PERMIT REQUIREMENTS:

- A building permit is required for the following residential HVAC projects:
  - New HVAC installation
  - HVAC Changeout
  - Replacement of furnace, coil, FAU, or condenser
  - Relocation of an existing HVAC unit
  - Adding or replacing more than 40 feet of ducting

- Permits are issued to either the property owner with a completed Owner/Builder form or to California licensed C-20 contractor with a current City of Stockton Business License.

- Permits can be obtained at the Community Development Department Permit Center.
  - Located at 345 N. El Dorado St, Stockton, CA 95202
  - Office hours are from 8:00 a.m. to 4:30 p.m. Monday through Friday, closed alternate Fridays.

- Residential HVAC permits may also be submitted remotely by sending a complete digital package to expresspermits@stocktonca.gov

SUBMITTAL CHECKLIST:

- A. Completed Building Permit Application
- B. Energy Compliance Forms – See below
- C. Gas Pipe Sizing Calculations (if applicable)
- D. Completed Owner/Builder Form (if applicable)
- E. Authorization Letter from the licensed contractor for the individual picking up the permit (if applicable)
- F. Plans – Required for new units installed on a roof or in an attic

ENERGY CODE COMPLIANCE:

- Refer to the attached document from Energy Code Ace summarizing the minimum required equipment efficiencies.
- Refer to the attached document from Energy Code Ace summarizing the requirements for HVAC alterations.
- Altered or new/replacement cooling systems trigger the installation of a setback thermostat.
- Newly installed or replaced ducts must have a minimum insulation value of R-6.
- Duct sealing and testing (HERS measure) is required for both altered and new/replacement duct systems.

FORMS:

- CF1R-ALT-02-E
  - Required at time of permit application. Must be registered with a HERS provider prior to permit application.
- CF2R-MCH-01 & CF3R MCH Forms
  - Completed and signed by the installing contractor and made available for final inspection by the Building Department. Must be registered with a HERS provider.
Gas- and Oil-Fired Central Furnaces – Minimum Heating Efficiencies

<table>
<thead>
<tr>
<th>Appliance</th>
<th>Rated Input (Btuh)</th>
<th>Minimum Efficiency (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Weatherized gas central furnaces with single phase electrical supply</td>
<td>&lt;225,000</td>
<td>81%</td>
</tr>
<tr>
<td>Non-weatherized gas and oil central furnaces with single phase electrical supply</td>
<td>&lt;225,000</td>
<td>80%</td>
</tr>
<tr>
<td>Weatherized oil central furnaces with single phase electrical supply</td>
<td>&lt;225,000</td>
<td>78%</td>
</tr>
<tr>
<td>Non-weatherized oil central furnaces with single phase electrical supply</td>
<td>&lt;225,000</td>
<td>83%</td>
</tr>
<tr>
<td>Gas central furnaces</td>
<td>≥225,000</td>
<td>—</td>
</tr>
<tr>
<td>Oil central furnaces</td>
<td>≥225,000</td>
<td>— 81%</td>
</tr>
</tbody>
</table>

Table 4-1 of 2019 Residential Compliance Manual (based on the California Appliance Efficiency Regulations Title 20, Tables E-5 and E-6)

Heat Pump – Minimum Heating Efficiencies

<table>
<thead>
<tr>
<th>Configuration</th>
<th>Size (Btuh)</th>
<th>Minimum Heating Efficiency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Packaged</td>
<td>&lt;65,000 Cooling Capacity</td>
<td>8.0 HSPF</td>
</tr>
<tr>
<td>Split</td>
<td>&lt;65,000 Cooling Capacity</td>
<td>8.2 HSPF</td>
</tr>
<tr>
<td>Space-constrained packaged</td>
<td>&lt;65,000 Cooling Capacity</td>
<td>7.4 HSPF</td>
</tr>
<tr>
<td>Space-constrained split</td>
<td>&lt;65,000 Cooling Capacity</td>
<td>7.4 HSPF</td>
</tr>
<tr>
<td>Small Duct High Velocity</td>
<td>&lt;65,000 Cooling Capacity</td>
<td>7.2 HSPF</td>
</tr>
</tbody>
</table>

Note – HSPF: Heating Season Performance Factor

Adapted from Table 4-3 of 2019 Residential Compliance Manual (based on Title 20)
### (Smaller) Central Air Conditioners and Heat Pumps — Minimum Cooling Efficiencies

<table>
<thead>
<tr>
<th>Appliance</th>
<th>Type</th>
<th>Size (Btuh)</th>
<th>SEER Effective 1/1/2015</th>
<th>EER Effective 1/1/2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Central Air Conditioners</td>
<td>Split System</td>
<td>&lt;45,000</td>
<td>14.0</td>
<td>12.2</td>
</tr>
<tr>
<td></td>
<td></td>
<td>≥45,000 and &lt;65,000</td>
<td>14.0</td>
<td>11.7</td>
</tr>
<tr>
<td></td>
<td>Single Package</td>
<td>&lt;65,000</td>
<td>14.0</td>
<td>11.0</td>
</tr>
<tr>
<td>Central Air Source Heat Pumps</td>
<td>Split System</td>
<td>&lt;65,000</td>
<td>14.0</td>
<td>NR</td>
</tr>
<tr>
<td></td>
<td>Single Package</td>
<td>&lt;65,000</td>
<td>14.0</td>
<td>NR</td>
</tr>
<tr>
<td>Space Constrained Air Conditioner</td>
<td>Split System</td>
<td>&lt;65,000</td>
<td>12.0</td>
<td>NR</td>
</tr>
<tr>
<td></td>
<td>Single Package</td>
<td>&lt;65,000</td>
<td>12.0</td>
<td>NR</td>
</tr>
<tr>
<td>Space Constrained Heat Pump</td>
<td>Split System</td>
<td>&lt;65,000</td>
<td>12.0</td>
<td>NR</td>
</tr>
<tr>
<td></td>
<td>Single Package</td>
<td>&lt;65,000</td>
<td>12.0</td>
<td>NR</td>
</tr>
<tr>
<td>Small Duct, High Velocity Air Conditioner</td>
<td>All</td>
<td>&lt;65,000</td>
<td>12.0</td>
<td>NR</td>
</tr>
<tr>
<td>Small Duct, High Velocity Heat Pump</td>
<td>All</td>
<td>&lt;65,000</td>
<td>12.0</td>
<td>NR</td>
</tr>
</tbody>
</table>

Adapted from Table 4-6 from 2019 Residential Compliance Manual (based on Title 20 Table C-3 and Federal Appliance Standards)

### Federally Regulated Residential Water Heaters — Minimum Domestic Hot Water (DHW) Efficiencies

<table>
<thead>
<tr>
<th>Product Class</th>
<th>Rated Storage Volume/Input Rating (if applicable)</th>
<th>Draw Pattern</th>
<th>Uniform Energy Factor (UEF) Minimum Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gas-fired Storage Water Heater (≥20 gal and ≤55 gal)</td>
<td>40 gallon Medium</td>
<td>0.5803</td>
<td></td>
</tr>
<tr>
<td></td>
<td>50 gallon Medium</td>
<td>0.5633</td>
<td></td>
</tr>
<tr>
<td></td>
<td>40 gallon High</td>
<td>0.64</td>
<td></td>
</tr>
<tr>
<td></td>
<td>50 gallon High</td>
<td>0.627</td>
<td></td>
</tr>
<tr>
<td>Gas-fired Storage Water Heater (&gt;55 gal and ≤100 gal)</td>
<td>60 gallon Medium</td>
<td>0.7657</td>
<td></td>
</tr>
<tr>
<td></td>
<td>70 gallon Medium</td>
<td>0.7617</td>
<td></td>
</tr>
<tr>
<td></td>
<td>80 gallon Medium</td>
<td>0.7577</td>
<td></td>
</tr>
<tr>
<td></td>
<td>90 gallon</td>
<td>0.7537</td>
<td></td>
</tr>
<tr>
<td></td>
<td>100 gallon High</td>
<td>0.7497</td>
<td></td>
</tr>
<tr>
<td></td>
<td>60 gallon High</td>
<td>0.7892</td>
<td></td>
</tr>
<tr>
<td></td>
<td>70 gallon High</td>
<td>0.7862</td>
<td></td>
</tr>
<tr>
<td></td>
<td>80 gallon High</td>
<td>0.7832</td>
<td></td>
</tr>
<tr>
<td></td>
<td>90 gallon</td>
<td>0.7802</td>
<td></td>
</tr>
<tr>
<td></td>
<td>100 gallon High</td>
<td>0.7772</td>
<td></td>
</tr>
<tr>
<td>Instantaneous Gas-fired Water Heater</td>
<td>&lt;2 gal and &gt; 50,000 Btuh</td>
<td>Low/Medium/High</td>
<td>0.81</td>
</tr>
<tr>
<td>Instantaneous Electric Water Heater</td>
<td>&lt;2 Gal</td>
<td>Very Small/Low/Medium</td>
<td>0.91</td>
</tr>
<tr>
<td>Grid-enabled Water Heater</td>
<td>80 gallon</td>
<td>High</td>
<td>0.916</td>
</tr>
<tr>
<td></td>
<td>90 gallon</td>
<td>High</td>
<td>0.909</td>
</tr>
<tr>
<td></td>
<td>100 gallon</td>
<td>High</td>
<td>0.902</td>
</tr>
</tbody>
</table>

Note — Vr= Rated Storage Volume — the water storage capacity of a water heater (in gallons).

From Table 5-4 of the 2019 Residential Compliance Manual (per U.S. Department of Energy)
What is a Residential HVAC Alteration?
A residential HVAC alteration is any change to a home's space-conditioning system that is regulated by the 2019 California's Building Energy Efficiency Standards (Energy Code), Title 24, Part 6 which include systems that provide heating or cooling within or associated with conditioned spaces in a home. Title 24, Part 6 includes requirements for alterations affecting residential space-conditioning systems, which are generally categorized in the following three groups:

- Altered or Replaced Duct Systems
- Altered Space-Conditioning System
- Entirely New or Complete Replacement Space-Conditioning System

Why?
As much as half of the energy used in a typical home goes to heating and cooling. Ensuring that HVAC systems are as efficient as possible can result in significant energy savings.

Relevant Code Sections
2019 California Building Energy Efficiency Standards, Title 24, Part 6:
- Section 110.2 – Mandatory Requirements for Space-Conditioning Equipment
- Section 150.0 – Mandatory Features and Devices
  - 150.0(h) – Space-Conditioning Equipment
  - 150.0(i) – Thermostats
  - 150.0(m) – Air-Distribution and Ventilation System Ducts, Plenums, and Fans
  - 150.0(j) – Suction Line Insulation
- Section 150.1 – Performance and Prescriptive Compliance Approaches for Newly Constructed Residential Buildings
- Section 150.2 – Energy Efficiency Standards for Additions and Alterations to Existing Low-Rise Residential Buildings
  - 150.2(b)1C – New or Complete Replacement Space-Conditioning System
  - 150.2(b)1D – Altered Duct Systems - Duct Sealing
  - 150.2(b)1E – Altered Space-Conditioning System - Duct Sealing
  - 150.2(b)1F – Altered Space-Conditioning System - Mechanical Cooling
  - 150.2(b)1G – Water-Heating System
- Residential Compliance Manual, Chapter 4 – HVAC Building Requirements

What is an Altered Duct System?

- Extension of Existing Ducts
  - >40 ft of extended duct system
  - any altered ducts in garage spaces
- Entirely New or Replacement Ducts
  - ≥75% of new duct system
  - Up to 25% existing duct system components may be reused, if accessible and can be sealed

Note: ≤40 ft of altered or extended duct does not trigger compliance documentation or duct leakage testing, unless it is in the garage. If ≤40 ft and not in garage, it must meet mandatory R-6 insulation only.

Table 150.2-A Duct Insulation R-Value

<table>
<thead>
<tr>
<th>Climate Zone</th>
<th>1 through 10, 12 &amp; 13</th>
<th>11, 14 through 16</th>
</tr>
</thead>
<tbody>
<tr>
<td>Duct R-Value</td>
<td>R-6</td>
<td>R-8</td>
</tr>
</tbody>
</table>

Figure 1: Altered or Replaced Duct Systems (Duct Sealing): §150.2(b)1D
What is an Altered Space-Conditioning System?

If the alteration is not a complete replacement of the space conditioning system but one or more of the following components is installed or replaced, it is considered an Altered Space-Conditioning System.

- Any refrigerant-containing component, including:
  - Cooling coil
  - Condenser coil
  - Compressor Refrigerant piping
  - Refrigerant metering device
  - Outdoor condensing unit

OR

- Air handler

Acceptable fuel types for replacement space-conditioning systems include:

- Natural gas
- Liquified petroleum gas
- The fuel type of the system being replaced

If the fuel type of the system being replaced is gas, the replacement space-conditioning system may be a heat pump.

Replacing other components is considered a repair - not an alteration. For example, replacing the blower wheel fan, but not the heat exchanger or air handler in the furnace, is a repair. Repairs do not trigger Title 24, Part 6 code requirements.

What is Entirely New versus Complete Replacement of a Space-Conditioning System?

When all of the following are installed or replaced:

- All the system heating/cooling components
- >75% new duct material

Setback Thermostats: §110.2

Only altered or new/replacement cooling systems trigger installation of setback thermostat. It is not required for heating-system-only replacements, unless the entire heating system including ducts is replaced, per Sections 150.0(i) and 150.2(b)c.

Equipment Efficiency: §110.2

Most heating and cooling equipment installed in California homes is regulated by the National Appliance Efficiency Conservation Act (NAECA) and/or the California Appliance Efficiency Regulations (Title 20).

Duct Sealing and Testing (HERS measure)

Duct Sealing and Testing (HERS measure) is required for both altered duct systems and new/replacement duct systems.

- **Extension of Existing Ducts >40 ft:** The measured leakage must be ≤15% of system air handler air flow. (There are alternatives to meeting the maximum 15% leakage. Consult your Building Department or Section 150.2(b)1Diib).
- **Altered Space Conditioning System:** The measured leakage must be ≤15% of system air handler air flow. (There are alternatives to meeting the maximum 15% leakage.
  Consult your Building Department or Section 150.2(b)1E). In addition, the system must have a cooling coil airflow >300 CFM per ton of nominal cooling capacity or > 250 CFM per ton of nominal cooling capacity for small high velocity systems and verified by the HERS Rater. Refrigerant Charge verification is Prescriptively required for Climate Zones 2 and 8-15.
- **New/Replacement Space Conditioning System:** The Duct Sealing and Testing (HERS measure) must demonstrate a leakage rate ≤5% of the system air handler airflow. In addition, verification of Cooling Coil Airflow and Fan Watt Draw (HERS measure) is required. Refrigerant Charge verification is Prescriptively required for Climate Zones 2 and 8-15.
- **Altered Ducts in Garage Spaces:** The measured leakage must be ≤6% of system air handler air flow. If measured leakage is not possible an alternative would be to have all accessible leaks sealed and verified through visual inspection and smoke tested by a certified HERS Rater.
Forms: Which & When

In addition to a permit, typically HVAC alterations require the following:

- CF1R: Certificate of Compliance: Alteration to an HVAC System
  - CF1R-ALT-02-E
    - Completed and signed by the installing contractor
    - Must be registered with a HERS Provider prior to permit application

- CF2R-MCH (Tables a-e): Certificate of Installation for Space Conditioning Systems, Ducts and Fans
  - Completed and signed by the installing contractor, and made available for final inspection by building department
  - Must be registered with a HERS Provider prior to final inspection

- CF3R-MCH Forms: Certificate of Verification
  - CF3R-MCH-20*-H: Certificate of Verification for Duct Leakage Diagnostic Test
    - Completed by the HERS rater and made available for final inspection by building department
    - Must be registered with a HERS Provider prior to final inspection
  
  - CF3R-MCH-22*-H: Certificate of Verification for Fan Efficacy
    - Completed by the HERS rater and made available for final inspection by building department
    - Must be registered with a HERS Provider prior to final inspection

  - CF3R-MCH-23*-H: Certificate of Verification for Airflow Rate
    - Completed by the HERS rater and made available for final inspection by building department
    - Must be registered with a HERS Provider prior to final inspection

  - CF3R-MCH-25*-H: Certificate of Verification Refrigerant Charge
    - Completed by the HERS rater and made available for final inspection by building department
    - Must be registered with a HERS Provider prior to final inspection

* Correct version (e.g., “a,” “b” and “c”) varies depending upon the project scope and approach used to demonstrate compliance
For More Information

Primary Sources
• Energy Code Section 110.2 – Mandatory Requirements for Space-Conditioning Equipment
• Energy Code Section 150.0 – Mandatory Features and Devices
• Energy Code Section 150.1 – Performance and Prescriptive Compliance Approaches for Newly Constructed Residential Buildings
• Energy Code Section 150.2 – Energy Efficiency Standards for Additions and Alterations to Existing Low-Rise Residential Buildings
• Energy Code Residential Compliance Manual, Chapter 4 – HVAC Building Requirements

California Energy Commission Information & Services
• Energy Code Hotline: 1-800-772-3300 (Free) or Title24@energy.ca.gov
• Online Resource Center:
  www.energy.ca.gov/programs-and-topics/programs/building-energy-efficiency-standards/online-resource-center
  – The Energy Commission’s main web portal for the Energy Code, including information, documents and historical information

Additional Resources
• Energy Code Ace:
  EnergyCodeAce.com
  – An online “one-stop-shop” providing free resources and training to help appliance and building industry professionals decode and comply with Title 24, Part 6 and Title 20. The site is administered by California’s investor-owned utilities.
  Of special interest:
  Trigger Sheets
  energycodeace.com/content/resources-trigger-sheets/
  • Residential HVAC Alterations 2019
Please register with the site and select an industry role for your profile in order to receive messages about all our free offerings!