

DOCKETED

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CEC-057 (Revised 1/21)



Notice of Availability and Request for Comment

Draft Third Edition Guidelines for California Schools Healthy Air, Plumbing, and Efficiency Ventilation Program

Docket # 20-RENEW-01

The Draft Third Edition Guidelines for the California Schools Healthy Air, Plumbing, and Efficiency (CalSHAPE) Ventilation Program (Draft Third Edition Guidelines) are available for review and comment. The Draft Third Edition Guidelines are posted for viewing on the [CalSHAPE program page](https://www.energy.ca.gov/programs-and-topics/programs/california-schools-healthy-air-plumbing-and-efficiency-program), at <https://www.energy.ca.gov/programs-and-topics/programs/california-schools-healthy-air-plumbing-and-efficiency-program>.

Background

Assembly Bill 841 (Ting, Chapter 372, Statutes of 2020) enacted the School Energy Efficiency Stimulus Program, which is referred to as the CalSHAPE Program, and includes two grant programs: the CalSHAPE Ventilation Program and the CalSHAPE Plumbing Program. The CalSHAPE Ventilation Program launched in fall 2021 and offers Assessment and Maintenance (A&M) Grants, which provide funding to assess, maintain, and repair ventilation systems in California schools. The *CalSHAPE Ventilation Program Commission Guidelines, Second Edition* (Second Edition Guidelines) were approved and adopted by the CEC on June 8, 2022.

Third Edition Draft Guidelines

The proposed Draft Third Edition Guidelines add requirements for the next phase of program awards, referred to as Upgrade and Repair (U&R) Grants. The U&R Grants will provide funding for the repair, upgrades, and replacements of HVAC systems in California schools.

Both a clean and an underline/strikethrough version of the Draft Third Edition Guidelines are available for review and comment on the [CalSHAPE program page](https://www.energy.ca.gov/programs-and-topics/programs/california-schools-healthy-air-plumbing-and-efficiency-program), at <https://www.energy.ca.gov/programs-and-topics/programs/california-schools-healthy-air-plumbing-and-efficiency-program>, or the [20-RENEW-01 docket](https://efiling.energy.ca.gov/Lists/DocketLog.aspx?docketnumber=20-RENEW-01), at <https://efiling.energy.ca.gov/Lists/DocketLog.aspx?docketnumber=20-RENEW-01>.

The proposed Draft Third Edition Guidelines are shown with proposed language appearing in bold underline and proposed deletions appearing in strikethrough as compared to the Second Edition Guidelines. In addition to non-substantive edits and format changes, the language changes to the Third Edition Draft Guidelines as compared to the Second Edition Guidelines are summarized below:

Abstract

- Modified language to announce the addition of requirements for the second phase of program awards, which is U&R Grants.

Second Edition Guidelines: The second edition of these guidelines addresses the initial phase of program awards, which is limited to assessment and maintenance projects for schools and incorporates changes to project eligibility.

Draft Third Edition Guidelines: The third edition of these guidelines addresses the initial phase of program awards, which is limited to assessment and maintenance projects for schools, and the subsequent phase of program awards for upgrade, repair, and replacement projects in schools.

- Similar changes were made to Chapter 1 – Section A
- Added language on the additional funding that was allocated to the program from the Greenhouse Gas Reduction Fund.

Second Edition Guidelines: (No language)

Draft Third Edition Guidelines: The program was allocated \$20 million from the greenhouse gas reduction fund and is therefore a part of California Climate Investments, a statewide initiative that puts billions of cap-and-trade dollars to work reducing greenhouse gas emissions, strengthening the economy, and improving public health and the environment — particularly in disadvantaged communities.

- Similar changes were made to Chapter 1 – Section B

Chapter 1, Section A: Introduction

- Added Table 1: CalSHAPE Ventilation Program Guidelines Version History.
- Moved Table 1: Key Words and Terms to the Glossary at the end of the Third Edition Draft Guidelines.

Chapter 1, Section B: Budget

- Moved subsections on the Application Tiers.

Second Edition Guidelines: Chapter 1, Section D.2 – Utility Service Territories and Application Tiers, Chapter 1, Section D.3 – Allocation of Funds Method, and Chapter 1, Section D.4 – Fund Not Used in an Application Tier

Draft Third Edition Guidelines: Chapter 1, Section B.2 – Utility Service Territories and Application Tiers, Chapter 1, Section B.3 – Allocation of Funds Method, and Chapter 1, Section B.4 – Fund Not Used in an Application Tier

Chapter 1, Section C: CalSHAPE Ventilation Eligibility

- Moved the language on schools in underserved communities.

Second Edition Guidelines: Chapter 1, Section E – Schools in Underserved Communities

Draft Third Edition Guidelines: Chapter 1, Section C.2 – Eligible Schools

- Moved language on the number of applications allowed to be submitted in a funding round:

Second Edition Guidelines: Chapter 1, Section D.6 – Number of Applications

Draft Third Edition Guidelines: Chapter 3, Section B (for A&M Grants) and Chapter 6, Section B (for U&R Grants)

Chapter 1, Section D: Skilled and Trained Workforce Requirement

- Moved the language on the requirement to use a skilled and trained workforce.

Second Edition Guidelines: Chapter 2, Section I – Skilled and Trained Workforce Requirement

Draft Third Edition Guidelines: Chapter 1, Section D – Skilled and Trained Workforce Requirement

Chapter 1, Section E: Payment of Prevailing Wage:

- Moved the language on the payment of prevailing wage.

Second Edition Guidelines: Chapter 2, Section L – Payment of Prevailing Wage

Draft Third Edition Guidelines: Chapter 1, Section E – Payment of Prevailing Wage

Chapter 1, Section F: Application Process

- Moved the general description of the application process.

Second Edition Guidelines: Chapter 3, Section A – Application Process

Draft Third Edition Guidelines: Chapter 1, Section F – Application Process

Chapter 1, Section G: Application Review

- Moved the general description of the process used by CEC staff to review applications.

Second Edition Guidelines: Chapter 3, Section D – Application Review

Draft Third Edition Guidelines: Chapter 1, Section G – Application Review

Chapter 2, Section B: HVAC Assessment and Maintenance Pathway Requirements

- Modified language that described U&R Grants as a future phase of awards to specify the chapters in which U&R Grant requirements are located.

Second Edition Guidelines: Grant funding for repairs and replacements identified in the HVAC Assessment and Verification Reports in excess of the 20 percent contingency amount might be eligible for an award in a future phase of program awards as part of an HVAC Upgrade and Repair Grant.

Draft Third Edition Guidelines: Grant funding for repairs and replacements identified in the HVAC Assessment and Verification Reports in excess of the 20 percent contingency amount might be eligible for a U&R Grant award. The project requirements for U&R Grants are provided in Chapter 5.

- Similar changes were made to the following chapters:
 - Chapter 2 – Section D
 - Chapter 2 – Section F
 - Chapter 3
 - Chapter 3 – Section H

Chapter 3, Section A: Notice of Funding Availability

- Moved the language describing the notice of funding availability.

Second Edition Guidelines: Chapter 3: A&M Grant Applications and Awards

Draft Third Edition Guidelines: Chapter 3, Section A – Notice of Funding Availability

- Added language on contents of notice of funding availability.

Second Edition Guidelines: Dates may be adjusted by the CEC through the issuance of a notice updating information.

Draft Third Edition Guidelines: When issuing a notice of funding availability, CEC reserves the right to limit eligibility, or include a priority application period or other funding conditions, to achieve the program’s statutory requirements or other program goals. Dates, eligibility, and other details may be adjusted by the CEC through the issuance of a notice updating information.

Chapter 5: U&R Grants Project Requirements

- Added new chapter with the project requirements for U&R Grants.

Second Edition Guidelines: (No previous chapter)

Draft Third Edition Guidelines: Chapter 5: U&R Grants Project Requirements

Chapter 6: U&R Grants Applications and Awards

- Added new chapter that provides a description and the requirements of the application and award processes for U&R Grants.

Second Edition Guidelines: (No previous chapter)

Draft Third Edition Guidelines: Chapter 6: U&R Grants Applications and Awards

Chapter 7: U&R Grants Project Completion and Reporting

- Added new chapter with the reporting requirements for U&R Grants.

Second Edition Guidelines : (No previous chapter)

Draft Third Edition Guidelines: Chapter 7: U&R Grants Project Completion and Reporting

Chapter 8, Section G: Substantive Changes in Guidelines

- Added language explaining that all substantive changes to the guidelines will apply to all applicants, applications, existing grant agreements, and projects.

Second Edition Guidelines: Unless stated otherwise in the resolution approving substantive changes, such changes shall take effect upon adoption by the CEC.

Draft Third Edition Guidelines: 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 Ventilation Program applicants and applications, and existing grant agreements and projects.

Public Comment.

The CEC encourages the use of its electronic commenting system. e-commenting page for this docket [20-RENEW-01](https://efiling.energy.ca.gov/Ecomment/Ecomment.aspx?docketnumber=20-RENEW-01), at <https://efiling.energy.ca.gov/Ecomment/Ecomment.aspx?docketnumber=20-RENEW-01>. Enter your contact information and a subject title that describes your comment. Comments may be included in the "Comment Text" box or attached as a downloadable, searchable document in Microsoft® Word or Adobe® Acrobat®. The maximum file size allowed is 10 MB.

Written comments may be submitted to the Docket Unit by 5:00 p.m. on April 12, 2023.

Written comments, attachments, and associated contact information (including address, phone number, and email address) will become part of the public record of this proceeding with access available via any internet search engine. Written comments may

also be submitted by email. Include docket number 20-RENEW-01 and CalSHAPE Program in the subject line and email to docket@energy.ca.gov.

A paper copy may be mailed to:

California Energy Commission
Docket Unit, MS-4
Docket No. 20-RENEW-01
715 P Street
Sacramento, California 95814

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Media Inquiries. Email mediaoffice@energy.ca.gov or call (916) 654-4989.

General Inquiries: Email the CalSHAPE Program at CalSHAPE@energy.ca.gov.

Availability of Documents: Documents will be available on the [CalSHAPE Program webpage](https://www.energy.ca.gov/programs-and-topics/programs/california-schools-healthy-air-plumbing-and-efficiency-program), at <https://www.energy.ca.gov/programs-and-topics/programs/california-schools-healthy-air-plumbing-and-efficiency-program>, or at [20-RENEW-01 docket](https://efiling.energy.ca.gov/Lists/DocketLog.aspx?docketnumber=20-RENEW-01), <https://efiling.energy.ca.gov/Lists/DocketLog.aspx?docketnumber=20-RENEW-01>.

When new information is posted, an email will be sent to those subscribed to the CalSHAPE subscription topic. To receive these notices or notices of other email subscription topics, visit [Subscriptions](https://www.energy.ca.gov/subscriptions), at <https://www.energy.ca.gov/subscriptions>.

Dated: March 29, 2023, at Sacramento, California.

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Deputy Director

Subscriptions: California Schools Healthy Air, Plumbing, and Efficiency Program (CalSHAPE)