grant funds up to the original grant award amount for each site. The invoices must provide site specific information and be itemized to show both the material and labor costs for each plumbing fixture and appliance replacement listed in the grant agreement.

4. Additional reporting detail as required to calculate or confirm water-usage savings, energy-usage savings, or reduction in greenhouse gas emissions resulting from the project.
5. The LEA self-certifies:
 - a. It followed the program guidelines.
 - b. The information included in the final document package is true and correct to the best of the LEA's knowledge.
 - c. All California Environmental Quality Act (CEQA) requirements are completed.
 - d. It has obtained any required DSA project approvals as applicable under California Code Regulations, Title 24.
 - e. It acknowledges that the expended funds may be subject to an audit, including a financial audit.
 - f. It complied with all reporting requirements.
 - g. It complied with all School Plumbing Fixture and Appliance Replacement Grant terms and conditions.
 - h. All noncompliant plumbing fixtures and appliances have been disposed of or recycled in compliance with its own policies or other applicable state and local end-of-life management and recycling requirements.
 - i. It complied with all skilled and trained workforce and other labor requirements.
 - j. It complied with any applicable labor code requirements on the payment of prevailing wage.
 - k. All DIR requirements for public works, including payment of prevailing wages, were followed.
 - l. It commits to participate with the CEC or its delegate in the assessment of energy savings or GHG emission reductions, including providing access to project sites and project and equipment information.
 - m. It acknowledges that it may be subject to a post program site visit and measurement and evaluation study conducted by the CEC or its delegate.

D. Time Extension Requests

Grant recipients may request one-time extension to complete final reporting. The extension will be no more than six months and will not exceed the final program reporting deadline date of June 1, 2026.

CHAPTER 5:

Administration

A. Guidelines Authority

This program guidelines are adopted under Public Utilities Code Division 1, Part 1, Chapter 8.7 added by AB 841 (Ting, Chapter 372, Statutes of 2020), which directs the CEC to implement the CalSHAPE Plumbing Program as part of the CalSHAPE Program. Under PUC Section 1614(b), the Administrative Procedure Act (Chapter 3.5 [commencing with Section 11340] of Part 1 of Division 3 of Title 2 of the Government Code) does not apply to the adoption these guidelines.

B. Effective Date of Guidelines

These program guidelines are not effective until adopted by the CEC at a publicly noticed business meeting. The CEC will post the adopted [CalSHAPE Plumbing Program Guidelines, Second Edition](https://www.energy.ca.gov/programs-and-topics/programs/california-schools-healthy-air-plumbing-and-efficiency-program), on its website: <https://www.energy.ca.gov/programs-and-topics/programs/california-schools-healthy-air-plumbing-and-efficiency-program>. Applicants may also obtain the program guidelines by contacting CalSHAPE@energy.ca.gov.

C. California Environmental Quality Act

The CEC must comply with CEQA (Public Resources Code section 21000 et seq.; see also California Code of Regulations Title 14, Section 15000 et seq.), which generally requires public agencies to identify and consider potential environmental impacts of proposed projects. Applicants will be required to submit CEQA documentation as part of their application to determine CEQA compliance. Refer to Appendix A: Application and Forms for further information.

D. Division of the State Architect Review

The DSA provides design and construction oversight for school districts. To ensure buildings are safe and compliant with accessibility standards, the DSA must review and approve public school construction for compliance with the California Code of Regulations, Title 24, the California Building Code (CBC), when alterations or additions are made to existing buildings.

Certain equipment replacements and upgrades funded by the program might be exempt or excluded from DSA review and approval for structural safety, depending on the scope of work and estimated construction cost. To help LEAs determine the various requirements and possible exemptions, the DSA provides resources and guidelines on its [website](https://www.dgs.ca.gov/DSA/Resources/Page-Content/Resources-List-Folder/Plan-Review-Appointment-Process-for-School-Essential-Services-Construction-Project) at <https://www.dgs.ca.gov/DSA/Resources/Page-Content/Resources-List-Folder/Plan-Review-Appointment-Process-for-School-Essential-Services-Construction-Project>.

In cases where DSA review is required, the DSA will verify that the original building construction was certified before it can issue approval of plans for alterations on that building.

DSA regional office staff can help LEAs identify whether a particular building is suitably certified and what steps are required to achieve certification. LEAs are advised to consider DSA requirements early in their planning for plumbing fixture and appliance replacements and contact the appropriate DSA regional office with jurisdiction over the area in which the project is located.

Visit the DSA Project Submittal Planning page for more information regarding plan submission at the Plan Review Appointment Process.

E. Enforcement

In addition to any other rights the CEC has, the CEC can take any of the following actions necessary to enforce the CEC's rights and program requirements.

1. Recovery of Overpayment

The CEC may direct its chief counsel to commence formal legal action against any applicant, former applicant, or recipient to recover any portion of a payment under a grant agreement that the executive director determines the applicant, former applicant, or recipient was not otherwise entitled to receive, retain (that is, advanced funds), or spend in the manner it was spent.

2. Fraud and Misrepresentation

The executive director may initiate an investigation of any applicant that the executive director has reason to believe may have misstated, falsified, or misrepresented information in submitting an application, payment request, or any reporting or other information required under the program. Based on the results of the investigation, the executive director may take any action deemed appropriate, including, but not limited to, cancellation of the reservation of funds, termination of the award or award agreement, recovery of any overpayment, and, with the concurrence of the CEC, recommending the Attorney General initiate an investigation and prosecution under Government Code Section 12650, et seq., or other provisions of law.

3. Noncompliance With Agreement

The CEC may seek remedies for noncompliance with agreement terms, work scope, and project milestones, including, but not limited to, stop work, termination, withholding requested payments, recovery of funds, or any other administrative or civil action.

F. Use and Disclosure of Information and Records and Confidentiality

With very few exceptions, all project documents submitted to the CEC or its technical consultant(s), including as part of any audit, are considered public records subject to disclosure under the California Public Records Act. The CEC or other state agencies may also use any of these documents or information for any purpose, including to determine eligibility and compliance with the CalSHAPE Program, applicable law, or a particular solicitation or guideline document; evaluate related or relevant programs or program elements; or prepare

reports. These documents and information include, but are not limited to, applications for funding, the agreement itself, invoices and any documentation submitted in support of applications, all agreement deliverables, final project report, and documents prepared for other reporting requirements, materials and documents developed as part of technology transfer activities.

If the CEC requires an applicant or recipient to provide copies of records that the recipient believes contain confidential/proprietary information entitled to protection under the California Public Records Act or other law, the recipient may request that such records be designated confidential according to the CEC's regulations for confidential designation, Title 20, California Code of Regulations, Section 2505.

Applicants considering confidentiality should note that CalSHAPE funds are subject to information disclosure requirements to ensure transparency. Information concerning the identity of recipients and the grant amount is public information and will be disclosed according to the California Public Records Act. This information, as well as other public information, may also be disclosed through the CEC's website, another State of California agency website, or through other means.

The CEC can disclose confidential information and records to other governmental entities and policing authorities for civil and criminal investigation and enforcement.

G. Substantive Changes in Guidelines

After adoption, substantive changes to the adopted program guidelines may be made with the approval of the CEC at a publicly noticed meeting with no fewer than 15 days public notice. Unless stated otherwise in the resolution approving substantive changes, such changes shall take effect upon adoption by the CEC and shall apply to all CalSHAPE Plumbing Program applicants and applications, and existing grant agreements and projects. Substantive changes to design or requirements include, but are not limited to, program eligibility.

H. Nonsubstantive Changes in Guidelines

If the program guidelines require nonsubstantive changes, the CEC will provide a notice of the changes to the CalSHAPE list serve (school_ee_stimulus) and post the amended guidelines on the program web page.

APPENDIX A:

Application Forms

This appendix describes the information that will be required in the application form. The School Plumbing Fixture and Appliance Replacement Grant Application form will be completed and submitted by the LEA using the electronic submission process and system identified in the notice of funding availability issued by the CEC. The application form will be made publicly available for use in developing the application package on the [program web page](https://www.energy.ca.gov/programs-and-topics/programs/california-schools-healthy-air-plumbing-and-efficiency-program) (<https://www.energy.ca.gov/programs-and-topics/programs/california-schools-healthy-air-plumbing-and-efficiency-program>)

School Plumbing Fixture and Appliance Replacement Grant Application Form

- Application Information
 - Applicant name
 - Type of Entity/CDS Code
 - Application Region
 - Address
 - Contact information
 - Utility Provider(s)
- Project Information (Table format for multiple projects in LEA's application)
 - Type of project
 - School address
 - School size (classrooms/students)
 - Project description
- Project Schedule
 - Estimated start date
 - Estimated completion date
- Project Budget
- CEQA-related information
- Application Documents
- Self-Certifications

APPENDIX B:

Plumbing Application and Documentation Forms

This appendix describes the information that will be required in the application and final document package. The School Plumbing Fixture and Appliance Replacement Grant Application and final document package will be completed and submitted by the LEA using the electronic submission process and system identified in the notice of funding availability issued by the CEC. The documentation forms will be made publicly available for use in developing the application and final document package on the [program web page](https://www.energy.ca.gov/programs-and-topics/programs/california-schools-healthy-air-plumbing-and-efficiency-program) (<https://www.energy.ca.gov/programs-and-topics/programs/california-schools-healthy-air-plumbing-and-efficiency-program>).

- **Documentation Form for Appliances (checklist)**
 - Unit/Model No./Serial No./ENERGY STAR Rating/Other Information as described in Chapter 2.B
 - Cost to replace
 - Cost to dispose of old equipment
 - Labor cost
- **Documentation Form for Fixtures (checklist)**
 - Unit/Model No./Serial No./Water Usage/Other Information as described in Chapter 2.B
 - Cost to replace
 - Cost to dispose of old equipment
 - Labor cost
- **Documentation of Completed Work Form for Appliances**
 - New Unit/Model No./Serial No./ENERGY STAR Rating
 - Completed invoice
- **Documentation of Completed Work Form for Fixtures**
 - New Unit/Model No./Serial No./Water Usage
 - Completed invoice

APPENDIX C: Additional References

[Assembly Bill No. 841](#) Energy: transportation electrification: energy efficiency programs: School Energy Efficiency Stimulus Program. (2019-2020) (Ting)

http://leginfo.legislature.ca.gov/faces/billTextClient.xhtml?bill_id=201920200AB841