

FOCUS ON ENERGY®

OPERATIONAL PROCEDURES GUIDE

Version #6.0

Effective Date: April 1, 2025

ORIENTATION

The Focus on Energy Operational Procedures Guide (Guide) provides procedural guidance to the Administrator and Implementers on how to implement the Focus on Energy Program (Focus). This Guide is intended to:

- Provide detailed explanations to the Administrator and Implementers on how to perform a certain Focus on Energy activity (e.g., submitting invoices; creating new measures; submitting marketing material for approval).
- Identify the Administrator Point of Contact(s) for each procedure.
- Provide links to related documents and resources.

This Guide is a contractual requirement referenced in Implementer contracts and must be followed. Any conflicts between the Implementer contract are governed by the following order of precedence:

- Main Contract Terms and Contract Exceptions (These terms prevail over other terms contained in the General Terms and Conditions).
- Attachment A: General Terms and Conditions.
- Attachment B: Scope of Work.
- Attachment C: Compensation Rate Table or Labor Rate Table for Time and Material (T&M) Contracts.
- Policy Manual, as amended or updated, incorporated by reference.
- Operational Procedures Guide, as amended or updated, incorporated by reference.

The Operational Procedures Guide will be reviewed for accuracy and relevancy annually, at a minimum. See [Modifying Governing Focus Documents](#) Procedure for additional detail. This is a living document; the latest version can be found on [The Grid](#).

Note: These standard policies and procedures are applicable to all Focus on Energy representatives, except where superseded or modified by the Managing Director. This document is uncontrolled when printed.

TABLE OF CONTENTS

ORIENTATION.....	1
TABLE OF CONTENTS	2
MARKETING & COMMUNICATIONS	4
Customer Service & Public Inquiries Via Zendesk or Shared Inboxes.....	5
Public Relations & Media Management	8
Marketing Material Approval.....	9
Formstack Form Requests	11
Social Media Management	13
Event Coordination	16
Membership & Sponsorship Coordination	19
Contests, Giveaways, and Participation Gifts	21
Donation Coordination.....	23
Artificial Intelligence (AI) Technology	24
Program Identification for Onsite Visits	26
PROGRAM MANAGEMENT	27
Implementer Procurement.....	28
Onboarding/Offboarding Implementers and Reseachers.....	30
Invoice Entry & Approval	31
Tracking & Reporting Days Incentive Outstanding (DIO).....	34
Tracking & Reporting Prescriptive Application Processing Time	37
Implementer Deliverables Guidance.....	39
Implementer Performance Reviews.....	45
Training Management & Collaboration.....	47
Trade Ally Registration Intake Procedure	50
Trade Ally Misconduct Procedure.....	54
System Access Requests.....	56
System Security & Reporting Phishing Attempts	60
Modifying Governing Focus Documents	62
Future Focus "Lite": Submitting Ideas & Collaboration	67
Emerging Technology Program Collaboration	69

INCENTIVE PROCESSING	71
Incentive Review & Approval.....	72
Annual Cap Exceptions.....	76
Project Pre-Approval.....	78
Claim-only Projects	80
Provisional Preapproval of Custom Projects	82
Custom Incentives for Rebuilt or Used Equipment	85
Project Post-Installation Inspections	89
Custom Projects with Delayed Savings Realization	92
Customer & Trade Ally SPECTRUM Account Management	94
Tracking Agriculture & Local Government Incentive Spend	98
Project Pipeline Management.....	100
Hand Delivering Incentive Checks	103
Check Reissues/Payment Corrections.....	104
ACH Payments.....	108
Incentive Application Exception Requests	112
Incentive Agreement Amendments	116
Supplemental Procedures	119
Document Retention and Destruction	121
MEASURE MANAGEMENT	122
Creating & Implementing New Measures	123
Updating Existing Measure Records	126
Adjustment Measures.....	128

MARKETING & COMMUNICATIONS

CUSTOMER SERVICE & PUBLIC INQUIRIES VIA ZENDESK OR SHARED INBOXES

Purpose

This procedure establishes the Administrator and Implementer procedures for responding to Customer or general public inquiries received via email, phone, chat, the online support form, social channels, or any other means.

Procedure

1. All Customer Service Representatives are required to make a reasonable attempt to respond to all public inquiries, including voicemails and online web inquiries, or reassign the Customer request to the appropriate party within one business day.
 - 1.1. The Administrator supports a toll-free number from 9 a.m. to 5 p.m. CT Monday through Friday that addresses public inquiries on Focus on Energy and incentive offerings; however, inquiries on specific programs are transferred to the respective Implementer for additional Customer assistance and information. If at any time the Implementer is unavailable to answer calls with a live Representative, Zendesk Voicemail is to be available utilizing an Administrator approved greeting.
 - 1.2. Customer Service Representatives will receive and are required to use a Zendesk phone number for all public-facing communication requests. Further, each Implementer with Customer Service Representatives set up with Zendesk Talk access will have at least one Agent logged into Zendesk and available from 9 a.m. to 5 p.m. CT Monday through Friday.

Customer callbacks should only be made during 9 a.m. to 5 p.m. CT unless the Customer has arranged or requested an alternate time.

Implementer will provide a list of staff members available to take live calls in Zendesk. All Customer Service Representatives working on Focus on Energy should have access to and be trained to manage Zendesk tickets, including documentation and returning voicemails within Focus on Energy instance of Zendesk.
 - 1.3. Customer Service Representatives will be available for Chat for their program group from 9 a.m. to 5 p.m. CT other than for breaks or meeting times when they are not physically at their workstation. If a Representative is not available for Chat their setting must be at Invisible to deter missed chats.

- 1.4. All emails to Customers or the general public should be sent from a Focus on Energy email account. Whenever possible, use Administrator-approved macro-templates and Focus on Energy Customer Service signature blocks.
- 1.5. The Focus on Energy Representative shall provide the Customer with appropriate information to resolve the inquiry or request in a professional and courteous manner.
 - 1.5.1. Some inquiries may require additional Focus on Energy Representative Support. Reference the [Energy Advisor Map](#) to determine Energy Advisor territories based on customer segment. To request changes to this map, the Implementer shall update the [EA Map Data](#) spreadsheet on The Grid, including name, email, phone and the date it was updated. The Implementer shall submit a Wrike ticket to update the website content and provide brief explanation of the needed updates.
2. When a Customer or general public inquiry is received by or routed to a designated Customer Service Representative, additional procedures apply:
 - 2.1. All calls and online web inquiries received by or routed through official Customer Service Representatives will be logged, tracked, and if possible, responded to in Zendesk. If any response is provided outside of the Zendesk ticket, the action taken, and resolution information must be added to the corresponding ticket.
 - 2.2. When greeting a caller, the Customer Service Representative shall obtain the caller's relationship to Focus on Energy, the incentive or service the caller is interested in, and verification of the caller's participating utility.
 - 2.3. If necessary, the Customer Service Representative shall assign a ticket in Zendesk to any additional parties necessary and transfer the caller to the appropriate party to address the question. Calls transferred to an Implementer that end up in their voicemail shall be responded to within one business day.
 - 2.4. All electronic text responses to Zendesk online request form, chat, or email communications are to be replied to by using the program-specific Focus on Energy email address, e.g., program@focusonenergy.com.
 - 2.5. Program-specific email inboxes are to have set rules in place to forward all incoming requests to support@focusonenergy.zendesk.com, when applicable.
3. If a caller acts inappropriately, is agitated, or discusses issues unrelated to Focus on Energy, the Customer Service Representative may politely hang up on the caller. High-level documentation of the interaction must be documented as an internal note in the Zendesk ticket and supervisor notified. **No further escalation**

to the Administrator is required unless the situation meets any of the following criteria:

- The person threatens to publicize or escalate the complaint to a third party.
 - The person identifies themselves as a representative of a public office.
 - The person identifies themselves as a member of the media.
 - The person requests escalation.
- 3.1. Issues meeting these criteria must be escalated immediately to the Administrator's Administrative Manager via email and include the following details:
- Name and contact information of the person with the complainant or issue.
 - Date and time the issue was received.
 - A detailed description of the issue.

Administrator Point of Contact	lynn.voie@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 03/15/24: Added Chat guidance in step 1. and minor edits. 04/01/25: Updated call escalation guidance.

PUBLIC RELATIONS & MEDIA MANAGEMENT

Purpose

The procedure establishes the process for delivering Focus on Energy's public relations (PR) and media management efforts.

Procedure

1. Administrator PR Manager serves as the primary Point of Contact for media inquiries and engagement related to Focus on Energy, engaging Implementers for support, as determined necessary.
2. Implementers shall forward all media requests to the Administrator Point of Contact when contacted within one business day and BEFORE speaking to any reporter.
3. Implementers may submit or request collaboration on PR or media content by completing the [Success Story Template](#) and submitting it to the Administrator Point of Contact. Priority will be given to stories that contain:
 - Unique projects or perspectives.
 - Compelling stories and people.
 - High quality visuals, both video and photographic.
4. Administrator Point of Contact will ensure PR and media collateral is archived on [The Grid](#).

Administrator Point of Contact	ron.giordan@focusonenergy.com and CC: chris.schultzbuechner@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024.

MARKETING MATERIAL APPROVAL

Purpose

The procedure establishes the approval process for Focus on Energy marketing and outreach materials.

Procedure

1. All marketing materials, including co-branded materials, must adhere to the [Focus on Energy Brand Standards & Guidelines](#).
2. During a scheduled marketing/PR event, photographs, and quotes from an individual that will be included in Focus on Energy marketing requires documented approval from the person who is quoted, photographed or in a video via an executed [Photo/Video/Text Customer Information Release Form](#). Completed forms are to be archived and uploaded to [The Grid](#).
3. Press releases approved by the Public Service Commission of Wisconsin (PSC) will be issued by the Administrator, unless the release is targeted to a specific publication or community. Exceptions will be handled on a case-by-case basis by the Administrator's PR Manager.
4. Implementers submits Focus on Energy marketing materials, conference abstracts and presentations, and communications content for review and approval via Wrike. Requests must be submitted at least 10 business days prior to the intended release of the material.
 - 4.1. Immaterial changes to marketing pieces that previously received approval from the Administrator and do not reflect any programmatic or content changes do not need to be re-routed for approval, unless requested (e.g., date changes, incorrect addresses, changes in contact information, misspellings).
 - 4.2. PowerPoint templates and standardized slide content shall be updated by Implementers as new materials are released by the Administrator and upon request. The first use of new templates or slide content by the Implementer shall be sent to the Administrator for approval. Approved templates are located on [The Grid](#).
5. See the [Contests, Giveaways, and Participation Gifts](#) procedure for Wrike approval requirements specific to contests.
6. Marketing materials and communication content must be approved by the appropriate parties, assigned during the Wrike review.

- 6.1. The Administrator and Implementer shall utilize Wrike to communicate feedback, provide revisions, and provide formal approval.
- 6.2. The Administrator Programs team shall review materials for proposed use, purpose, and programmatic content, including claims related to energy savings and cost savings.

Note: If material includes statistics from sites such as the [EPA Greenhouse Gas Equivalencies Calculator](#), please use actual kWh and Therm Lifecycle Savings from SPECTRUM to convert units Kilowatt-hours avoided and Therms of natural gas to the equivalent greenhouse gas emission statistics.
- 6.3. The Administrator Marketing & Communications Team shall review the material for accuracy, appropriateness, and adherence to the Focus on Energy Brand Standards and Guidelines. Additionally, this team will ensure that all claims, including claims related to health, safety, and performance, are adequately substantiated and documented.
- 6.4. PSC approval is required on material that has statewide or national reach or contains nonpublic evaluation data, Customer information, or sensitive information that may impact policy decisions. The Administrator will coordinate the review with the PSC.
- 6.5. A member of the Administrator Marketing & Communications Team will coordinate the review and approval with the PSC, if final approval is required.
- 6.6. The Administrator and PSC have the final authority to deny marketing material.
7. The Implementer and Administrator shall archive a final high-resolution PDF and the production file for finalized marketing materials, including font and picture files, in the [Collateral folder](#) on The Grid.

Administrator Point of Contact	chris.schultzbuechner@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 03/15/24: Added note under step 6.2.

FORMSTACK FORM REQUESTS

Purpose

This procedure outlines the process for requesting the creation of a new Formstack form, ensuring all necessary information is provided to streamline the process.

Procedure

1. Requests to create a new Formstack form must be submitted via Wrike using the [Formstack Form Request](#).
2. Ideally the concept and draft version of the form should be reviewed and approved via a separate Wrike request, prior to submitting the request to create the new form.
 - 2.1. If the form was pre-approved, answer "Yes" to this question.
 - 2.2. If the form was not pre-approved, answer "No" to this question and the Administrator will review and determine whether the form concept needs additional approval before proceeding.
3. Complete the remaining questions/fields on the form using the guidance below:
 - **When is this form needed by?:** Specify the date the form must be completed by. Requests must allow for a minimum of three business days, unless otherwise discussed.
 - **Will this form need to be embedded into a Focus on Energy webpage?:** Example: [Trade Ally Application](#). If Yes, the embed code will be provided upon completion of the form setup.
 - **Are notification emails necessary after each submission?:** If Yes, provide the email addresses of the Focus on Energy staff to receive notifications.

Note: Notification emails are ideal for forms with infrequent submissions or time-sensitive forms. For high-volume forms, avoid using notifications to prevent inbox overload.
 - **Is a confirmation email to the person who filled out the form necessary?:** If Yes, provide the message content for the confirmation email, which can include a custom message.
 - **Request Submitted Page:** Indicate the message to display after the form is submitted. The message can include communication expectations or confirmation of submittal. Default message: "Thank You – The form was submitted successfully."

- **Layout File Upload:** Upload a copy of the proposed form layout as a Word document or PDF. Include details on question types and any survey logic (e.g., “If A is selected, ask a follow-up question”).
 - **Contact Information:** Contact information of the form requestor.
4. For requests for changes to existing active Formstack forms, please email operations@focusonenergy.com with additional details.

Administrator Point of Contact	casey.davidson@focusonenergy.com
Revision History	04/01/25: New procedure.

SOCIAL MEDIA MANAGEMENT

Purpose

The procedure establishes the process for managing Focus on Energy's social media presence, including its Facebook, LinkedIn, YouTube, Instagram, and other social media accounts.

Procedure

1. The Administrator is responsible for:
 - 1.1. Coordinating, scheduling, posting, and responding to social media posts, comments, and messages for organic, unpaid, and paid content.
 - 1.2. Making final edits to all content, including date and time of publication.
 - 1.3. Updating general information such as profile pictures, "About Us," and informational tabs.
 - 1.4. Inviting "followers" who have engaged with posts but haven't followed the Facebook or Instagram pages.
2. The Administrator's Social Media Manager and Implementers are responsible for developing content for social media posts. Implementation staff may present content for posting, but the Administrator is not required to post it.
 - 2.1. Social media content should target participating utility Customers (META) and Wisconsin businesses (Linked In) with action-oriented or educational messaging. The following types of content may be used for social media updates:
 - Offering-specific content.
 - Focus on Energy general announcements.
 - Energy efficiency research.
 - Energy efficiency tip or checklist.
 - Success story summaries.
 - Promotions or contests.
 - Events that Focus on Energy will attend or host.
 - Questions or polls regarding energy efficiency use, technologies, etc.
 - 2.2. To ensure timely posting, Implementer-proposed content shall be submitted via Wrike and include:
 - The text to be posted.
 - The date, or general dates within a week, to post content.
 - A call-to-action message; and

- A website link and additional links to pictures and/or videos.

Note: All visual elements submitted with social media content should adhere to the [Focus on Energy Brand Standards & Guidelines](#).

- 2.3. Proposed content should be submitted to the Administrator Marketing & Communications Team, via Wrike and receive approval as established in the Marketing Material Approval procedure, documented in this Guide. Content created by the Administrator does not need outside review or approval, unless required by the PSC.
3. The Administrator's Social Media Manager will provide the following deliverables upon request:
 - 3.1. A monthly calendar of scheduled and posted content.
 - 3.2. Analytics for each platform (Facebook, LinkedIn, and Instagram).
 - 3.3. Detailed reporting on program-specific posts as well as monthly page analytics.
4. The Administrator's Social Media Manager will review social media platforms for questions and comments from the public within one business day of posting.
 - 4.1. The Administrator will assign social media direct messages to relevant Implementers when needed. Social media direct messages should receive a response within one business day of receipt from the Administrator.
 - 4.2. The Administrator will monitor all comments and activity. Any comments of a harassing or aggressive nature will not be acknowledged and will be hidden from public view by the Administrator. Administrator reserves the right to block any user posting inappropriate or offensive material and may report said conduct to the social media site in question.
 - 4.3. Administrator will maintain a list of banned users.
5. Promotional content specifically advertising a program may require a paid social media advertising campaign.
 - 5.1. Highlight this content specifically in Wrike and make sure the call to action (CTA) is sending people to a NEW landing page specific to the campaign OR a landing page already used for similar campaigns.
 - 5.2. Paid social media campaigns should match any strategic marketing campaigns in terms of messaging, collateral, and landing pages. Social Media Manager will coordinate with Digital Marketing Specialists creating those campaigns.

Administrator Point of Contact	ron.giordan@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024.

EVENT COORDINATION

Purpose

Focus on Energy provides external organizations with event support in the form of literature and presentations. This procedure contains guidelines for Focus on Energy to appropriately allocate resources to these requests.

Procedure

1. External organizations may request support from Focus on Energy by completing the [Community Outreach Request Form](#) at least four weeks prior to the event.
2. Focus on Energy materials and speaking engagements are free of charge to external groups if the event and organization meet the following requirements, at the discretion of the Administrator:
 - 2.1. The event's mission must be consistent with Focus on Energy's goals of promoting energy efficiency and renewable energy in the state of Wisconsin.
 - 2.2. The event and organization must target an audience eligible to receive Focus on Energy Incentives.
3. There is no limit to the number of times an organization may request Focus on Energy support for an event.
4. Requests for presentations are fulfilled based on the size and relevance of the event. Focus Representatives who staff events shall have a general portfolio-wide understanding of Focus and are expected to coordinate with other Implementers.
5. The Administrator Marketing & Communications Team will coordinate with Implementer staff and/or Administrator staff to attend the event, including updating the [Events and Training webpage](#), [Focus on Energy calendar](#), and providing logistics support.
6. To request event materials, marketing materials, and have your event added to the events webpage, complete the [Event Materials Reservation Form](#) a minimum of two weeks prior to the date the materials are needed.
 - 6.1. Administrator and Implementer staff may borrow the following materials for use at events: booths (10'x8'), tablecloths, business, and residential pull-up banners. Photos of the items are available in the [Banners and Booth](#) folder on The Grid.
 - 6.2. All requests shall be approved on a first-come, first-served basis. Items may be borrowed for a maximum of 14 days at a time, with extensions granted if the material is not reserved.

- 6.3. Materials must be returned within 10 days of the specified borrowing time, or the borrower may lose the option to reserve event materials in the future.
- 6.4. If materials are returned damaged or incomplete, the borrower is responsible for paying the cost of all damages.
- 6.5. Borrowers must arrange pick-up and drop-off of display items with the Administrator at their office between 9 a.m. and 4 p.m. CT Tuesday through Thursday, excluding holidays.
- 6.6. Printed collateral and small items can be shipped.
- 7. Implementers may provide ceremonial checks, basing approval on the incentive amount, quality of the project, significance of the public relations opportunity, and availability of staff.
 - 7.1. Priority will be given to check amounts greater than or equal to \$5,000 for Customer requests for a ceremonial incentive check, though exceptions will be made on a case-by-case basis.
 - 7.2 The Implementer will submit proofing details for Administrator approval using the [Check Presentation Request](#) form in Wrike. [Ceremonial Check Template Examples](#) can be found on The Grid.
 - 7.3 Upon approval, the Implementer will coordinate printing, payment, delivery, and presentation of the check. The company receiving the check may keep it.
 - 7.4 The Implementer shall notify the appropriate Administrator Portfolio Manager, Administrator Marketing & Communications Team, and the Customer's electric or gas utility account representative at least three weeks prior to the ceremonial check delivery. Notification shall include delivery details such as the date, time, site, Customer name, and dollar amount of incentive.
 - 7.4.1 The Customer's utility may choose to include their logo on the ceremonial check. Utility logo production files will be provided by the Administrator to the Implementer upon request.
- 8. The Administrator Marketing & Communications Team will update the applicable [Event Tracking Spreadsheet](#) with event information. This record will be used to support decisions regarding future requests made by the organization.
- 9. When requested, the Implementer shall provide the Administrator Marketing & Communications Team an inventory, including photos, of their display materials. The inventory documentation is to be uploaded to [The Grid](#). If materials are deemed out of date, the Implementer will be responsible for creating new materials before their next event.

Administrator Point of Contact	lisa.lee@focusonenergy.com
Revision History	<p>See archived versions for revision history prior to 202.</p> <p>04/01/25: Updated number of days materials may be barrowed (Step 6.3), minor updates.</p>

MEMBERSHIP & SPONSORSHIP COORDINATION

Purpose

The procedure provides guidance for approving and managing Focus on Energy organizational memberships and event sponsorships.

Procedure

1. All materials, information, or other benefits received from the membership or sponsorship are the property of Focus on Energy. Memberships and sponsorships shall be under the Focus on Energy name, not an Implementer or Administrator company name.
2. The criteria used to determine whether Focus on Energy obtains organizational membership or event sponsorship includes the following:
 - The organization or event's mission must be relevant to the mission and purpose of Focus on Energy; and
 - The organization must offer beneficial relationships with energy industry professionals, reach Focus on Energy's target audiences in a unique way, or provide materials and networks otherwise inaccessible; and
 - Focus on Energy will not provide sponsorship to a specific technology or endorse any product or service.
3. An Implementer may request Focus on Energy membership in or sponsorship of an organization if the mission is related to their specific program. When appropriate, multiple Implementers may share organizational membership or sponsorship. Alternatively, the Administrator may become a member of or sponsor an organization on behalf of Focus on Energy, the benefits of which would extend to Implementers.
4. Membership and sponsorship requests shall be submitted on an annual basis via each Implementer's Marketing Plan, though additional submittals may be made throughout the year, as necessary. This request should be made by emailing the Administrator Portfolio Manager, who will vet the request with the Administrator Marketing & Communications Director.
5. Administrator will provide a planned list of all sponsorships and memberships to the PSC in its yearly Marketing Plan. Any ad hoc sponsorships not included in the Marketing Plan will be submitted to the PSC by the Administrator for approval. The Administrator will maintain a master list of all memberships and sponsorships on The Grid.

6. Upon approval, the Implementer is responsible for contacting the organization and coordinating all membership or sponsorship activities, unless there is a split membership or sponsorship. If multiple Implementers are interested in obtaining the same membership or sponsorship, the Implementers will coordinate between the organization and themselves to arrange payment.
7. All contact lists, networks, databases, access information, and any other additional membership and sponsorship benefits shall be submitted to the Administrator Marketing & Communications Team.

Administrator Point of Contact	chris.schultzbuechner@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024.

CONTESTS, GIVEAWAYS, AND PARTICIPATION GIFTS

Purpose

This procedure provides guidance and outlines the approval process for program giveaways in connection with a Focus on Energy sweepstake, contest, drawing, or a gift in exchange for participating in a survey.

Procedure

1. Consideration for determining the type of event/activity:
 - 1.1. Wisconsin state law requires Focus on Energy to avoid being considered a “lottery.” A lottery has three elements: (1) prize, (2) consideration and (3) chance. If you remove any one of those elements, then there is no lottery and Focus on Energy can proceed with providing giveaways or gifts for participation in Program sweepstakes, drawings, contests, or games.
 - 1.2. If the event or activity does not require consideration because it is free to enter, it would be considered a **sweepstakes or drawing**. An example would be a social media sweepstakes where a winner is selected at random from comments on a photo posted by Focus on Energy on Instagram.
 - 1.3. If the event or activity removes chance, it would be considered a **contest or game**. An example is the Focus on Energy State Fair Game Show where a winner is selected based on correctly answering the most questions.

Sweepstakes and Contests Procedure

1. Implementer submits the request to run a sweepstakes or contest for content review and approval via Wrike using the [Marketing Review Request form](#). Requests must be submitted at least 14 business days prior to the intended release of the material.
2. The Wrike ticket must be routed to the Compliance Manager who will review and approve the proposed Terms and Conditions. The following Terms and Conditions templates should be utilized.
 - 2.1. Implementer shall utilize the [Sweepstakes Terms and Conditions Template](#) when running a sweepstakes or drawing.
 - 2.2. Implementer shall utilize the [Contest Terms and Conditions Template](#) when running a contest or game.

Gifts for Survey Completion

1. Small thank you gifts can be given to survey participants. It is recommended gifts be under \$50. Gift cards are acceptable.

2. Contact the Compliance Manager with any questions or unique situations.

Administrator Point of Contact	stephanie.otoole@focusonenergy.com
Revision History	03/15/24: Minor edits. 04/01/25: Minor edits and link updates.

DONATION COORDINATION

Purpose

The procedure provides guidance for approving and managing donation requests to Focus on Energy.

Procedure

1. External organizations (or Implementers if they received the request) may request a donation from Focus on Energy for an event by emailing a request to the Administrator Marketing & Communications Director.
2. The Administrator Marketing & Communication Director will review requests based on the following requirements:
 - 2.1. The organization's mission and event/activity must be consistent with Focus on Energy's goals of promoting energy efficiency and renewable energy in the state of Wisconsin.
 - 2.2. The event and organization must target an audience eligible to receive Focus on Energy incentives.
 - 2.3. Budget funding available to support request. (Annual budget of \$1,500 available).
3. An organization may request a Focus on Energy donation once per calendar year. There is a dollar value limit of items for a donation of \$250. Requests for cash or gift cards will not be approved.
4. The Administrator Marketing & Communications Director will submit all requests to the PSC for approval.

Administrator Point of Contact	chris.schultzbuechner@focusonenergy.com
Revision History	

ARTIFICIAL INTELLIGENCE (AI) TECHNOLOGY

Purpose

This procedure provides guidelines and best practices for using Artificial Intelligence (AI), also referred to as Artificial General Intelligence (AGI) such as OpenAI/ChatGPT, for Program use. With the growing popularity of AI, it is important for the Program to ensure responsible and ethical usage of this technology to safeguard privacy for Program participants.

Procedure

1. **Personal Data:** No personal or sensitive data, including personally identifiable information (PII), can be uploaded, shared, or accessed by AI. Refer to the Focus on Energy Policy Manual for guidance on what information or combination of information is considered Personal Information. Respecting user privacy and complying with data protection regulations should always be a top priority.
2. **AI for Critical Decisions:** AI should not be used as the sole source for making decisions related to critical or high-risk scenarios. Human judgment, expertise, and ethical considerations should always be factored into decision-making processes.
3. **Unvetted or Biased Datasets:** When training AI models, avoid using unvetted or biased datasets. Biased data can lead to biased outcomes and unfair treatment of individuals or groups. Ensure datasets used for AI training are representative, diverse, and well-curated.
4. **Ethical Implications:** Be mindful of the ethical implications associated with AI usage. Continuously assess potential biases, fairness, transparency, and the societal impact of AI applications. Address any ethical concerns promptly and responsibly.
5. **Excessive Data Collection:** Avoid the indiscriminate collection of user data, also known as "push data". Collect only the data necessary for the intended AI application and ensure it is handled securely and in compliance with data protection policies.
6. **AI use in Website Support Chatbots:** Clearly communicate to users when they are interacting with an AI-driven chatbot. Transparency builds trust and ensures users understand they are engaging with an automated system rather than a human representative. For example, include disclaimers such as: "This is an AI-powered chatbot" at the start of the interaction.

Administrator Point of Contact	john.landowski@focusonenergy.com
Revision History	04/01/2025: Added guidance for AI use in website support chatbots.

PROGRAM IDENTIFICATION FOR ONSITE VISITS

Purpose

This procedure provides guidance and best practices for Focus on Energy Representatives to provide program identification for onsite visits. This procedure is not applicable to Trade Allies.

Procedure

1. All Representatives should present proper identification to validate their identity and Program affiliation upon request. Preferred identification is a Focus on Energy business card and photo ID, if needed.
2. When possible, Representatives should wear Focus on Energy-branded apparel.
 - 2.1. Coordinate with your respective Program Manager to purchase approved branded apparel.
 - 2.2. Ensure apparel is in good condition with no stains or rips.
3. If Representatives are unable to wear Focus-branded apparel, it is recommended to wear business casual attire or appropriate attire for the facility.
 - 3.1. It is a best practice to confirm site visit requirements, such as required footwear or Personal Protective Equipment (PPE), with the Customer or Trade Ally prior to the visit.

Administrator Point of Contact	stephanie.otoole@focusonenergy.com
Revision History	03/15/24: Updated language in step 1. 04/01/25: Removed reference to Focus badge.

PROGRAM MANAGEMENT

IMPLEMENTER PROCUREMENT

Purpose

This procedure outlines the steps to take when engaging with a subcontractor or Vendor who will assist an Implementer or Vendor in performing Work for Focus on Energy. This Work includes providing implementation-related services, technical support, marketing support and/or licensing or access to software or digital tools. Implementer/Vendor should consult the *Procurement Policy* and *Invoicing, Payment, Budgets & Costs* in the [Policy Manual](#).

Procedure

1. Implementer/Vendor identifies a need for outside support, materials, or services and estimates the period of performance, budget required, and potential subcontractor or Vendor(s). Implementer/Vendor shall coordinate with their Administrator Point of Contact to identify potential work scope and budget for the proposed subcontractor/Vendor.
2. If the estimated budget is greater than \$50,000 annually, then the subcontractor/Vendor must be selected through a competitive Request for Proposal (RFP) process managed by the Implementer.
 - 2.1. Implementer may request a waiver from the RFP process by submitting a request to their Administrator Point of Contact. If the Administrator agrees with this approach, Implementer will complete a [Bid Waiver Request Form](#) and Administrator will submit the request to the PSC to sole-source the subcontractor/Vendor.
3. Contracting guidelines.
 - 3.1. Upon receipt of Administrator approval, Implementer/Vendor will negotiate the terms of the contract it will have with the new entity.
 - 3.2. If required per contract, the Implementer/Vendor must include flow down provisions in the new subcontractor or Vendor's contract. Administrator Compliance Manager provides the flow down provisions.
 - 3.3. If the contract will be T&M, the Administrator Compliance Manager must approve the contract draft prior to execution.
 - 3.4. If the subcontractor/Vendor will be paid by T&M terms, then the subcontractor/Vendor must submit invoices through the Implementer/Vendor.

Administrator Point of Contact	stephanie.otoole@focusonenergy.com
Related Procedure	Modifying Governing Focus Documents

Related Policy from Policy Manual	Procurement Invoicing, Payment, Budgets & Costs
Revision History	<p>03/15/24: Revised Contracting section (2.2) for clarity.</p> <p>04/01/25: Updated the procurement threshold amount (Sec.2) from \$10,000 to \$50,000 to be consistent with the 2025 Policy Manual update.</p>

ONBOARDING/OFFBOARDING IMPLEMENTERS AND RESEACHERS

Purpose

The purpose of the below checklists is to (1) provide guidance to Implementers and Researchers who are either launching a new Program/Project or onboarding new staff; (2) provide confirmation to the Administrator that required activities have been completed; and (3) ramping down a project for close out.

Procedure

1. Administrator provides the [Implementer Pilot Onboarding Checklist](#) to the Implementer/Researcher project manager.
 - 1.1. Administrator identifies on the checklist if the Implementer/Researcher needs specific systems access.
 - 1.2. For tasks which are not applicable for the Implementer/Researcher, the Administrator lists N/A in the Date Completed column.
2. Implementer/Researcher completes the necessary tasks and enters the date completed for each task.
3. After the form is completed, the Implementer/Researcher will sign off, upload the completed form to the appropriate folder on The Grid, and share with the Administrator.
4. Once the Administrator confirms all necessary tasks are completed, they will sign the form and upload a final copy to The Grid.

Administrator Point of Contact	stephanie.otoole@focusonenergy.com
Revision History	04/01/25: New procedure.

INVOICE ENTRY & APPROVAL

Purpose

This procedure establishes guidelines for invoice entry, review, and approval for services to receive payment by Focus on Energy. For this procedure, the term Implementer shall refer to Implementers, Implementer Subcontractors, and Research Portfolio grantees.

Procedure

1. Prior to creating the invoice, the program's invoice approval workflow and invoicing team must be set up in SPECTRUM. If either are needed, a Jira ticket shall be submitted to the Administrator.
2. Due to system limitations, Users creating Invoice records should confirm their SPECTRUM Time Zone is set CST, regardless of the user's actual Time Zone. Please refer to the [SPECTRUM Reference Guide](#) for more information.
3. Following the due dates outlined in the [Process Schedule](#) (aka Check-run Schedule), create a new Focus Invoice record in SPECTRUM.
 - 3.1. Complete all required fields including the applicable payment address.

Note: If payee is set up to receive Automated Clearing House (ACH) payments, ensure the payment address selected has the Address Type: ACH marked as 'Yes'. Do not include a Payment Attn: to for ACH payments.
 - 3.2. The 'Invoice Owner' and 'Invoice Team' should both be the applicable invoicing team and not an individual User. If an individual User is used, users in the applicable invoicing team will not have access to view the Invoice.
4. Using the applicable [Invoice Template](#), complete and upload the Fixed/Performance or Time/Materials invoice template (Excel) along with any supporting documentation to a new note in the Timeline section of the Focus Invoice record.
 - 4.1. Invoice naming convention shall follow the format: [Month Year_Implementer_Program Name_Invoice]
 - 4.2. Supporting documentation naming convention shall follow the format: [Month Year_Implementer_Program Name_Supporting Documentation] and include the following:
 - All required receipts (.pdf format).
 - If not in the approved Annual Marketing Plan, evidence conference and sponsorship attendance was previously approved by the Administrator if costs are invoiced.

- “Focus on Energy Progress Summary Report” demonstrating energy savings achieved during the month. This is a system generated Power BI report located in SPECTRUM under Dashboards:
 - Access the Systems Dashboards: Focus on Energy Progress Summary Report”. Log-in to the Power BI app if prompted.
 - Enter the applicable Date range.
 - Select the applicable Program.
 - Select the ellipse (...) in the upper right-hand corner of the table to view more options. From the dropdown list, select “Export data” to generate and download an Excel file.
- Note:** Figures in the report dashboard may be delayed by 24 hours compared to actual measure data. If a Program requires additional report filtering to demonstrate energy savings achievement, an Advanced Find may be use. Please confirm with Portfolio Manager the supporting documentation provided contains all necessary information.
- Other documentation as requested by the Administrator.
- 4.3. If applicable, monthly MMBtu savings totals should be rounded to the nearest whole number prior to making any calculations for performance payments.
 - 4.4. All payment amounts should be rounded to the nearest hundredth place. In the Focus Invoice record, create an Invoice Detail record for each budget and enter the corresponding amounts from the invoice template in the line-item detail section.
5. Create new Invoice Details and complete the following fields:
 - **Budget Details:** Select applicable option from dropdown list.
 - **Invoice Line Items:** Enter appropriate dollar amounts in the applicable fields based on the invoice and approved budget line items.
 - **Expenditure Date:** Leave blank.
 - 4.1. Once complete, change the Status Reason to ‘Submit for Payment Review’ and then save and close the Invoice Details record. Complete for each Invoice Detail if there are multiple for one Invoice record.
5. Administrator reviews the invoice for completeness, accuracy, and allowable costs as outlined in the [Focus on Energy Policy Manual](#).
 6. If invoices are free of errors and submitted on the timeline indicated in the Implementer Process Schedule, Administrator shall make a reasonable effort to approve invoices for payment in SPECTRUM in time to make the next check-run.

Administrator Point of Contact	samantha.repinski@focusonenergy.com michael.semrad@focusonenergy.com
Related Policy from Policy Manual	Invoicing, Payment, Budgets & Costs
Revision History	<p>See archived versions for revision history prior to 2024.</p> <p>03/15/24: Added new content to section 2 regarding Invoicing Teams, updated documentation requirement details in step 3.2, added step 4, updated Point of Contact.</p> <p>04/01/25: Updated Administrator POC, added step 2.</p>

TRACKING & REPORTING DAYS INCENTIVE OUTSTANDING (DIO)

Purpose

Days Incentive Outstanding (DIO) is defined as: The time starting from the date an Implementer receives a complete Incentive Application for payment review and ending on the day the Fiscal Agent changes the incentive status to "Paid", unless otherwise defined. DIO is calculated for a program over a defined time window, with the application's end time determined by the Date Paid field, which can be found in the Payment sub-grid of the Application. For the purposes of Implementer tracking and reporting, this procedure only covers prescriptive application DIO.

Procedure

1. Implementer date stamps the physical applications with the date the application was received by the Implementer for processing. Applications submitted to field staff shall record the date received by the field staff, not the date submitted to the Processing/Operations Team.
2. For manually entered applications:
 - 2.1. In the SPECTRUM Application, enter the "Application Received Date" which should be the date the Implementer received the application for incentive processing, regardless of the completeness of the application. Enter the same date in the "Completed Application Received Date" field unless the application is incomplete.
 - 2.2. If the application is not complete and requires additional information from the Customer or Trade Ally to complete processing, the Implementer shall check the box "Application Received Incomplete" and mark the applicable incomplete reason option checkbox(es). It is best practice to include a brief note in the Application Timeline of the needed missing information if it's not easily identified elsewhere. Enter the date the needed information to complete processing was received in the "Completed Application Received Date" field.
3. For Application Staging/imported applications:
 - 3.1. The Application Staging Template for the bulk upload process includes both the "Application Received Date" and "Completed Application Received Date" fields. The date entered under "Application Received Date" should not be the date of import, but rather the date the Implementer receives the application.

- 3.2. Enter the same date for the "Completed Application Received Date" field unless the application is incomplete. If incomplete, Implementers can indicate this by entering Yes in the "Application Received Incomplete" column of the template and identify the incomplete reason(s) by entering Yes in the applicable columns. Enter the date the application is complete and ready for processing in "Completed Application Received Date."
4. Run the Advanced Find.
 - 4.1. Use the shared Advanced Find: "KPI – Days Incentive Outstanding Tracking"
The Advanced Find can be found under Payments.
 - 4.2. Update the following criteria in the Advanced Find:
 - Date Paid: Change dates to the desired date range.
 - Program: Change to the program(s) being reported on.
 - Application Received Date: 'This Year' unless Implementer's contract specifies otherwise.
 - This field will need to be changed to 'Last Year' when running final average DIO for the year.
 - 4.3. Export the Advanced Find results to Excel.

Note: If the number of rows in the spreadsheet is at 100,000, SPECTRUM did not export all the results. Change the date criteria in the Advanced Find to cover a smaller date range to export smaller sets of data.
5. Perform calculations in Excel to calculate DIO.
 - 5.1. Apply the Excel function Remove Duplicates in the Application Name column, resulting in an application only be listed one time in the data, regardless of the number of measures processed in the application.
 - 5.2. For each application, take the difference (using the Excel Days formula =Days(end_date, start_date)) of the Completed Application Received Date and the Date Paid. This is the number of days it took for this application to be paid, which is the DIO for this one application.
 - 5.2.1. If the Completed Application Received Date is blank, use the date in the Application Received Date field.
 - 5.3. Do this for every application (each row) in the spreadsheet to calculate DIO for each application.
6. A pivot table can be used to identify the average DIO and quantity of applications over a certain number of days.

7. DIO and applications taking longer than eight weeks for payment are reported to the PSC via Administrator Quarterly reports. DIO should be monitored by the Implementer. Any substantial changes to DIO should also be communicated to the Administrator, including an explanation and solutions for improvement, if applicable.

Administrator Contact	operations@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 04/01/25: Updated Administrator contract, added clarification to steps 2 and 3.

TRACKING & REPORTING PRESCRIPTIVE APPLICATION PROCESSING TIME

Purpose

Prescriptive Application Processing Time (PAPT) is the number of business days it takes for an Implementer to enter an application into SPECTRUM, starting on the date the Incentive Application is received for incentive processing and ending on the date the application is entered in SPECTRUM. For the purposes of Implementer tracking and reporting, this procedure only covers prescriptive applications.

Procedure

1. Implementer shall take the following steps to enter application dates:
 - 1.1. Implementer date stamps the physical applications with the date the application was received by the Implementer for processing. Applications submitted to field staff shall record the date received by the field staff, not the date submitted to the application inbox.
 - 1.1.1. Complete the "Application Received Date," when entering the SPECTRUM application. This date is the starting point for calculating the application entry time.
 - 1.1.2. For imported application records, the date entered under Application Received Date should **not** be equal to the date of record import but rather the date the Implementer received the application.
 - 1.1.3. If the application is not complete, the Implementer shall check the box "Application Received Incomplete". Incomplete applications are included in the reporting of PAPT.
2. Implementer shall take the following steps to calculate and report PAPT:
 - 2.1. "KPI – Application Tracking Time", an Advanced Find found under Applications, has been shared to provide consistent reporting.
 - 2.2. Update the following criteria in the Advanced Find:
 - 2.2.1. Program Equals the relevant program.
 - 2.2.2. Set Application Received Date to This Year. This field will need to be changed to Last Year when running final average PAPT for the year if reporting is done after the year ends.
 - 2.3. Export the results to Excel.
 - 2.3.1. If the number of rows in the spreadsheet is at 100,000, SPECTRUM did not export all the applications. Change the date criteria in the

advanced find to cover a smaller date range to export smaller sets of data.

2.4. Perform calculations in Excel to calculate PAPT.

2.4.1. Calculate the difference of the Application Received Date and the Created On date using Excel formula =Days(end_date, start_date). This is the number of days it took to enter the application.

2.4.2. Copy the formula to every row in the spreadsheet to calculate PAPT for each application.

- 3. A pivot table can be used to identify the average PAPT and quantity of applications over a certain number of days.
- 4. PAPT should be monitored by the Implementer. Any substantial changes to PAPT should be communicated to the Administrator, including an explanation and solutions for improvements, if applicable.

Administrator Contact	operations@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 04/01/25: Updated Administrator contact.

IMPLEMENTER DELIVERABLES GUIDANCE

Purpose

This procedure provides guidance to Implementers so they can meet their contract deliverables and reporting requirements. Templates are provided by the Administrator and posted on [The Grid](#). In addition to monthly, quarterly, and annual reporting requirements, additional deliverables include: (1) the Evaluation Response Plan; (2) Implementation Plan (AKA Work Plan); (3) Marketing Plan; and in some cases, (4) Media Plan.

Additionally, guidance is included for Implementers and some Vendors to (1) annually update their list of software used while working on Focus on Energy, (2) manage the production of Certificates of Insurance (COI), (3) annually produce audited financial statements, and (4) annually provide documentation of their corporate Incident Response Plan Testing results.

Procedure for Reporting

1. The Administrator will provide Implementers with a reporting template and/or guidance as to the required reporting style for the monthly, quarterly, and annual reports. The month's report is due the following month on the same date the invoice is due, unless otherwise agreed upon by the Implementer and Administrator. For additional guidance as to due dates, refer to the [Process Schedule](#) (aka Check-run Schedule).
2. All reports must follow the guidance provided in the [Brand Guidelines](#).
3. The following table outlines report type.

Report for the Month of:	Report Type
January	Monthly
February	Monthly
March	Quarterly
April	Monthly
May	Monthly
June	Quarterly
July	Monthly

August	Monthly
September	Quarterly
October	Monthly
November	Monthly
December	Annual

4. Implementers shall provide an annual forecast delineated by month for energy savings and budget using the approved Forecast Template. Implementers will provide updated monthly forecasts in conjunction with the monthly and/or quarterly reports.
 - 4.1. Implementers must obtain the latest version of the [Forecast Template](#).
 - 4.2. Implementers shall not modify the template and must provide updated actuals and forecasts for the full calendar year.
 - 4.3. Implementers must upload completed forecasts to The Grid under their Program's Reporting_Forecasting folder and share the link with the Administrator Portfolio Manager after it is uploaded.
5. Administrator will complete an initial review of the data to ensure it is reasonable within five business days of the report's due date; forecasts will be imported into SPECTRUM.

Procedure for Contract Deliverables

1. Evaluation Response Plan (ERP)
 - 1.1. Implementer shall complete an ERP using the Administrator-provided template on an annual basis.
 - 1.2. Draft ERP is due to Administrator 30 calendar days after the release of the final Evaluation Report or delivery of the ERP template, whichever occurs later.
 - 1.3. Administrator will provide feedback on the draft ERP, including the Evaluator in discussions as needed, within 14 calendar days of submittal.
 - 1.4. Implementer shall revise and incorporate Administrator feedback, submitting the final version within seven calendar days of receipt of feedback.
 - 1.5. Final ERP will be approved by Administrator within seven calendar days after submittal of the final plan.

- 1.6. Implementer shall provide an update on progress made toward identified follow-up tasks in the Quarterly Reports.
2. Implementation Plan and Marketing Plan
 - 2.1. Implementer shall complete an **Implementation Plan** using the Administrator-provided template, on an annual basis.
 - 2.1.1. Implementer shall identify performance metrics or success metrics, tactics, and quality assurance metrics as appropriate in the Implementation Plan.
 - 2.1.2. The draft Plan is due January 31, with Administrator feedback due to the Implementer by February 28.
 - 2.1.3. The final Plan is due March 15 and shall include Administrator feedback.
 - 2.2. Implementer shall complete a **Marketing Plan** using the Administrator-provided template, on an annual basis.
 - 2.2.1. Marketing Plan will document planned Customer and Trade Ally engagement strategies and tactics to support goal achievement.
 - 2.2.2. Draft Plans are due to Administrator on the date specified in the October 15.
 - 2.2.3. Administrator will provide feedback on the draft Plans by November 15.
 - 2.2.4. Implementer shall revise and incorporate Administrator feedback, submitting the final version by November 30.
 - 2.2.5. Final Plans will be approved by Administrator within 30 calendar days after submittal of the final plan.
 - 2.3. Administrator will schedule a meeting to discuss the Plans if needed.
 - 2.4. Implementer shall provide an update on progress made towards performance metrics and Marketing Plan goals in Quarterly Reports.
3. Media Plan (if applicable)
 - 3.1. Implementer shall provide a high-level digital media flowchart including anticipated spend.
 - 3.2. Draft paid Media Plan is due to Administrator on February 1.
 - 3.3. Administrator will provide feedback on the draft paid Media Plan within 10 calendar days.

- 3.4. Implementer shall revise and incorporate Administrator feedback, submitting the final version within 10 calendar days.
- 3.5. Final paid Media Plan will be approved by Administrator within 10 calendar days after submittal of the final plan.
- 3.6. Implementer shall provide an update on progress made toward the paid Media Plan and identify follow-up tasks in the Quarterly Reports.
4. List of Software Apps used for Focus on Energy Work
 - 4.1. By March 15 annually, Implementer will ensure the list of Apps they used to manage work for Focus on Energy is current and all columns have been completed. This list is maintained in the Implementer's Contract Tracker, "Software Questionnaire" tab (see below).

Software/Web Tool	APT/IT Cybersecurity Comments	Implementer Staff Point of Contact	Purpose	Contains Customer/Sensitive Info? Y/N	Who uses it?	Any docs shared? Y/N	Types of Docs saved/shared	Who manages access/permissions?	Do uploaded expire after a certain time? Y/N	Requires software download?	'Connected' to SPECTRUM?

- 4.2. After the review is completed, the Implementer will email the Administrator Compliance Manager a link to the Contract Tracker, indicating their review of is complete.
 - 4.2.1. The Administrator Point of Contact and the Digital Operations Manager shall be copied on these communications.
5. Certificates of Insurance (COI)
 - 5.1. Program and Pilot Implementer COIs
 - 5.1.1. Implementer insurance specifications are in Section 19 of the Terms and Conditions of the Contract.
 - 5.1.2. A [sample COI](#) is posted on The Grid and can be shared with insurance brokers.
 - 5.1.3. Implementers should upload their COIs to their respective Grid folders and email the COI Point of Contact (POC) once the file is uploaded.
 - 5.1.4. POC reviews COI to confirm all contractual requirements are met.
 - 5.1.5. Implementers will be contacted if there are issues that need to be resolved.
 - 5.1.6. POC uploads newly received COIs to the automatic email reminder application in the Focus Toolbox:

- The Implementer's primary POC for COIs and their preferred email address will be confirmed prior to entering new data into the application.
- Implementers can choose to receive emails to their focusonenergy.com address or to their corporate email address. Implementers who choose to receive notifications to their corporate email addresses will be asked to validate that address via email. The email will be sent from "Amazon Web Services no-reply-aws@amazon.com". Implementers can safely follow the link within the email to complete the verification process.
- Email reminders will be sent to Implementer POC at their specified email address to inform them their COIs will expire in one month; the Compliance Manager and Administrator POC will be copied.

5.1.7. Implementer Subcontractor COIs should be uploaded to The Grid by the Implementer. It is the Implementer's responsibility to manage their subcontractor COIs and ensure they are current and meet contract specifications.

5.2. Vendor and Subcontractor COIs

5.2.1. Insurance requirements are in Section 7 of Focus on Energy Vendor contracts and Section 16 of IRA Vendor contracts.

5.2.2. Focus Vendors: A [sample COI](#) is posted on The Grid and can be shared with insurance brokers.

5.2.3. IRA Vendors: A [sample COI](#) is posted on The Grid and can be shared with insurance brokers.

5.2.4. Vendors frequently do not have Grid access until after receiving Compliance Training and onboarding. For those entities that do not have Grid access, they will securely provide their COIs to the POC using (1) email encryption or (2) password protecting the document and sending the password separately. POC will upload the COIs to the Administrator files.

6. Audited Financial Statements

6.1. Implementers are required to annually provide the Administrator with their audited financial statements that include the Independent Auditor's Letter. Refer to Section 14 of the Contract's Terms and Conditions.

6.2. Within 60 days after completion of the audited report, Implementer must upload the financial report via The Grid and send the link to the Compliance Manager.

- 6.3. Upon receipt, Compliance Manager will download the financial report to a secure, limited access folder on Administrator's network for review.
- 6.4. Compliance Manager will delete the financial report from the Implementer's folder on The Grid to preserve confidentiality.
7. Incident Response Plan Testing Results
 - 7.1. Deliverable required by the Policy Manual, *Information Security and Confidentiality policy*, Section 1.7.
 - 7.2. By August 1, Implementer/Vendor shall complete the [Incident Response Plan Template](#), upload to the applicable folder on The Grid, and share the link with the Compliance Manager. Implementer/Vendor may substitute their own company's template if it is as robust as Administrator provided template.

Procedure for Deliverables Extensions

1. Requests to obtain an extension on a deliverable must be submitted via email to the Administrator Portfolio Manager for review and approval.
2. Approvals for deliverables extensions will be documented by the Administrator using the Implementer Contract Tracking Tool on The Grid.

Administrator Point of Contact	stephanie.otoole@focusonenergy.com
Revision History	<p>See archived versions for revision history prior to 2024.</p> <p>03/15/24: Added Section 6 regarding production and review of Audited Financials, updated POC.</p> <p>04/01/25: Added the Incident Response Plan Testing requirement (Step 7).</p>

IMPLEMENTER PERFORMANCE REVIEWS

Purpose

The purpose of this procedure is to offer guidance on conducting Implementer Performance Reviews.

Procedure

1. The Administrator will provide the Implementer with a list of topics and meeting expectations to present at the performance review. If the Administrator elects to provide Implementers with a performance review template, it will be provided at least 30 days before the scheduled review date unless otherwise agreed upon. Topics covered during the review may include, but are not limited to:
 - Contract compliance, including outstanding deliverables such as certificates of insurance, financial production and review of policy changes.
 - Progress to goals, budget spend, and forecast projections for the remainder of the year.
 - Trends related to program participation (customer and Trade Ally), measure mix, and marketplace developments.
 - Progress or impacts of special offerings and/or unique program initiatives.
 - Progress towards achievement of performance metrics and KPIs.
 - Evaluation Response Plan task review.
 - Review of annual Marketing Engagement Plan and progress towards achievement of planned initiatives
 - Strategic ideas for the next calendar year, such as new offerings, pilots, and ideas for continuous improvement.
 - Specific issues as requested by Administrator.
2. The Administrator staff will schedule the reviews and issue a meeting invitation to those required to attend from the Implementer's team, as well as key members of the Administrator staff as deemed appropriate.
3. Implementer shall provide a draft presentation one business day prior to the scheduled performance review. The draft shall be uploaded to the Program-specific Deliverable folder on The Grid.
4. The Implementer will ensure the final performance review presentation and/or template is uploaded to the Program-specific Deliverable folder on The Grid within two business days of the completed performance review.

Administrator Point of Contact	courtney.wojcik@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 03/15/24: Edits to step 1.

TRAINING MANAGEMENT & COLLABORATION

Purpose

This procedure identifies the responsibilities of both the Administrator and Implementers in coordinating on and delivering Customer and Trade Ally trainings.

Procedure

1. Administrator will design a training program and publish the annual course curriculum, details, and calendar in December prior to the next program year on the [Focus on Energy website](#).
 - 1.1. Administrator staff will seek input on course curriculum during late Q3/early Q4 from stakeholders including utility partners, Implementer staff, and past participants of Focus on Energy training programs.
 - 1.2. The Administrator will identify and contract with training vendors.
 - 1.3. Trainings will include online, in-person, and on demand events. Registration will be required for evaluation purposes. Sessions may be free or have an attendance fee.
2. Course announcements will be sent via email by the Administrator to targeted distribution mailings, including past Focus on Energy training program participants.
3. Online Training Registrations:
 - 3.1. Online registrations for training programs are made through the Eventbrite system, which can be accessed via the Focus on Energy [Training webpage](#).
 - 3.2. For vendor owned online sessions, users will be automatically re-directed to the vendor's site for registration when selecting the course link.
 - 3.3. All communications to participants regarding confirmation of registration and logistics will be managed by the Administrator.
4. Each Implementer may send one staff member to Focus on Energy training courses at no charge. This applies to courses with an associated attendance fee. If an additional Implementer staff member would like to attend, the individual may register at half price. If more than two Implementer staff members would like to attend, contact the Administrator as registrations will be on a case-by-case basis depending upon course enrollment.
5. Social media postings and boosting will be scheduled to appear via various platforms (LinkedIn, Facebook, Instagram) beginning four to eight weeks prior to any course.

6. Training course locations will be rotated across Wisconsin to offer equity of opportunity to attend session without great travel distances.
 - 6.1. Hosting training at customer sites.
 - 6.1.1. Administrator may desire a customer host sites for a specific training. Requests will be made to the appropriate Implementer to inquire if there is a customer site available to host a Focus on Energy training session and provide tour of the facility.
 - 6.1.2. In instances where the Implementer does locate a host site, the responsible Energy Advisor will copy Administrator staff who will work with the host site regarding logistics of the training course.
 - 6.1.3. If known, the Implementer Energy Advisor will notify the Utility representative/Account Manager for the customer a training will be conducted at the customer site.
 - 6.1.4. Three complimentary course registrations are provided by the Administrator to any customer host site as a token of appreciation.
 - 6.1.5. If a training vendor has a longstanding relationship with a possible customer host site, the vendor contact should be included to streamline communication regarding dates.
7. Within one week prior to any training course, the Administrator will provide a reminder email to all registered participants of all logistics pertaining to the training course.
8. Administrator will maintain a [course roster](#) on The Grid prior and one to two weeks after the course to identify who attended.
9. At the conclusion of training sessions, participants will complete a course evaluation collected by the Administrator.
 - 9.1. Any end customer or trade may indicate they would like to be contacted directly by an Energy Advisor.
 - 9.2. The Administrator will compile the requests for direct Energy Advisor contact and send the requests via email to the Implementer training contact.
 - 9.2.1. The Implementer will contact the requesting party within seven business days of receiving the request from the Administrator.
 - 9.2.2. Administrator staff will follow up with training program participants who requested an Energy Advisor contact them. Administrator outreach will occur within three weeks post class to ensure the training program participant has received requested additional resources from the program.

- 10. Implementers may offer Customer Emerging Tech and Trade Ally trainings, as identified in their Marketing or Implementation Plans. Implementer is responsible for coordinating any training sessions with their Administrator Point of Contact. Implementer shall provide training content for review and approval via Wrike.
- 11. Focus on Energy provides a learning management system (LMS) for on-demand training sessions, available 24/7. Topics include a variety of energy efficiency and technology topics for both residential and business programs. Implementers may create courses to be posted to the LMS, and these should be identified in their Marketing or Implementation Plans.
 - 11.1. LMS users must register at training.focusonenergy.com.


Administrator Point of Contact	sherry.milam@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 03/15/24: Minor edits, modified steps 1, 7, 8, 11 and 12. 04/01/25: Updated timing in step 9.2.2, and other minor edits.

TRADE ALLY REGISTRATION INTAKE PROCEDURE

Purpose

This procedure outlines the process the Administrator and Implementers will follow when enrolling and onboarding new Trade Allies (TA).

Procedure

1. New Trade Allies will complete the online [Trade Ally Application](#) located on the Focus website. Formstack automatically sends a notification email to the Administrator upon completion of the form.
 - 1.1. New Trade Allies may opt in to receive ACH Payments by completing a [ACH Payment Authorization Form](#). Administrator shall confirm if an ACH Form was also submitted and if so, complete both submissions in tandem. Please see [ACH Payments](#) procedure for more details.
2. Data collected from the Trade Ally application form will be entered into SPECTRUM by Administrator within two business days of registration.
 - 2.1. Administrator will either create a new account or update the existing account in SPECTRUM and indicate the Trade Ally has registered with the Program. This is done by checking the Trade Ally field under the 'Trade Ally Information' section of the Account. This field should only be marked by the Administrator.
 - 2.2. Administrator is responsible for entering the Trade Ally Start Date as the date the application was processed in SPECTRUM.
 - 2.3. If a W-9 Form is provided, Administrator will upload a copy to the account (FEIN only). If the Trade Ally uses a social security number (SSN) as their tax identification number (TIN) or has provided both a FEIN and SSN on their W-9 Form, it should not be uploaded.
 - 2.3.1. If the Trade Ally application indicates they use an SSN as their TIN, the Administrator shall trigger the W-9 Portal invite to securely obtain a copy of their W-9 Form. To trigger this notification:
 - Ensure the appropriate contact email address has been entered in the Email field under the "account details" section of the Trade Ally's account.
 - Select the "Send Portal W9 Invite" button  Send Portal W9 Invite in the command ribbon. This will trigger the W-9 Portal Invite email, which can also be viewed in the account timeline. Please see the

usual [SPECTRUM W-9 Process](#) for details on steps after the invite is sent to the Trade Ally.

Note: System notifications will not be sent to the user who triggered the original portal invite. Advanced Finds may be used to monitor these accounts and confirm when the Fiscal Agent entered the “W9 Received Date”, and TA registration/ACH sign-up can be completed.

- 2.3.2. If a W-9 Form was provided that includes both a FEIN and SSN, verification will be needed to confirm which TIN should be used. The Administrator shall include a note regarding this in the email notification to the Implementer Point of Contact. If the Trade Ally confirms the SSN was provided in error, a new W-9 Form should be provided containing only a FEIN.

Note: the IRS prefers SSN for Sole Proprietor and Single Member – LLC. FEIN will be used in SPECTRUM until verification is received.

- 2.4. If the Trade Ally has not opted out of the Find a Trade Ally Tool on the Focus on Energy website, the Administrator will mark the main address identified on the application as a Service Address in the Focus Address record. This Service Address can be updated by the Implementer later if it is determined it should not be listed on the Find a Trade Ally Tool.
3. Depending on which type of customer the TA primarily serves, as reflected on the Application form, the Administrator will notify the appropriate Implementer(s) about the new TA. Administrator staff will send a link to the TA account to the appropriate Implementer(s).
4. An email with the Formstack data will be sent to the Implementer’s Trade Ally Manager within two business days.
 - 4.1. Implementer staff is responsible for contacting the TA within two business days of receiving the Formstack data.
 - 4.2. Implementer staff will establish themselves as the point-of-contact between the TA and Focus on Energy, if appropriate.
 - 4.3. Implementer staff is responsible for determining if the TA is also likely to participate in other Focus on Energy programs.
 - 4.3.1. If yes, Implementer will forward the Formstack data or SPECTRUM account data to the appropriate Implementer(s) who must contact the TA within two business days of receiving the information.
 - 4.4. Implementer staff is responsible for updating the TA account in SPECTRUM with the following data in the Trade Ally Information section:

- **Trade Ally Representatives:** Name and program of the Energy Advisor or outreach representative(s) who will be responsible for outreach and interaction with the TA. Generally, the Trade Ally Representative fields are designated as:
 - Representative 2: Residential
 - Representative 3: Distributor Model Programs
 - Representative 4: New Construction
 - Representative 5: Business
- **Trade Ally Types:** Check all appropriate boxes.
- **Residential or Business Customer Market Service Offerings:** Check all appropriate boxes.
- **Residential or Business Authorized Programs:** Check all appropriate boxes.
- Add additional addresses and mark the address type as "Service" if the TA would like the address to be visible on the Find a Trade Ally Tool.

Best Practice: It is recommended to review the Find a Trade Ally Tool the following day to verify the TA is populating as intended. If discrepancies are discovered, review the account details for needed updates. Updates may take overnight to populate in the tool. Contact the Administrator Point of Contact for discrepancies between SPECTRUM and the Find a Trade Ally Tool which are not able to be resolved.

5. If a copy of the W-9 was not included with the registration, the TA shall not be marked as eligible for payment. If the TA requests to receive payment at a later date, the Implementer shall request a copy of their W-9 which can be submitted through the [Secure Upload](#) page (FEIN Only), if desired.
 - 5.1. If the W-9 Form was emailed to the Implementer, the Implementer shall upload a copy to the account (FEIN Only) using naming protocol: [*Company Name*] - W-9.
 - 5.2. If the TA uses an SSN as their TIN, the W-9 form should not be uploaded to the account and will need to go through the SPECTRUM W-9 Process. Contact the Administrator Point of Contact if assistance is needed to mark the TA as eligible for payment.
 - 5.3. If the W-9 form is uploaded to the Secure Portal, the Administrator will review the account details and mark the account as eligible for payment. Administrator will notify the Implementer Trade Ally Manager.
6. If a Certificate of Insurance or other sensitive information is required, Implementer will direct the TA to submit through the [Secure Upload](#) page.

7. The TA shall receive a Program automated email within one week of TA data being entered into SPECTRUM. This email will include basic information about the Program, as well as links to Focus on Energy logos, TA Code of Conduct, and TA marketing resources.
8. Implementer shall use Activities to document any pre-scheduled calls and/or in-person meetings with the TA.
9. Implementer enters a note under the Timeline section of the TA account documenting any changes made to the account in SPECTRUM. This includes any updates to the primary or legal address, service offerings or Active/Inactive status, as well as any actions taken regarding TA misconduct.

Administrator Point of Contact	abbey.chitwood@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 03/15/24: Updated POC, update to step 2.3, other minor edits.

TRADE ALLY MISCONDUCT PROCEDURE

Purpose

This procedure establishes the process to address situations in which Trade Allies are believed to be acting in ways contrary to the [Trade Ally Code of Conduct](#). Review the Code of Conduct for detail on the tiered corrective action policy and examples of misconduct. Refer to the [Trade Ally Management Plan Quad IV](#) for additional resources.

Procedure

1. Upon learning of possible misconduct by a Trade Ally, Implementer shall notify the Administrator Point of Contact listed below and contact the Trade Ally to inquire about the possible violation(s) within one business day.
2. Implementer shares a summary of their findings with the Administrator. This information is shared via email or meeting. Information may include, but is not limited to, invoices, emails, and additional content for proof of violation.
3. Implementer and Administrator determine if a violation has occurred and what corrective action procedure should be initiated, including but not limited to dismissal from program participation.
 - 3.1. If a [Trade Ally Warning Letter](#) is being issued:
 - 3.1.1. Implementer prepares a draft warning letter and provides a copy to the Administrator for review.
 - 3.1.2. Once approved, Implementer issues warning letter to Trade Ally and uploads all related documents (invoices, emails, additional content for proof of violation, final warning letter) to Trade Ally account in SPECTRUM under the Documents section. Implementer adds a note indicating there are attachments in the Documents section related to Trade Ally Code of Conduct violations.
 - 3.1.3. If post inspections are included as a course of action in the warning letter, Implementer may use Cases in SPECTRUM to document and track inspections.
 - 3.2. If it is determined the Trade Ally should be dismissed from the Program:
 - 3.2.1. Implementer drafts a [Trade Ally Dismissal Letter](#), which will be reviewed by Administrator.
 - 3.2.2. The final version of the letter is signed by Administrator Trade Ally Manager and Implementer representative, and is sent via email, or USPS if an email address is not available.

3.2.3. Administrator removes the dismissed Trade Ally from Focus on Energy eligibility by making the following changes in SPECTRUM:

- Account Details > Currently Banned? > Yes
- Trade Ally Information > Trade Ally > No
- Trade Ally Information > Eligible for Payment > No
- Trade Ally Information > Opt-out of Find a TA Tool > Yes
- Trade Ally Information > Trade Ally End Date = Date of dismissal

Administrator Point of Contact	courtney.wojcik@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 03/15/24: Updated links.

SYSTEM ACCESS REQUESTS

Purpose

This procedure establishes the process to gain, terminate, or request an update a user's access to systems such as SPECTRUM and The Grid, Focus on Energy's database of record and SharePoint intranet site respectively.

Procedure to Request SPECTRUM/Grid Access for New Users

1. Implementer completes and submits the online [New User Request Form](#).
 - 1.1. The online request form was developed to help standardized and simplify the new user request process. Ideally the form is submitted by the Implementer or Administrator point of contact who is familiar with the database and the new user's system needs.
 - 1.2. The new user must complete a Focus on Energy Compliance Certification form and review the necessary compliance information before the request is submitted.
 - 1.2.1. Existing Implementer system users may access blank forms under the [Compliance Forms](#) folder on The Grid. New Implementers shall be emailed a copy of the applicable compliance documents during onboarding.
 - 1.2.2. Upload the completed compliance form to the new user request form. The Implementer should also save a copy to their program's compliance folder on The Grid.
 - 1.3. All required fields must be completed. The comments field may be used to capture any pertinent details not already identified within the form. Users can hover over various field names within the form to view tips and reminders.
 - 1.4. Upload a staff photo of the new user. This photo is used for the internal [Staff Directory](#) on The Grid and for the system profile photo.
 - 1.4.1. The photo should show most of the person's face with slight margins on the top and sides being best.
 - 1.4.2. The photo should be saved as a .JPG file with the naming convention [Organization_FirstName_LastName.jpg].
2. After the form is submitted, a submission confirmation email is sent, and a Jira ticket is automatically created and assigned to the Administrator.

3. Administrator reviews the Jira ticket, contacting the submitter if additional information is needed.
4. Administrator adds the associated Implementer Jira point of contact, if applicable, as a watcher to the ticket and assigns the Jira ticket to the Systems Administrator for set up. Time needed to complete request may vary; however, it is typically no longer than a week.
5. The System Administrator emails the new user temporary login credentials and instructions.
 - 5.1. Temporary login credentials are time sensitive so new users should log in as soon as possible.
 - 5.2. The same Microsoft 365 login credentials are used for [SPECTRUM](#) and/or [The Grid](#), however they have different URLs.
6. If enhanced Grid access was requested, the Administrator adds the user to the applicable Grid Group(s), used to manage access.
7. Administrator assigns the Jira ticket to the Implementer Jira point of contact, if applicable, to confirm completion. If there is no Implementer Jira point of contact, the Administrator shall follow up with the new user.

Procedure for Access Requests for Existing SPECTRUM/Grid Users

1. Access requests for existing SPECTRUM/Grid users may include, but are not limited to:
 - Requests to reset a user's Multifactor Authentication (MFA).
 - Requests to add a user to a shared mailbox.
 - Requests for additional SPECTRUM or Grid access.
2. Implementer submits a Jira ticket to the Administrator with details of the request.
 - 2.1 If Implementer does not have a Jira point of contact, please email operations@focusonenergy.com and include details of the request.
3. Administrator reviews the Jira ticket and completes the request or escalates the ticket to the System Administrator, if needed.
4. Once completed, the Administrator assigns the ticket back to the original Jira ticket reporter for verification.

Procedure to Disable SPECTRUM/Grid Access

1. Upon learning a system user will be leaving the Focus on Energy Program, the Implementer submits a Jira ticket to the Administrator to request access be disabled by the user's last day on the Program. The Jira ticket should include the following details:
 - **Summary (Title):** Disable System Access – [User's Name(s)] on [MM/DD/YY]
Example: Disable System Access – Joe Smith on 07/01/22
 - **Description:** Brief description of request. Include if the user's Focus on Energy emails should be forwarded to a different user. Include the users email Focus on Energy email address for forwarding. Emails will typically be forwarded for one month. Please also note if the user had access to any additional program systems (e.g. Huddle, Wrike, Jira, Formstack) which should be disabled as well.
 - **Components:** Users, Roles, Teams, and Permissions
 - **Priority:** High
 - **Due Date:** Date system access should be removed on.
2. Administrator reviews and assigns the Jira ticket to the Systems Administrator to disable the user's access to SPECTRUM and/or The Grid.
3. Administrator removes user from any remaining Grid Group(s) and facilitates any additional systems termination requests. Administrator assigns the Jira ticket back to the original Jira ticket reporter for confirmation.

Procedure to Suspend SPECTRUM/Grid Access

1. User access may temporarily be suspended in instances such as a user continuing to work on the Focus on Energy Program, but with a different company. In these instances, the Implementer should submit a Jira ticket with the following details:
 - **Summary (Title):** Suspend User Access - [User Name] on [MM/DD/YY]
Example: Temporarily Suspend User Access – Joe Smith on 07/01/25
 - **Description:** Brief description of request. Note the last day at the current company and tentative first day at the new company. Include if the user should be removed from specific user teams, shared inboxes, approval workflows, and/or other systems such as Formstack or Jira.
 - **Priority:** High
 - **Due Date:** Date system access should be suspended.
2. Administrator reviews the ticket and removes the user from previous company's Grid Group (if applicable), teams, workflows, or noted systems etc.

3. Administrator assigns the Jira ticket to the System Administrator to suspend access.
4. Administrator assigns the Jira ticket back to the original Jira ticket reporter. The Jira ticket can be closed, and the reactivation request should be submitted by the new company.
5. Once the user begins at the new company and obtains a company email address, the new Implementer submits a request to reactivate the user. This can be done either by submitting a Jira ticket or by completing the New User Request Form and indicating the request is to reactivate a previous suspending account.
 - 5.1. User will be emailed new credential information by the Systems Administrator. Upon sign-in, the User will be prompted to set up the two-step verification process where the phone number may be updated if necessary.

Administrator Point of Contact	jenny.lamay@focusonenergy.com
Revision History	<p>See archived versions for revision history prior to 2024.</p> <p>03/15/24: Minor edits.</p> <p>04/01/25: Updated procedure title and headings for clarity. Added link and procedure for the online New User Request Form. Refreshed procedure throughout.</p>

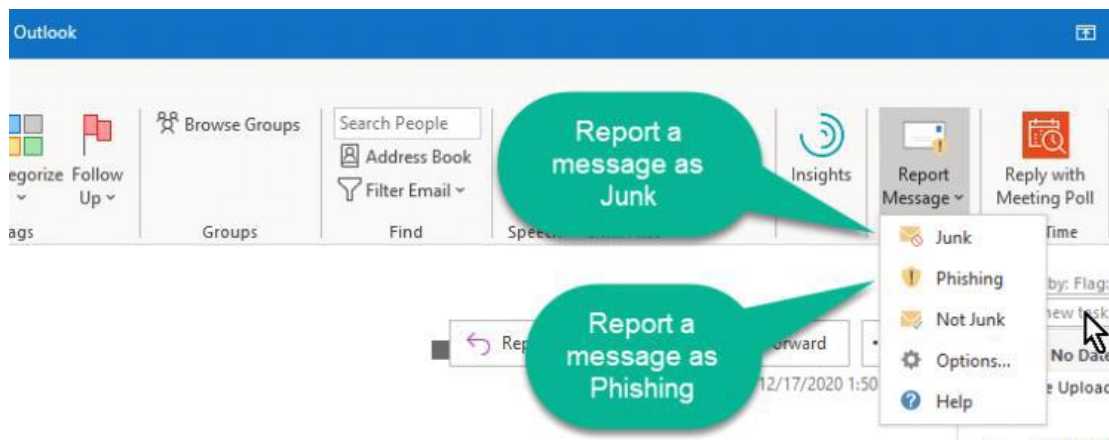
System Security & Reporting Phishing Attempts

Purpose

To provide direction on how to report a suspicious email sent to a Focus on Energy email account. This procedure also includes system security best practices. For additional guidance, refer to the *Information Security & Confidentiality* policy in the [Policy Manual](#) and the [Focus Compliance Training](#) located on The Grid.

Procedure

1. Suspicious emails sent to a Focus on Energy email account should be reported using the 'Report Message' button in Microsoft Outlook and select 'Phishing'. These messages will be reviewed for suspicion activity. Whereas reporting an email as 'Junk' helps train the spam filters to recognize similar emails in the future.



2. System Security Best Practices:
 - 2.1. **Never lower your guard.** High risk days include days before a holiday.
 - 2.2. **Never click on links to unknown sources.** Before clicking on a link embedded in an email message, determine if you were expecting the email and whether you know the sender. Hover your mouse over the link to view the URL to see if you can determine its authenticity. It could lead to a website meant to steal your credentials or install malware on your computer.

As an additional safety precaution, the enabled system security feature, Safe Links, allows Microsoft to scan links in an email for malicious content.
 - 2.3. **Be cautious of malicious files.** Some phishing emails will include a malicious file attachment instead of an embedded link. The Microsoft

Defender Safe Attachments security feature is enabled and automatically scans attachments.

Note: Very large files may take some time to complete the scan. For more details on Microsoft Defender, please review the [instructions](#) on The Grid.

2.4. **Look for incorrect grammar, spelling errors, and non-standard English usage.** These are often indicators of phishing attempts. If the message came from outside your organization and was unexpected, report it as a phishing attempt.

2.5. **Re-set your password** if you accidentally click a link from an untrusted site.

Example: An example of an actual phishing attempt email can be viewed on [The Grid](#). This example identifies the various suspicious red flags.

3. Additional System Security measures:

3.1. Multi-Factor Authentication (MFA) is mandatory for all Users.

3.2. Logins from outside the U.S. will be blocked. Exceptions may be granted for extenuating circumstances and require Administrator approval.

Administrator Point of Contact	stephanie.otoole@focusonenergy.com
Related Training	Focus Compliance Training
Revision History	03/15/24: Added link to Compliance Training and Policy Manual; added best practices and sample phishing attempt.

MODIFYING GOVERNING FOCUS DOCUMENTS

Purpose

This procedure establishes how the Administrator facilitates a request to modify a governing Focus document, including contracts, Policy Manual, Operational Procedures Guide, and Incentive Agreements.

Procedure to Seek an Exception to the Incentive Agreement Terms and Conditions

1. Implementer shall upload a copy of the Incentive Agreement (Word is preferred) with redline edits using tracked changes to the Program's folder on The Grid. Notify the Administrator Compliance Manager of the request for an exception/modification.
2. Redline edits will be reviewed by the Administrator and legal counsel, if applicable.
3. Feedback may be provided within the document if the edits are approved, denied, or more information is needed.
4. Implementer shall share the feedback with the Customer. If the Customer agrees to the feedback and no additional revisions are needed, the Implementer shall make the approved manual edits to the Incentive Agreement and upload a final copy to The Grid for documentation. Incentive Agreement signed by the Customer shall be uploaded to the Application documents in SPECTRUM, per the usual procedures.
5. Implementer should allow at least two weeks for Administrator to review and approve/reject the request.

Procedure to Modify Implementer Contract Deliverables, Performance Metrics, or Scope of Work

1. Implementer may request to change the program budget, energy savings goal, performance metrics, or work scope to the Administrator Point of Contact. The Administrator will facilitate the PSC's approval of the proposed change, if required.
 - 1.1. Refer to the [Approval Matrix](#) for guidance to determine if a contract addendum is required.
 - 1.2. If a contract addendum is required, upon PSC approval (if needed), Administrator Point of Contact will complete the Administrator's [Contract Change Request Form \(CCRF\)](#) and route it for approval internally.
 - 1.3. If an addendum is not required:
 - 1.3.1. For a budget change, follow the Line-Item Shift process below (Sec.4).

- 1.3.2. For other changes, such as a staff title and billing rate change—document it in the Contract Tracking Tool on The Grid and route it to the Administrator for review and approval.
2. Administrator will draft the contract addendum and route it for approval. After approval is received, Administrator will route the addendum using AdobeSign to the designated signers for execution.
3. Fully executed contracts and addenda are posted to [The Grid](#) for the PSC and Administrator access and in each Implementer/Subcontractor/Vendor/Researcher's Grid folder.
4. Line-item shift process:

For entities with a multi-year Focus contract, an entity can seek Administrator approval to: shift (1) funds in all Budget Cost Line Items, (2) compensation rates, (3) energy savings goals, or (4) milestone payments from one program year to another program year without a contract addendum. *A request to shift Incentives to non-Incentives requires an addendum including PSC approval.*

 - 4.1. Implementer/Subcontractor/Researcher completes the Line-Item Shift worksheet tab in their Contract Tracking Tool on The Grid and submits an email request to the Portfolio/Program Manager for approval.
 - 4.2. If Portfolio/Program Manager approves the shift, the Portfolio/Program Manager indicates approval in the Line-Items Shift table in the worksheet tab.
 - 4.3. Portfolio/Program Manager advises Financial Manager of the shift so the budget in SPECTRUM can be updated.
 - 4.4. If there is an approved shift in energy savings goals, Portfolio/Program Manager will notify Compliance Manager so SPECTRUM can be updated.
 - 4.5. If there is an approved shift in Compensation Rates or Milestone Payments, Portfolio/Program Manager will notify Compliance Manager so the entity's Contract Tracking Tool can be updated.

Procedure to Modify the Policy Manual

1. The Administrator will seek policy input from Implementers semi-annually, usually in May and October.
2. On an ad hoc basis, Implementers can also provide suggestions for a policy change or ask for policy clarification by completing the [online form](#) on the Focus on Energy website. Implementers may also submit policy inquiries via email to stephanie.otoole@focusonenergy.com.
3. If interested in finding past policy exception decisions, refer to a prior Policy Manual year and refer to the Supplemental Information on Policies and Procedures

section. The revision history from the prior year can also be found at the end of the manual.

4. Administrator maintains a list of potential Policy Manual modifications. This list is saved to the Administrator's [Team Spaces](#) on The Grid for cross collaboration with the Administrator, Compliance Agent, and the PSC.
5. If certain policies are identified by the Administrator as requiring modification or if a new policy needs to be drafted, the Administrator will submit a list of proposed updates to the Compliance Agent and the PSC for review. After the PSC, the Compliance Agent, and the Administrator agree on the proposed language and/or policy change(s), the Compliance Agent will edit the Policy Manual and document changes made in the revision history of each policy update.
6. The Administrator will ensure any proposed changes to the Policy Manual are not in conflict with the APTIM/SEERA contract, amendments, and the Implementer contract template.
7. The PSC and Administrator will review and approve the updated Policy Manual, which will then be posted on the Focus website and on The Grid by the Administrator.
8. Within two days of publishing, the Administrator will communicate to all Focus staff the Policy Manual was updated.
9. The Administrator will ensure any proposed Policy Manual changes requiring inclusion in the Operational Procedures Guide are made, if necessary.
10. The mid-year Policy Manual review process, usually occurring in June for July publication, will result in supplemental changes that will be incorporated into the next version of the Policy Manual, typically in January.

Procedure to Update the Operational Procedures Guide

1. The Operational Procedures Guide will be reviewed for accuracy and relevancy annually by the Administrator.
2. Administrator will begin the review process after the Policy Manual annual update is finalized in Q1.
3. The Administrator will (1) distribute the current Operational Procedures Guide and identify the section title and procedure number to key core functional team members for input to ensure the procedures accurately reflect workflow and Program needs; and (2) coordinate team meetings as needed to address any inconsistencies and needs for improved efficiency and/or transparency.

4. The final Operational Procedures Guide will be posted to the Administration tab of [The Grid](#) under Policy, Procedure, Resources document library.
5. The Administrator will share the updated Operational Procedures Guide with all Administrator staff and email the Implementers informing them of the posting to The Grid.

Procedure to Request an Update the Operational Procedures Guide

1. An Implementer can request a modification by emailing operations@focusonenergy.com and copying the procedure's Administrator point of contact. Implementer should include the following information:
 - Procedure Name.
 - Section needing changing.
 - Rationale for the change.
 - If a new procedure is suggested, explain in detail why a new procedure might be needed.
2. Administrator will review and decide if the procedure should be modified (or added, if new) and determine the urgency of the update. Administrator will respond to the Implementer within two weeks of the request as to whether a change is warranted, and if so, the expected timeline for updates.
3. If approved, the Administrator will ensure the updated procedure is incorporated into the posted Operational Procedures Guide on The Grid and communicated with Focus staff.

Procedure to Modify a Focus on Energy Governing Document

Focus on Energy governing documents refer to the following list of documents, though not exhaustive:

- Contracts
 - Incentive Agreement or Project Completion Notice terms and conditions
 - Memorandum of Agreement/Understanding
 - Participation Agreements
 - Trade Ally Acknowledgement terms and conditions
1. Implementer should contact their Administrator Point of Contact to request a change to a Focus governing document. The Implementer should identify the

- document, the language being rejected or desired and provide additional narrative to assist the Administrator in its review of the exception request.
2. Administrator Point of Contact will route the request to the Administrator Compliance Manager who will review the request and provide a response to the Portfolio Manager and Implementer within 5 days. If a legal consult is required, the review time will be extended. Administrator Compliance Manager will track the request and final disposition in an internal workbook.
 3. In the event the Administrator team determines the document in question should be updated globally, the Administrator will post the updated document to the Focus website and The Grid and communicate the change to Focus staff.

Administrator Point of Contact	stephanie.otoole@focusonenergy.com
Revision History	<p>See archived versions for revision history prior to 2024.</p> <p>03/15/24: Changes to the line-item shift process, other minor edits.</p> <p>04/01/25: Updated contact email in the procedure to request an update to the Operational Procedures Guide and other minor updates for clarity.</p>

FUTURE FOCUS “LITE”: SUBMITTING IDEAS & COLLABORATION

Purpose

This procedure outlines how Focus on Energy staff should submit a new idea (defined as a pilot, demonstration project, or new service delivery or design) for development through Future Focus.

The Administrator leverages a variety of subject matter expertise to provide guidance, recommendations, and approval of ideas in support of Implementers. Any Focus on Energy staff member can submit an idea, but this procedure has been designed primarily for Implementer staff.

For changes to existing measures, Implementers should follow the measure workpaper process in Huddle. For potential new measures, the Implementer can either submit within Huddle or discuss with their Administrator Point of Contact to determine if review efforts of the new measure exist.

Procedure

1. For new ideas not relevant to existing program budgets, ideas should be submitted to the Future Focus Initiative [through the online portal](#). Basic information needed includes a summary of the idea, customers targeted, benefits to Focus on Energy, anticipated budget, and timeline.
 - 1.1. For innovation impacting existing program budgets or new offers within existing programs (e.g., Trade Ally Bonus), a [New Initiative Proposal](#) should be completed and submitted to the Implementer's Administrator Point of Contact.
2. A follow-up email from the Administrator will be sent within 10 business days. Additional information regarding development and feasibility of the idea may be requested by the Administrator, which may be of use to developing idea. Parties may also be notified their idea is not be moving forward in the process with an explanation as to why.
3. Ideas will be evaluated internally by the Future Focus team and scored on several criteria, including:
 - 3.1. Strategic alignment and innovation including relevance to Focus and opportunity to learn new information.
 - 3.2. Feasibility and scalability including the ability to deliver the idea within the Focus framework and the opportunity to expand the idea beyond the pilot stage.

- 3.3. Energy and community value including impact on access, participation, and benefits being provided.
- 3.4. Expertise and qualifications including the submitter’s capabilities and the proposed budget and timeline.
- 4. If a submitted idea is selected for development, individuals may be asked to contribute in various ways.
 - 4.1. Administrator may reach out to request a revised scope of work, budget, and detailed timeline for the idea before moving to the procurement process.
 - 4.2. Administrator may reach out for additional information and collaboration across Focus teams before moving forward with development of the idea prior to requesting a revised scope of work, budget, and detailed timeline.

Administrator Point of Contact	jacqueline.freidel@focusonenergy.com
Revision History	<p>See archived versions for revision history prior to 2024.</p> <p>03/15/24: Updated scorecard and clarified procedure.</p> <p>04/01/25: Updated process for submitting a new ideas and modified scoring criteria.</p>

EMERGING TECHNOLOGY PROGRAM COLLABORATION

Purpose

This procedure details guidance for Implementers who have received inquiries from Customers or Trade Allies regarding emerging technologies not included in an existing measure group or category outlined in the current Technical Reference Manual (TRM) but having energy savings potential. This procedure also applies to Implementers who have inquiries regarding the review status of an emerging technology, or if a technology is eligible for energy savings through existing Focus on Energy programs. Future Focus can support Implementers with technical reviews and savings determination on a case-by-case basis.

Procedure

1. Review the current year's published TRM for the technology in question to determine whether it has been approved as a measure.
 - 1.1. If the technology exists within the TRM, utilize the active measure entry to claim savings within a standard application.
2. If access is available, review draft workpapers in Huddle to determine if the technology in question is under development.
 - 2.1. Questions regarding draft workpapers can be loaded directly into Huddle as a comment and can be directed at individual staff as needed.
3. If the technology cannot be found in either the current TRM or Huddle, collect all provided information and send via email to FutureFocus@focusonenergy.com. Project information from previous years can be found on [The Grid](#). This inquiry will be reviewed and may be selected for further investigation. Documentation is intended to support verification of energy savings and market development, including commercialization status of the technology and available vendors, along with supplemental installation best practices to Guide transition of this technology for broader adoption and incentivization.
 - 3.1. Provide the following information, if available, via email attachments: detailed technology application description, estimated payback range and technology cost, active Trade Allies or providers in Wisconsin, description of current market status and availability, installation details, case studies, M&V reports or evaluations, and examples of the technology being used in other energy efficiency programs.

Administrator Point of Contact	jacqueline.freidel@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 03/15/24: Updated step 3.

INCENTIVE PROCESSING

INCENTIVE REVIEW & APPROVAL

Purpose

This procedure establishes the minimum requirements for performing QA/QC review of Incentives and outlines the process to approve Incentives for payment.

Procedure

1. Implementers shall set appropriate thresholds and select appropriate reviewers to ensure accuracy for Incentive approvals utilizing approval workflows in SPECTRUM.
2. The Implementer will review and confirm, at a minimum if applicable, the following information for accuracy:
 - Customer name and legal address, business classification and Tax ID match in SPECTRUM and on application.
 - Annual Customer caps are not exceeded. Incentives counting towards the annual cap are determined by the Actual Installed/Purchased Date. The Customer cap is \$400,000 per Customer per calendar year, inclusive of most Focus on Energy participation.
 - Participation in Instant Discount/Midstream model and voluntary programs do not count towards the annual Customer cap.
 - Implementers shall coordinate to ensure Customer does not exceed their annual incentive cap if Customer applies for incentives from multiple programs.
 - Once a Customer's annual cap is met for the program year, applications may be processed; however, no incentives will be paid.
 - Annual Cap Exceptions may be granted for certain customers. See the [Annual Cap Exceptions](#) procedure.
 - Ensure program or project-specific caps are not exceeded. Incentives for the Business Portfolio will be capped at \$300,000 per project.
 - Payee name and address match in SPECTRUM and on application.
 - Sector and property type (i.e., New Construction) match in SPECTRUM and application.
 - Site address and property usage match in SPECTRUM and application.
 - Incentives applied for meet measure requirements.
 - Accurate savings are entered in SPECTRUM.
 - Incentive total matches in SPECTRUM and on application.
 - Required documentation is uploaded to SPECTRUM application.

- Necessary QA/QC has been completed on application, including post-installation inspections when required.
3. After the Implementer has approved the Applications in SPECTRUM, the Administrator will conduct a QA/QC review of the percentage of applications required, as outlined in the Incentive Review Matrices below:

Residential Portfolio Incentive Review Matrix

Incentive Amounts	Percentage to Verify
<\$1,000	Batch review for duplicates and outliers
\$1,000 - \$10,000	25%
>\$10,000	100%

Business Portfolio Incentive Review Matrix

Incentive Amounts	Percentage to Verify
<\$10,000	Batch review for duplicates and outliers
\$10,000 - \$40,000	50%
>\$40,000	100%

4. Administrator Responsibilities:
- 4.1. This QA/QC inspection shall confirm, at a minimum, the following items on the application and in SPECTRUM match:
- Payee name and address.
 - Site address.
 - Incentive total.
 - A duplicate record in SPECTRUM does not exist for the application.
 - All required fields are completed in SPECTRUM.
 - Savings and Incentives fall within acceptable ranges.
 - Ensure annual Customer caps are not exceeded.
 - Ensure any program-specific caps are not exceeded.

- 4.2. All questions regarding application completeness, accuracy, documentation or other Incentive payment-related inquiries shall be directed to the Implementer. The Administrator shall not approve the Incentive until Implementer is able to satisfactorily answer Incentive payment-related questions. If unable to resolve question within 24 hours, Implementer will remove application from the approval workflow.
5. If an issue is discovered prior to payment approval or export, the Implementer will take the following actions:
 - 5.1. Review the Status Reason of the Application Measure(s) to confirm if the Application can be pulled out of the payment workflow for corrections.
 - 5.1.1. If the Status Reason is "Exported for Payment", the application cannot be pulled back to "In Progress". Send an email with details about the issue to operations@focusonenergy.com and the Administrator will review and follow up.
 - 5.1.2. If the Status Reason is "Submit for Payment Review" or "Pending Export for Payment", change the Status Reason of the Application to "In Progress" for Standard Applications or "Pre-Approved" for Custom Applications. If measures were individually submitted for payment review, change the Status Reason of the Application Measure to "Installed" for both Standard and Custom Application types.
 - 5.2. Make any necessary corrections and add a note to the SPECTRUM Application Timeline detailing the correction.
 - 5.3. Change the Status Reason of the Application or Application Measure back to "Submit for Payment Review" to re-initiate the payment review workflow.
6. The Administrator will review applications in their SPECTRUM queue making appropriate effort to review and approve Incentives in a timely fashion. Completed and accurate prescriptive applications received in the queue at least three business days prior to the check run cutoff will be reviewed and approved for payment. Refer to the [Process Schedule](#) for the check run cutoff dates.

Administrator Contact	operations@focusonenergy.com
Revision History	<p>See archived versions for revision history prior to 2024.</p> <p>03/15/24: Minor edits.</p> <p>04/01/25: Updated table in step 3, included new email address in step 5,</p>

added, updated Administrator contact, and made general updates for clarity.

ANNUAL CAP EXCEPTIONS

Purpose

Customers anticipated to exceed the current annual customer caps may seek an exception using the process below. Exceptions must be approved by the Administrator and approvals are not guaranteed.

Procedure

1. Implementer provides Administrator Point of Contact with the following information:
 - 1.1. Comprehensive list of projects to be considered as part of exception request including:
 - Project type: Lighting, compressed air, process upgrade, etc.
 - Current status: Paid, pending, approved, identified, etc.
 - Incentive: Identify paid, preapproved, or estimated amount.
 - MMBtu Savings: Identify paid/actual, preapproved, estimated amount.
 - Completion date: Actual or estimated.
 - 1.2. Current or previous cap exception requests.
 - Annual cap exception request amount (total and/or per year).
 - Status (Approved, pending, or denied)
 - 1.3. Explanation of how denial of annual customer cap exception approval will impact the customer's ability to implement projects.
 - 1.3.1. This may include, but is not limited to, implementation not occurring at all, implementation being delayed, or project scope being modified.
2. Administrator reviews information and responds within five business days with approval or request for additional information.
3. Upon approval or denial, the following steps will take place:
 - 3.1. For approved annual cap exceptions:
 - 3.1.1. Administrator provides approval letter as a PDF to the Implementer.
 - 3.1.2. Implementer provides customer with the approval letter to sign.
 - 3.1.3. Implementer uploads signed copy of the letter to the customer's SPECTRUM account.
 - 3.1.4. Administrator creates Task (Activity) in SPECTRUM under the customer's account using the following guidance:
 - **Subject:** Annual Customer Cap Exception – [YEAR START - YEAR END]

- **Regarding:** Customer Account.
- **Description:** [Customer Name] approved to receive up to \$[X.XX] in total incentives for projects completed in [Year 1, Year 2, etc.]. Customer cannot exceed more than [\$X.XX] in any single program year.
- **Activity Category:** Exception Request.
- **Actual Start:** January 1, [YEAR] (first year of agreement).
- **Actual End:** December 31, [YEAR] (last year of agreement).

3.2. For denied annual cap exceptions:

3.2.1. Administrator informs Implementer of denial and reasons for request being denied.

3.2.2. Implementer notifies customer of annual cap exception being denied.

3.2.3. Administrator creates Task (Activity) in SPECTRUM under the customer's account using the following guidance:

- **Subject:** Annual Customer Cap Exception – Denied
- **Regarding:** Customer Account.
- **Description:** [Customer Name] requested annual cap exception for [YEAR START - YEAR END]. Exception request denied due to (specify reasons for denial).

3.3 Administrator marks the Task as Complete.

Administrator Point of Contact	courtney.wojcik@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024.

PROJECT PRE-APPROVAL

Purpose

This procedure provides direction and timelines for the preapproval of non-residential Incentive Applications. Custom energy efficiency and renewable energy projects must demonstrate verifiable energy savings or production and cost-effectiveness to be eligible for an Incentive. Custom projects are incentivized based on the amount of calculated annual energy savings or production for each measure.

Procedure

1. All projects shall be preapproved by the Implementer within 10 business days of receipt of the complete request or application.
2. Implementer shall ensure application accuracy and completeness regarding account, site, eligibility, savings and incentive calculations, and all pertinent identification and processing information.
3. Implementer shall ensure the Customer has not purchased equipment prior to preapproving the custom Incentives and shall take all reasonable actions to minimize Program free ridership.
4. Implementer shall analyze each measure for baseline and measure assumptions, mathematical errors, and use of appropriate engineering calculations and methodology.
 - 4.1. Implementer will provide documentation to support baselines and assumptions used to determine energy savings.
 - 4.2. Implementer shall confirm if equipment will be in full operation at start-up or if conditions/circumstances will prevent the project from achieving its full savings potential upon start-up (also referred to as a ramp-up). This may require adjustments to lifecycle energy savings.
5. Projects must be evaluated for adherence to payback criteria, which are divided into three categories: standard (1-10 years), low (less than 1 year), and renewables (1-20 years). Each payback category has its own incentive rates, and eligibility details can be found in the current Custom Incentive Guide.
 - 5.1. To calculate payback, the Incentive is subtracted from the total or incremental project cost and divided by the annual energy cost savings.
6. All projects with Incentive values of or exceeding \$40,000 will be routed for additional review and preapproval by the Administrator through SPECTRUM workflows as established in the table below.
7. Administrator preapprovals of projects which meet program guidelines shall occur within five business days of Implementer preapproval.

8. Administrator staff shall review calculation workbooks and any additional documentation to confirm program guidelines are followed.
9. Any questions by the Administrator staff shall be directed to the Implementer responsible for initiating the preapproval request.
10. If a project is denied preapproval by the Administrator, the Implementer may choose to undergo an appeal process to seek preapproval.
 - 10.1. The Implementer will have five business days from receiving notice of denial to submit an appeal to their Program Point of Contact. The appeal should include the justification for why the project should be preapproved, such as methods or assumptions used for the engineering review.
 - 10.2. The appeal shall be submitted to the Energy Portfolio Manager, who will provide a final decision within two business days of receipt.

Project Pre-Approval Matrix

Incentive Amounts	Implementer	Administrator Review
<\$40,000	10 days	NA*
\$40,000-\$100,000	10 days	5 days
>\$100,000	10 days	7 days

Administrator Contact	operations@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 04/01/25: Updated Administrator contact email.

CLAIM-ONLY PROJECTS

Purpose

Focus on Energy may claim energy savings on projects not eligible for Incentives if the Program influenced the Customer's decision to implement the project. An Implementer may submit a claim-only project for Administrator approval, provided there is clear evidence demonstrating the Program's influence on the energy-efficiency project. Projects associated with fixing maintenance-related issues are not eligible as claim-only projects.

Claim-only projects may be pursued for the following reasons:

- Payback does not meet program requirements.
- Project timeline does not allow for preapproval.
- The project was part of a Project Assessment Incentive but did not apply for incentives upon completion.
- The Customer elected to complete the project without an incentive at the advice of the Energy Advisor.
- A third-party M&V identified additional savings above and beyond what was claimed as part of a previously paid project.
- Additional reasons as approved by the Administrator.

This procedure establishes guidelines for entering and approving claim-only projects.

Procedure

1. If the reason for the claim-only project is not listed above, Implementer shall email Administrator Point of Contact for approval to proceed with application.
2. Enter Application SPECTRUM following the normal procedure and include "Claim-Only" in the application name.
3. For custom measures, upload project documentation to SPECTRUM including custom workbook with completed Impact Statement documenting the Program's influence, and when available, a Customer or Trade Ally statement confirming Program involvement. For prescriptive only applications, upload the application and supporting documents including documentation of Program influence.
 - 3.1. If Implementer is unable to acquire required documentation from the Customer, Implementer may use past communications from Customer or Trade Ally as documentation of project details and scope, such as information on the equipment and/or associated energy performance (M&V) data. Documentation should support Program's claim of awareness and involvement in project.

4. Preapproval is required for Applications with custom measures. All claim-only applications shall receive adequate Program Implementer technical review. All claim-only applications must be reviewed by the Administrator during the preapproval workflow which will be automatically triggered through the SPECTRUM approval workflow.
 - 4.1. If Administrator determines the Implementer did not have necessary awareness and involvement in the project, the claim-only project will be denied. Implementer may undergo the appeal process cited in the Project Preapproval procedure.
5. Each reviewer of the application shall add a note to the Application Timeline in SPECTRUM stating they have reviewed the application. Requests for additional information should also be documented.
6. Preapproval can be done after project installation if timing does not allow for preapproval prior to project completion. Attempts to preapprove projects in advance of completion should be made when possible.
7. The project must go through the payment approval workflow in SPECTRUM to claim savings. Payment approval requires documentation of project completion and equipment is operational. If invoices and/or an inspection is not feasible, must receive written acknowledgement from Customer or Trade Ally of project completion.

Administrator Contact	operations@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 04/01/25: Updated Administrator contact.

PROVISIONAL PREAPPROVAL OF CUSTOM PROJECTS

Purpose

This procedure provides guidance on obtaining provisional preapproval from the Administrator for custom projects. Provisional preapproval should be pursued if a customer has unique circumstances requiring them to move forward with the project before the incentive is formally preapproved, which could otherwise result in the project being disqualified for a custom incentive. These actions may include, but are not limited to, needing to purchase or order equipment. The Administrator is the only party authorized to provide provisional preapproval for custom projects.

Provisional preapprovals will be considered under the following conditions:

- The customer has been actively engaged with a Focus Energy Advisor and/or Trade Ally regarding the proposed project prior to recognition of the need for provisional preapproval.
- The customer has requested a provisional preapproval be pursued on their behalf.
- All parties commit to submitting the project for formal preapproval within 30 calendar days of provisional preapproval being granted.

The quality and quantity of information available on a provisional preapproval is different from an expedited preapproval request. Expedited preapprovals are used in instances when the project workbook is complete and ready for review but the timeframe for which the Administrator review needs to occur is quicker than normal (17 days).

Procedure

1. Implementer creates an Application in SPECTRUM for the project seeking provisional preapproval. A project workbook must be uploaded in SPECTRUM with the following sections/tabs completed:
 - 1.1. Project Summary.
 - 1.2. Impact Statement signed by the customer.
2. Implementer creates a Task (Activity) in SPECTRUM under the applicable Application with the following information:
 - **Subject:** [Program Abbreviation] - Provisional PA Exception – [Customer Name]
Example: LI – Provisional PA Exception – Manufacturing Co.

- **Regarding:** Application Name.
- **Activity Type:** Application Administration.
- **Account:** Customer Account.
- **Provider/Trade Ally:** Trade Ally Account.
- **Actual Start:** Date request is sent to the Administrator.
- **Actual End:** Leave Blank (Administrator will complete).
- **Description:**
 - Reason why provisional preapproval is requested.
 - Project timeline (desired start/completion).
 - Ordering/decision deadline(s) and impact of not receiving timely approval.

Note: Other fields may be completed if useful for reporting/tracking.

3. Implementer assigns Activity to Administrator Portfolio Manager to initiate the request. It is preferred at least 10 business days advance notice is given for reviews.
4. Administrator reviews the request to confirm there is a demonstratable need for provisional preapproval. This includes verifying the documentation supports the project's conceptual design and equipment selection as well as confirming compliance with custom incentive eligibility guidelines (payback and incentive caps) based on the estimated energy savings and potential incentive amount.
5. Administrator follows-up with additional questions or approval/denial within 10 business days. Denied requests will include an explanation to support the denial.
6. Administrator adds a note regarding the approval/denial in the Task Timeline. Administrator enters the date of approval/denial in the End Date field and marks the Task as Complete.
7. Administrator assigns the Task back to the original creator. This will need to be done at the main Activity entity view in SPECTRUM once the Activity is complete.
 - 7.1. It is recommended Implementers enable SPECTRUM email notifications for assigned Tasks, which can be enabled under the User record. Tasks should also be monitored using Advanced Find views and Dashboards.
8. Administrator completes the Provisional Preapproval letter (.pdf file) and securely shares it with the Implementer so they may send to the customer for a signature.
9. Implementer uploads a signed copy of the letter from the customer confirming their understanding of the terms and conditions of the provisional preapproval.
10. Within 30 calendar days of provisional preapproval, Implementer updates the workbook (as needed) and follows the current custom incentives process to submit the Application for formal approval.

Administrator Point of Contact	courtney.wojcik@focusonenergy.com
Revision History	<p>See archived versions for revision history prior to 2024.</p> <p>03/15/24: Updated steps 2 and 8, minor edits.</p>

CUSTOM INCENTIVES FOR REBUILT OR USED EQUIPMENT

Purpose

This procedure provides guidance on obtaining approval for rebuilt, restored, or used equipment to be eligible for an incentive. Focus on Energy Terms and Conditions specify equipment must be new to qualify for a custom incentive and used or rebuilt equipment is eligible only when preapproved by the Administrator. Approval of rebuilt, restored, or used equipment is not guaranteed by the Administrator.

Procedure

1. Implementer verifies the condition of the proposed equipment and determines if it's rebuilt, restored, or used.
 - 1.1. Rebuilt and restored applies to equipment where key components have been replaced or repaired to improve the condition of the equipment (ex: "like new").
 - 1.2. Used equipment applies to equipment being sold as-is.
2. Based on the condition of the equipment, the Implementer gathers the information and documentation specified below. Equipment information questions with a "yes" response will require additional detail/clarification.
 - 2.1. Used equipment:
 - Equipment Information:
 - What is the estimated remaining operating life of the equipment (years) compared to a new unit?
 - *The estimated remaining operating life of the equipment must be > 50% of the Estimated Useful Life of equivalent new equipment to qualify.*
 - Has the equipment had more than one owner? If yes:
 - How many owners has the equipment had?
 - How long did each owner have possession of the equipment?
 - Did the original owner receive a Focus on Energy incentive for the equipment?
 - Has the equipment been rented or leased in the past? If yes:
 - Was it rented or leased?
 - Was it rented/leased by multiple parties?

- How long was it rented/leased for (by each party if applicable)?
- Has the equipment been installed more than once? If yes:
 - How many times has it been installed?
 - Why was it installed multiple times?
- Has the equipment been installed in more than one location? If yes:
 - How many locations has it been installed in?
 - How long was the equipment installed in each location?
 - Were locations all for the same company?
- Has the equipment been modified from its original condition other than regular maintenance, such as replacement of expendable or failed components? If yes:
 - What modifications have been made to the equipment?
 - Who made the modifications to the equipment?
 - When and why were the modifications made?
- Documentation:
 - Manufacturer's original equipment specifications (if available).
 - Written verification from the customer and/or manufacturer noting whether original equipment specifications are applicable to the equipment in its current condition.
 - Written certification from the current/previous equipment owner or Trade Ally of the actual or estimated operating hours of use of the equipment in its current condition.

2.2. Rebuilt or restored:

- Equipment Information:
 - What is the name and qualifications of the company who has rebuilt or will rebuild the equipment?
 - What specific work is performed on the equipment for it to be considered rebuilt or restored? Specify the components replaced.
 - What warranties, if any, will be provided by the rebuilder?
 - Does the rebuilder complete any testing of the equipment after it has been rebuilt? If yes, can they provide a copy of the results?

- Is the rebuilt equipment expected to have the same Estimated Useful Life (EUL) as new equipment (comparable size, design, ratings, etc.)? If no, specify the proposed EUL.
- Did the equipment receive an incentive from Focus on Energy when it was purchased new by the original owner?
- Documentation:
 - Warranties provided by the rebuilder. Performance or functionality warranties are preferred, including performance guarantees.
 - Test report for post-rebuild shop testing of the equipment and/or individual components by the rebuilder, if applicable.
 - Documentation to support the claimed function and/or performance relative to equivalent new equipment.
 - Documentation to support the expected Estimated Useful Life.

Note: If documentation is not available, Implementer should propose an Estimated Useful Life factoring in uncertainties associated with energy efficiency and longevity of the equipment.

3. Implementer creates a Task (Activity) in SPECTRUM under the applicable Application ID and/or Customer with the following information:
 - **Subject:** [Program Abbreviation] - Used/Rebuilt Equipment Exception– [Customer Name]
Example: S&G – Used Equipment Exception – UW Madison
 - **Regarding:** Application Name (if available).
 - **Activity Type:** Application Administration.
 - **Account:** Customer Account.
 - **Provider/Trade Ally:** Trade Ally for project (if known).
 - **Actual Start:** Date request is sent to the Administrator.
 - **Actual End:** Leave blank (Administrator will complete).
 - **Description:** Brief project summary.
 - **Savings Details:** Total estimated savings (if known).
 - **Total Incentive:** Estimated incentive (if known).
 - **Current Project Estimated Completion Date:** Estimated completion date.
 - **Documentation:** If there is an Application started, please upload necessary documentation to the Application. If an Application has not been started and/or more explanation needs to be provided than can

be included in the Task, email the Administrator Point of Contact. Additional information may include estimated start date, ordering decision deadlines, and additional equipment information and documentation.

4. Implementer assigns activity to their Administrator Point of Contact to initiate the request. It is preferred at least 10 business days advance notice is given for equipment approvals.
5. Administrator reviews the request and follows-up with additional questions or approval/denial of equipment eligibility and corresponding Expected Useful Life (EUL). Denied requests will include an explanation to support the denial.
6. Administrator adds a note regarding the approval/denial in the Task Timeline. Administrator enters the date of approval/denial in the End Date field and marks the Task as Complete.
7. Administrator assigns the Task back to the original creator. This will need to be done at the main Activity entity view in SPECTRUM once the Activity is complete.
 - 7.1. It is recommended Implementers enable SPECTRUM email notifications for assigned Tasks, which can be enabled under the User record. Tasks should also be monitored using Advanced Find views and Dashboards.
8. Implementer follows current custom incentive procedures for the remainder of the process.

Administrator Point of Contact	courtney.wojcik@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 03/15/24: Update to steps 3,4, and 6.

PROJECT POST-INSTALLATION INSPECTIONS

Purpose

This procedure provides guidance for contracts with post-installation inspection requirements and how to complete and document inspection activities.

Procedure

1. A post-installation inspection should be completed when the project is considered complete. A project is considered complete when it adheres to the following guidelines:
 - 1.1. The equipment or system is fully installed (including all wiring, controls, etc.).
 - 1.2. The equipment or system completed the necessary startup and commissioning activities, including making any adjustments/modifications identified.
 - 1.3. The equipment or system is operational and capable of producing the anticipated savings.
 - 1.3.1. Special considerations are made for projects where equipment is not operational due to seasonality. This applies to some HVAC and select refrigeration projects. In this case, the system should be capable of producing the anticipated savings if weather was seasonally appropriate to create the necessary heating or cooling load.
2. The Implementer will determine when a project post-installation inspection is requested, based on thresholds listed in Implementer contracts.
 - 2.1. Inspections are required when incentives or savings are in excess of thresholds.
 - 2.2. Random inspections must occur for a set minimum percentage of completed Applications receiving a total Incentive of \$500 or more.
3. The Implementer will conduct post-installation inspections with the following timing:
 - 3.1. Prior to incentive payment if the incentive value exceeds levels noted in the contract.
 - 3.2. On a quarterly basis and no later than three months after incentive payment for random inspections.
4. Implementer will note in the application if a post-inspection is required. Implementer will document, utilizing either notes or activities, attempts to schedule and complete the inspection.

- 4.1. If unable to schedule and complete a required post-inspection, Implementer will contact their Administrator Point of Contact to request an exception.
5. At a minimum, the post-install form should document the following:
 - Date and time of inspection.
 - Inspector.
 - Inspection type (in-person, virtual, or Customer-led inspection).
 - Project contact.
 - Verified and unverified components of project, including rationale for not being able to inspect complete project.
 - Custom calculation inputs provided by the Customer or Trade Ally for the pre-approval (values not backed by the TRM).
 - Discrepancies from Application.
 - Unless prohibited by the Customer, the inspection form must include photographs of the installed equipment. Photos should include make and model number of equipment and quantity, when possible.
6. At the time of inspection, verify the following:
 - Equipment is operational and installed quantities match Application.
 - Make and model of equipment, when possible.
 - Custom project calculation assumptions match installed conditions (baseline conditions, runtime hours, efficiency, setpoints, etc.).
 - Controls are programmed as specified in Application.
 - If applicable, replaced equipment has been removed from site.
7. If discrepancies are identified, discuss with the Customer and/or Trade Ally to confirm no aspect of project was overlooked during the inspection.
 - 7.1. If corrective action can be completed to meet the Application's requirements, allow two weeks to resolve the issue. Confirm project completion.
 - 7.1.1. If project is not completed per Application's requirements, the Application should either be adjusted to reflect the completed project or disqualified if adjustment is not possible.
 - 7.2. If corrective action cannot be taken to meet Application requirements:
 - 7.2.1. If inspection was completed prior to payment, the Incentive shall be reduced or disqualified to agree with installed quantities/equipment.
 - 7.2.2. If inspection was completed after payment and would result in a reduction of \$500 or less, no corrective action will be taken.

- 7.2.3. If inspection was completed after payment and would result in reduction of greater than \$500, contact Administrator Point of Contact for recommended action.
8. Upload completed inspection form to Application documents in SPECTRUM.
9. In the event a physical site inspection is not applicable or appropriate (e.g., equipment tune-ups) Implementer shall complete an audit and review of the submitted application documents to ensure all necessary information was provided and the Incentive was processed accurately. This audit and review should be noted in SPECTRUM.
- 9.1. Virtual inspections completed as a virtual walk-thru with the Customer, utilizing the Administrator-approved inspection form are permitted.

Administrator Contact	operations@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 03/15/24: Updated POC, minor edits. 04/01/25: Updated Administrator contact email.

CUSTOM PROJECTS WITH DELAYED SAVINGS REALIZATION

Purpose

This procedure provides guidance for estimating and claiming energy savings for custom projects when the full expected annual savings will not be realized immediately upon project completion. The circumstances under which savings realization is delayed may be a result of multiple variables, including but not limited to, occupancy, production changes, or the completion of future projects.

The documentation to support delayed savings realization is referred to as a ramp-up plan. A ramp-up plan should be considered for any project where full energy savings realization will occur six months or more after the equipment is installed and/or operational. The timeframe for a project to reach 100% of the original estimated annual energy savings should not exceed five years without approval from the Administrator.

The potential for delayed savings realization should be identified before pre-approval occurs but may also occur upon project completion.

Procedure

1. Implementer determines the timeline for when the customer expects to reach full operating capacity and will be able to deliver 100% of the original estimated annual energy savings.
 - 1.1. If delivering 100% of the estimated savings will occur within six months of project completion, consider delaying payment until the project is expected to deliver 100% of the annual average savings. This requires the customer understanding a delayed payment will occur.
 - 1.2. If delivering 100% of the estimated savings will occur six or more months after completion (not to exceed five years) OR the customer is unable to delay payment of the incentive, a ramp-up plan to claim adjusted lifecycle savings should be pursued (proceed to step 2).
2. Implementer and customer capture the ramp-up plan for the project using the [Savings Ramp-up Template](#).
 - 2.1. Documentation, such as emails, received from the customer should be included with the template to support the assumptions used in the plan.
 - 2.2. Implementers may use an alternative template with approval from the Administrator.
3. Implementer uploads a copy of the Savings Ramp-up Template (or other approved template) to the Application in SPECTRUM.

4. Implementer notifies the Administrator prior to the project being submitted for pre-approval (new applications) or payment review (preapproved applications). The Implementer provides the Administrator with the following information:
 - 4.1. Application ID.
 - 4.2. Description of variables impacting operating capacity and ramp-up schedule.
 - 4.3. Estimated savings impact.
 - 4.4. Recommended incentive adjustment (if applicable).

Note: If the adjusted lifecycle savings (MMBtu) are reduced by more than 5% compared to the lifecycle savings achieved over a full effective useful life, it is at the discretion of the Implementer to reduce the incentive proportionally to the lifecycle savings reduction.
5. Administrator reviews the project and corresponding ramp-up plan and will respond within 10 business days with questions and/or approval.
 - 5.1. Each ramp-up plan will be reviewed and approved on a case-by-case basis with input from Evaluator (as needed).
 - 5.2. The Administrator reserves the right to request the incentive be reduced based on adjusted lifecycle savings.
6. Implementer follows normal custom processing procedures for the remainder of the process with the following exceptions:
 - 6.1. For projects seeking pre-approval:
 - 6.1.1. Estimated Savings and Incentive column in the Application Measure(s) in SPECTRUM are updated to reflect the estimated Annualized Average savings and the adjusted lifecycle savings documented in the ramp-up plan.
 - 6.2. For projects ready for payment review:
 - 6.2.1. The Implementer confirms the accuracy of the ramp-up plan assumptions and documentation (if preapproved with a ramp-up plan).
 - 6.2.2. Actual Savings and Incentive column in the Application Measure(s) in SPECTRUM are updated to reflect the estimated Annualized Average savings and the adjusted lifecycle savings per the final ramp-up plan.

Administrator Point of Contact	courtney.wojcik@focusonenergy.com
Revision History	03/15/24: Updated POC.

CUSTOMER & TRADE ALLY SPECTRUM ACCOUNT MANAGEMENT

Purpose

This procedure establishes guidelines for creating and using accounts in SPECTRUM. An “account” is a record for a company, individual, or organization having a relationship with Focus on Energy. All staff are expected to use SPECTRUM for managing Customer, Trade Ally, and Third Party data and be trained on correct data entry procedures, including Administrator guidance on entering new accounts to minimize duplicate records in the system. Implementers are encouraged to contact the Administrator if they encounter account situations not covered in this procedure.

Procedure

1. Implementers are responsible for taking the following steps to check for an existing account prior to creating a new account:
 - 1.1. Always search for an existing account by the Tax ID number and/or legal name. Keep in mind the following best practices:
 - Use an asterisk (*) as a wildcard search of active and inactive accounts, along with displaying partial match results.
 - Use the hyphen (-) when searching FEINs (*e.g., 12-3456789*).
 - If the Customer, Trade Ally, or Third party indicates they use an SSN for their Tax ID, the SSN will not be in SPECTRUM. For these accounts, search by legal name.
 - Note:** Focus on Energy requires a secure method to obtain legal information for accounts which use an SSN as their Tax ID. All SSN data should only be captured in Great Plains, the Fiscal Agent’s database, through the receipt of a valid W-9 Form for each required account to receive payments. The [SPECTRUM W-9 Process & TIN Mismatch Documentation](#) was developed to securely obtain the W-9 Form and is triggered through SPECTRUM based on criteria outlined in the process.
 - 1.2 If an existing Tax ID is not found, search for the account by the address (Focus Addresses). If the address exists in SPECTRUM, review the associated account(s) to determine if it is the correct account or if the property transferred ownership.
 - 1.2.1. If an existing account is found but the Tax ID and/or legal name does not match, do not create a new account. First verify legal information with the Customer, Trade Ally, or Third Party to determine if existing

account requires updates or if a new account record is needed. Please contact the Administrator Point of Contact identified below with any questions.

1.3. If an existing account is not found, create a new account.

1.3.1. Select the applicable account type. The account type should be either Customer, Provider, or Third Party. Required data fields will update based on the account type selected. Fields with an * are required.

1.3.2. If a Tax ID number is not provided and is a required field for the account, enter "Not Applicable" as the Tax Entity Type. This should only be used for business entities where the program does not collect Tax ID information or as a placeholder while missing information is being gathered.

1.3.3. For Customer and Third-Party account types, the account's legal name is entered under the Tax Information section. For Provider account type, the account name is entered in the Focus Account Name field under the General Information section.

Note: For Provider account types, the name entered in the Focus Account Name automatically populates in the "Trade Ally Website Name" field under the Trade Ally Information tab and can be changed if needed, by users with the applicable security role.

1.3.4. Use the following guidelines when entering the account name during manual entry or using the application staging process:

- Do not use commas.
- Do not use an apostrophe unless it is part of the name (e.g., Macy's Retail Holdings Inc.).
- Enter Company as Co., Incorporated as Inc., Corporation as Corp., even if the Customer has it written out.
- Names with an "&" between initials (e.g., A&B Contracting) should not have spaces on either side of the "&". Do not use periods with the initials.
- Names with an "&" between words (e.g., General Heating & Cooling) should have a space on each side.
- Only account names that are acronyms should be entered as all uppercase text.
- Do not include a company's doing business as (DBA) in the Company Name. Use appropriate DBA Name fields which can be

found under General Information section and 'Other' tab of the Account.

1.3.5. On Customer accounts for a business, check the box of the category most closely describing the business type in the 'Customer Type' tab.

1.3.6. If an account has multiple locations, create a separate address record for each address under the account. Do not create new accounts for each address.

2. Implementer shall take the following steps to manage accounts:

2.1. Deactivate accounts when notified by the Customer, Trade Ally, or Third Party to close the account. Include a note in the account timeline stating the reason for deactivation.

2.2. Prior to creating new applications under an existing account, Implementer shall review the Customer, Trade Ally, or Third Party Account information in SPECTRUM, including, but not limited to Company name, Tax ID, and business classification for accuracy.

2.3. If there are discrepancies between SPECTRUM and the application, Implementer must resolve and notate the discrepancies prior to submitting the Application for payment review. The Application can be entered in SPECTRUM, however any Account name discrepancies must be resolved to ensure accurate data, including the correct name printed on the check.

2.3.1. Implementer should request a current W-9 form to verify the correct legal information. Implementer reviews the W-9 form and updates legal information as per the current W-9 form. Any changes, including if the Tax Entity Type has been updated, must be noted in the Account Timeline.

Important Notes: If the Tax ID on the current W-9 form is different than what is in the SPECTRUM, a new account must be created.

If there is a change in the Primary and/or Tax Address for the Account, the **addresses should never be overwritten with a new address**, as this will change historical records. Updates must be made by accessing or created a new Focus Address record and editing the Primary and/or Tax Address Type fields. These fields are only editable by Users who are part of the Address Type Update team in SPECTRUM.

Administrator Point of Contact

jenny.lamay@focusonenergy.com

Revision History

See archived versions for revision history prior to 2024.

04/01/25: Updated the layout and refreshed the content for added for clarity and inclusivity.

TRACKING AGRICULTURE & LOCAL GOVERNMENT INCENTIVE SPEND

Purpose

This procedure provides guidance to Implementers on how to identify projects in SPECTRUM contributing to the statutory requirement 10% of Focus on Energy funding is dedicated towards agriculture and units of local government (10% Target).

Procedure

1. By statute, Focus on Energy is required to use the following definitions to determine which Customers and projects will contribute to the 10% Target:
 - 1.1. Agriculture: A business involved in planting, cultivating, propagating, fertilizing, nurturing, producing, harvesting, or manufacturing agricultural, horticultural, viticultural, or dairy products; forest products; livestock; wildlife; poultry; bees; fish; shellfish; or any products of livestock, wildlife, poultry, bees, fish, or shellfish.
 - 1.2. Local Government: Wis. Stat. §. 23.24(4) (a) states “local government unit” means a political subdivision of this state, a special purpose district in this state, an instrumentality or corporation of the political subdivision or special purpose district, or combination or subunit of any of the foregoing. This includes cities, villages, towns, counties, school districts, and technical college districts. This definition was published in the 2009-2010 Bill Drafting Manual published by the Wisconsin Legislative Reference Bureau.
2. The 10% Target contributing projects will be identified on the Customer account level in SPECTRUM. The following Customer Types will be available in a single-selection drop-down for these four sectors; **bold font** indicates a 10% Target contributing type:
 - **Agriculture**
 - Education – Preschool/daycare
 - Education – Private College
 - Education – Private K-12
 - Education – Public College
 - **Education – Public K-12**
 - **Education – Technical College**
 - **Government – County**
 - Government – Federal

- **Government – Municipal**
 - Government – Native American
 - Government – State
3. A Customer will rarely have projects qualifying as both Local Government or Agriculture and another category. The following are examples: a small dairy farm also processing cheese to sell or a 4K offering embedded at a preschool. In these cases, Implementer staff will assign the Customer Type field in SPECTRUM, based on the primary business activity.
 4. The Administrator will conduct a quarterly review of Customers to ensure qualifying Customer Types are appropriately denoted.

Administrator Point of Contact	jenny.lamay@focusonenergy.com
Revision History	03/15/24: Updated POC.

PROJECT PIPELINE MANAGEMENT

Purpose

Implementers are expected to manage their project pipeline to ensure committed incentives do not exceed available incentive budget. Implementers shall utilize SPECTRUM Opportunities to track projects in development. This procedure sets expectations and provides guidance on managing project pipeline.

Procedure

1. Opportunities are entered by Implementers for the following reasons:
 - To track a project prior to receipt of application if there is a high likelihood of completion.
 - For Reservation codes and offering pre-qualifications, when required.
2. Implementers create an Opportunity using the following guidance:
 - 2.1. If the Customer account exists in SPECTRUM, the Opportunity should be entered under the Customer's account. Opportunities for new Customers can be entered under a Generic Customer account or the Trade Ally's account, if a Customer account cannot be created. If entered under a Trade Ally or Generic Customer account, an actual Customer account must exist in SPECTRUM before the Opportunity can be converted into an Application.
 - 2.2. The Opportunity should include the estimated savings and incentive, completion date, and likelihood of completion.
 - 2.3. Supporting documentation should be uploaded to the Opportunity Documents section. When converted to an Application, documents will automatically transfer over to the Application.

Note: If entering an Application manually instead of converting, please be sure to save the Application before completing the Originating Opportunity field. This will help avoid issues with the document location.

 - 2.4. Implementer shall contact Customer or Trade Ally at least quarterly for updated status of the Project, updating the Opportunity as needed. Opportunities for projects not moving forward should be Closed as Lost.
3. Implementers shall follow this process for contacting customers for active Applications:
 - 3.1. Implementer contacts Customers with outstanding Incentive Agreements at least two weeks before the Signed Incentive Agreement Due Date. If Implementer has made three unsuccessful contact attempts, they must notify

the Customer that the Incentive Agreement will expire, and the application will be cancelled in two weeks if no action is taken. If Customer is unresponsive, application must be cancelled in SPECTRUM within 60 days of the expiration.

3.2. Implementer shall, at a minimum, contact Customers at least once per quarter to receive project updates and identify projects not completing by the Project Estimated Completion Date listed in SPECTRUM.

3.2.1. If the project will not complete by this date, the project needs to be cancelled or the Project Estimated Completion Date (PECD) extended, when appropriate.

3.2.2. Custom extensions should be documented using a Task (Activity). Implementer shall create the Task under the Custom Application and complete the following fields:

- **Subject:** [Program Abbreviation] – Custom Extension [# if more than 1] – [Customer Name]
Example: Ag – Custom Extension – Sally's Farm
 - **Regarding:** Application Name.
 - **Activity Category:** Custom Extension Request.
 - **Account:** Customer Account.
 - **Contact:** Customer or Trade Ally Contact the program has been in contact with on the status of the project.
 - **Provider/Trade Ally:** Trade Ally Account.
 - **Actual Start:** Date extension was requested.
 - **Actual End:** Will be completed when Task is marked as Complete.
 - **Description:** Brief description on why custom project is being extended.
 - **Savings Details:** Total preapproved savings for the Application.
 - **Total Incentive:** Total preapproved incentives.
 - **Current Project Estimated Completion Date:** PECD currently listed on the Application.
 - **Requested Project Estimated Completion Date:** New PECD being requested.
 - **Project Started?** Select Yes or No.
- Note:** Other fields may be completed if useful for program reporting/tracking. Please upload any supporting communication to the Application documents.

- 3.2.3. Once extension request is documented and internally reviewed by Implementer, the Implementer shall mark the Task as 'Complete'. The Implementer shall then update the Project Estimated Completion Date in the Project Info tab of the Application with the new date and include a note in the Application Timeline. The extension approval shall be communicated to the customer by the Implementer, with the guidance all completion paperwork should be submitted to the Program before the new Project Estimated Completion Date.
4. Custom Applications in SPECTRUM must have an inactive status, either paid or cancelled, within 60 days after the Project Estimated Completion Date unless Implementer provides justification in SPECTRUM Application Timeline notes of why the Application should remain active.

Administrator Contact	operations@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 03/15/24: Updated section 2.2 with guidance on Custom extension request tracking. 04/01/25: Updated Administrator contact.

HAND DELIVERING INCENTIVE CHECKS

Purpose

Customers, Trade Allies, and Third Parties, referred to as "Payees", having a check for aggregated incentives exceeding \$20,000 may request to receive an incentive check by hand delivery. Hand delivery will also be made as an accommodation under special circumstances, if approved by the Administrator. This procedure outlines the steps for requesting and delivering the incentive check.

Procedure

1. The Implementer of the Payee requesting an incentive check for hand-delivery must notify the Administrator of the request a minimum of two weeks in advance of the delivery date. The request must identify the Implementer contact and specify the delivery method to the Implementer as either mail or in-person. The request must include the mailing address to receive the check or the name of the contact responsible for picking up the check from the Fiscal Agent.
2. Administrator notifies the Fiscal Agent of the check for hand delivery at least three business days prior to the scheduled check print date, specifying Payee name and check amount.
3. Fiscal Agent mails the check via U.S. Mail, Federal Express or UPS, notifying the Administrator Point of Contact of the estimated date of delivery to the Implementer, unless the Implementer specified in-person pick up. If Implementer opts to pick up the check, the Implementer will be asked to sign an Incentive Check Chain of Custody form prior to handover of the check.
4. Administrator notifies the Implementer of the expected delivery date.
5. The Implementer representative who will hand deliver the check schedules and confirms the hand delivery appointment with the Payee.
6. The Implementer representative must store the check in a secure location and deliver the check to the Payee within two business days of receipt.

Administrator Contact	operations@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 04/01/25: Updated Administrator contact and made minor updates for clarity.

CHECK REISSUES/PAYMENT CORRECTIONS

Purpose

This procedure establishes guidelines for check reissues/payment corrections when an incentive is incorrectly issued, or the check was not received, and a check reissue is requested by the Payee. This procedure also includes details on reissuing checks returned by the United States Postal Service (USPS).

Procedure

1. Party responsible for associated costs.
 - 1.1. The cost for stopping payment of a check shall be paid for by Focus on Energy.
 - 1.2. Overpayments unable to be recouped shall be paid for by the Implementer.
2. If an issue with a payment is discovered, the Payee should work with the applicable Implementer or Administrator Point of Contact to determine the issue and the appropriate resolution.
 - 2.1. If the check was received but was incorrectly issued, (e.g., incorrect Payee details, or received in error), the Implementer should ask the Payee to destroy the check.
 - 2.2. If the check was received but was for the wrong amount, the payment correction solution depends on if it was an overpayment or under payment, who got paid, and the reason for the incorrect amount (e.g., incorrect quantity, incorrect measure, etc.). Please contact the Administrator with any questions regarding payment corrections for incorrect amounts.
3. If the Payee states a check was not received or mailed to the wrong address, the Implementer shall review the payment details and request any necessary documentation.
 - 3.1. Look up the applicable payment record(s) in SPECTRUM by viewing the Payments tab under the Payee's Application or by using an Advanced Find query to search for the check number.
 - 3.1.1. If the Status Reason is 'Cleared', this indicates the Program received confirmation the check was deposited by the Payee. The Implementer may submit to request to obtain a scanned copy of the cleared check to provide to the Payee. Implementer submits a [Cleared Check Image Request](#) via Formstack. Fiscal Agent is notified of the request and uploads the image obtained from the bank to the Formstack request. This typically takes a couple of days, but usually no longer than a

week. The Implementer Formstack point of contact, if applicable, is notified and retrieves the cleared check image from Formstack to share with the Payee. If the Implementer does not have a Formstack point of contact, the Fiscal Agent or Administrator shall securely share the image with the Implementer contact who submitted the request.

3.1.2. If the Status Reason is 'Paid', this indicates the check has either not been cashed yet, or the Status Reason has not been updated in SPECTRUM yet and payment correction request can be submitted. Requests can be submitted even if the Date Paid is a few years old.

3.1.3. If the only payment Status Reason for the Application is 'Void' and the payment record is over five years old, this indicates the payment was marked unclaimed property and the Payee must file a claim with the State to release payment. Implementer shall advise these Payees to visit [Department of Revenue - Unclaimed Property webpage](#) for more information.

3.2. If the check amount is greater than \$500, the Payee must complete the Request to Void Check and Reissue form, also known as Customer Acknowledgement to Reissue Check form. If needed, the Implementer should provide the check number, date paid, and check amount to the Payee to complete the form.

3.2.1. A fillable PDF version of the [Request to Void Check and Reissue Form](#) is located on The Grid. Once completed and returned, the Implementer uploads a copy to the payment correction request form.

3.2.2. If preferred, the Payee may complete the online version of the [Customer Acknowledgement to Reissue Check](#) form (Formstack). Once submitted, an automatic Formstack notification is sent to the Implementer Formstack point of contact(s) based on the selected program. A payment correction request form must be completed even if the online Customer Acknowledgement Form was received. Additional fields can be found on both forms to aid in monitoring the requests and tracking that the necessary documentation were provided.

Note: If the incorrect program was initially selected and notification inadvertently received, please review, correct the program within the Formstack submission, and add a note (hidden field).

4. Implementer submits [Payment Correction Request](#) via Formstack to initiate the check reissue.

- 4.1. Logic is built in the form to show the applicable Program or Solution field depending on the check number. Select the correct Program or Solution of the original check.
- 4.2. If there is an updated payment address or Payment Attn: to contact, the Implementer must verify or add the new payment address or contact to the Account in SPECTRUM prior to submitting the payment correction request.
Note: Only complete the new payee details, new payment attn: to, and/or new address fields in the payment correct request form if different than what was originally used in SPECTRUM.
- 4.3. If a different Account should receive the reissued payment, that Account must already be listed on the Application in SPECTRUM (e.g., the Customer, Provider/TA/Implementer or Third-Party field) to follow the typical check reissue process. If the correct Account is not listed on the Application, please notify the Administrator Point of Contact for details on next steps.
- 4.4. If changes are needed to the payment correction request after it has been submitted, or to see additional details about the reissue status, individuals with Formstack credentials and permissions to the Check Reissue Forms folder can view and edit submissions within Formstack.
- 4.5. It is best practice to include a note in the applicable Application timeline in SPECTRUM regarding the payment correction request.
5. Administrator reviews the payment correction request weekly and initiates the check reissue/payment correct process with the Fiscal Agent, following the Process Schedule.
 - 5.1. If it is determined the check has already been cashed, a cleared check image will be uploaded to the submission in Formstack and Implementer Formstack point of contact notified.
 - 5.2. If the payee requests the reissue to be sent with tracking information, please email operations@focusonenergy.com with additional details.
6. Implementer monitors requests and works with Payees to reissue checks returned by USPS.
 - 6.1. Fiscal Agent receives the return check and completes the Payment Correction Request Form, including the reason the check was returned.
 - 6.2. Implementer Formstack check reissue point of contact receives an email notification from Formstack with 'Returned by USPS' in the subject. Implementer should log into Formstack to review and manage the requests.

Note: Additional fields will be visible in the submission after selecting 'Edit'.

6.3. Implementer confirms payment details with the Payee.

6.3.1. Communication attempts and confirmation of payment details should be noted in the submission.

6.4. If new payment details are provided, follow the guidance in steps 4.2 and 4.3 above, and complete all necessary fields under the Reissue Information section.

Important Note: The answer to the confirmation question must be changed to 'Yes, this check is ready to be voided/reissued' to initiate the check reissue/payment correction process. This field signifies the reissue details have been confirmed and the check is ready to be reissued following the Process Schedule.

7. If a check is returned to the program but will not be reissued (e.g., customer returned the equipment), please send details to the Administrator to review and provide guidance on the specific scenario.

Administrator Contact	operations@focusonenergy.com
Revision History	<p>See archived versions for revision history prior to 2024.</p> <p>03/15/24: Updated POC, added additional details regarding the payment correction process, added additional details regarding checks returned by the USPS.</p> <p>04/01/25: Updated procedure name, general format, Administrator contact and refreshed content for additional clarity.</p>

ACH PAYMENTS

Purpose

This procedure outlines the process the Administrator, Implementers, and Fiscal Agent will follow when customers, Trade Allies, or Third Parties, referred to as "Payees" in this procedure, opt to receive Automated Clearing House (ACH) payments. The preferred candidates for ACH payments are Payees receiving more than 10 payments in a year. However, registered Trade Allies expecting to receive payments are eligible for this program benefit. Residential customers (homeowners and tenants) are not eligible.

Procedure

1. Payees interested in receiving ACH payments should complete the [ACH Payment Authorization Form](#).
 - 1.1. Form may be used for new ACH payment sign up or requests to update existing ACH payment information on file.
 - 1.2. After submission, a message will confirm the review will occur within three business days.

Note: Form will have limited access, and submissions will only be visible to the Fiscal Agent and select Administrator staff.
2. Administrator receives ACH approval notification email generated by [Formstack](#) and reviews the submission and SPECTRUM Account for completeness and accuracy within one business day.
 - 2.1. The ACH Form includes optional fields for the Payee to list their FEIN and/or upload a current copy of their W-9 Form. If provided, the Administrator shall use this information to verify the correct SPECTRUM Account and the Payee's legal information on file. Administrator may reach out to the Payee contact and/or the Implementer if clarification is needed.
 - 2.1.1. If the Focus on Energy Account Number was not provided or incorrect, the Administrator shall edit the Formstack submission to add the applicable Account Number.
 - 2.1.2. If the Payee identified as using an SSN as their TIN and the 'W9 Received Date' has not already been completed on their Account in SPECTRUM, the Payee will need to provide a current W-9 Form to verify their legal information. The Administrator shall trigger the W-9 Portal invite email via the Account.
 - 2.1.3. Notes should be added to the Account and Formstack submission stating ACH Payment set-up is pending a current W-9 Form.

- 2.1.4. The Administrator shall monitor the Account and may continue the ACH payment procedure once the Fiscal Agent enters the 'W9 Received Date'.
 - 2.1.5. Administrator shall review the Focus Address records on the Payee's Account in SPECTRUM and verify only the ACH remittance address(es) identified on the form are marked as a Payment address. If the address is not listed, Administrator shall create the new payment address record.
 - 2.1.6. If request is a complete duplicate and there are no needed changes, the Administrator shall contact the Payee for confirmation. The financial institution account number and Routing number should be cleared out and request may be denied in Formstack, noting 'duplicate submission' as the reason.
- 3. In Formstack, the Administrator will complete their approval, triggering an approval notification email to the Fiscal Agent.
 - 3.1. Requests may be denied in rare instances such as a residential customer requesting to receive ACH payments. Once all approval levels are denied, an automatic denial notice will be sent to the ACH Form contact.
 - 4. Fiscal Agent reviews the submission and follows internal process to set up ACH payments in financial software (Great Plains) within two business days.
 - 5. In the Payee's account in SPECTRUM, the Fiscal Agent shall document the ACH payment information including the identified remittance address(es) and remittance contact(s).
 - 5.1. Focus Address(es) identified as ACH remittance addresses shall be marked by the Fiscal Agent with the Address Type of ACH = Yes.

Note: Ideally, only one Focus Address per Account should be designated for ACH payments. However, exceptions may occur where multiple addresses are identified.
 - 5.2. If identified, the Fiscal Agent shall enter the ACH Remittance Email under the Address Types section of the Focus Address record. Multiple remittance email addresses should be separated with a comma.
 - 6. In Formstack, the Fiscal Agent shall edit the submission and enter the date the financial institution details were added to Great Plains and complete the checklist (hidden fields) and save.
 - 7. The original form will be exported to a PDF file and kept on file by the Fiscal Agent for documentation purposes.

8. The Fiscal Agent edits the submission and clears out any field containing financial institution account numbers and routing numbers and save.
9. Fiscal Agent completed their approval in Formstack, adding notes and reviewer initials. An hour later, an automatic approval notification is sent to the ACH contact email. The Administrator also receives an instant notification upon approval.
10. Implementer shall process rebate/incentive applications as usual with the following guidance:
 - 10.1. Ensure the payment address used on the Application/Application Measures is an ACH payment address.
 - 10.1.1. Advanced Find views such as "Active Accounts with ACH" may be used to help in identifying Accounts set up with ACH.
 - 10.1.2. The system will display the "ACH Remittance Email" field on the Application and Application Measure field to help identify an ACH address was used as the Payment Address.
 - 10.2. The 'Payment Attn: to' field should **not** be completed for any Payee receiving ACH payments. Adding a 'Payment Attn: to' will cause a paper check to be sent. If a 'Payment Attn: to' contact is entered when an ACH address is used as a Payment Address, SPECTRUM will trigger a pop-up warning message.
11. Payees receives payment following the timeline indicated in the Process Schedule.
 - 11.1. The first payment after signing up for ACH will be sent as a paper check.
 - 11.2. In conjunction with the first payment, the Fiscal Agent will complete an ACH pre-note (test transition) to validate financial institution information prior to processing the first automatic payment. The prenote transaction will be less than one dollar. Once a successful transaction is confirmed, any following payments will be made via ACH unless otherwise indicated. If there is an issue with the pre-note, the Fiscal Agent shall contact the Payee to resolve and/or obtain needed information. Fiscal Agent shall add a note to the Payee's Account in SPECTRUM.
 - 11.3. In SPECTRUM, the check number for ACH payments will begin with the letters EFT.
12. Payees will receive a payment remittance email notification sent to the identified remittance contact(s) which will include payment information and instructions on how to look up additional payment details on the [Payment Lookup Portal](#).
 - 12.1. When entering the EFT number, begin with the letters EFT.

- 12.2. Check ZIP Code field is the remit address ZIP Code provided in the payment remittance email notification.
13. If at any point there are changes to the Payee's financial institution details or remittance contact information, the Payee should access the [ACH Payment Authorization Form](#) to submit a request to update existing information.
14. If the Payee wishes to no longer receive ACH payments, the Payee must email focusenergy@wipfli.com with their written request to cancel ACH payment authorization.
 - 14.1. The Fiscal Agent will follow their internal process to update Great Plains.
 - 14.2. The Fiscal Agent will update the Payee's Account in SPECTRUM and change any ACH addresses to 'No' and remove the remittance email notification contact(s). The Fiscal Agent will add a note to the Account timeline indicating the Account is no longer set up to receive ACH payments per their written request.

Administrator Point of Contact	samantha.repinski@focusonenergy.com abbey.chitwood@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 03/15/24: Updated process for clarity, added details regarding Payee's who use an SSN as a TIN, updated step 11.2. 04/01/25: Updated POC.

INCENTIVE APPLICATION EXCEPTION REQUESTS

Purpose

The procedure outlines when and how Implementers request incentive application exceptions falling outside normal program requirements. The incentive exception requests must be reviewed on a case-by-case basis by the Implementer and approval granted by the Administrator when required. It is important to verify program influence and overall customer satisfaction when considering an exception request.

Alternative processes are used for [Adjustment Measures](#), [Annual Cap Exceptions](#), [Provisional Preapproval of Custom Projects](#), and [Custom Incentives for Rebuilt or Used Equipment](#) and should be referenced instead of the procedure below.

Procedure

1. Implementer may provide the following exceptions without approval from the Administrator:
 - Equipment qualification - includes equipment not listed on required qualified product list and/or product performance discrepancies between specification sheets and reporting sites, such as AHRI, assuming exception is warranted, and documentation provided. When performance discrepancies exist, the more conservative performance rating meeting specified qualification criteria should be used for calculating energy savings.
 - Applications submitted beyond program submission deadline and timing do not require Administrator approval, assuming exception is warranted, and documentation provided.
 - Incomplete project cost documentation due to non-itemized invoices.
 - Missing or incomplete pre-qualification for prescriptive incentives.
 - 1.1 Implementer shall clearly document the exception request approval in SPECTRUM, either with a Task and/or a note added to the Application Timeline.
2. Implementer must request Administrator approval for the following exceptions, but not limited to:
 - Non-residential applications submitted after 90 calendar days of project completion.
 - Multi-location projects with similar scopes across all locations submitted after 120 days of the earliest project completion/installation date.
 - Residential applications submitted after 180 days of project completion.

- Incentive processing of a Customer Application falling within another Program's scope.
 - Missing or incomplete pre-approval for custom incentives.
 - Custom projects not meeting program requirements set forth in the Custom Incentive Guide. This includes projects outside the payback timeframe requirements, and projects initiated prior to an Incentive Agreement being issued.
 - Projects involving equipment described as used, rebuilt, or purchased under a lease agreement.
 - Requests to exceed Customer's annual incentive cap or a project incentive cap.
 - Errors by Implementer resulting in a requested incentive overpayment of \$1,500 or more than the determined actual incentive amount. Potential errors include but are not limited to incorrect verbal or written approval of ineligible equipment or projects, or miscalculating energy savings affecting the incentive amounts.
 - Exception requests for an application previously denied by the Implementer for any of the reasons listed above, where the application still does not qualify even with newly obtained information and is beyond 60 days of the denial notification.
 - Customer requests to modify Terms and Conditions. All such requests must be approved by the Administrator. See [Modifying Governing Focus Documents](#) procedure.
4. Implementer reviews and obtain necessary details pertaining to requests for an exception from Customers or Trade Allies, in order to determine if the exception is warranted.
 - 4.1. Review any historical exceptions requests for the Customer and/or Trade Ally.
 5. If the Implementer determines the exception is not warranted, the rejection should be communicated to the requestor and documented in the Application in SPECTRUM, either as a Timeline note or uploaded documentation.
 - 5.1. Exceptions should be elevated to the Administrator if rejection is likely to result in strong customer dissatisfaction.
 6. If the Implementer determines the exception is warranted, the Implementer creates an exception request Task (Activity) in SPECTRUM.
 - 6.1. The task should be created under the associated Application. If the exception request pertains to multiple Applications being processed or an Application does not exist yet, the Task may be created under the applicable Customer Account or the Trade Ally Account, depending on the scenario. Details on all applications/projects involved must be clearly documented and provided to the Administrator.

6.2. Complete the following fields in the Task:

- **Subject:** [Program Abbreviation] - [Exception Request Type] - [Customer Name]

Example: B&I - 90 Day Exception - Joe's Quick Stop

TAS - 180 Day Exception - S.Smith

- **Regarding:** Application Name or Customer/Trade Ally Account if there are multiple applications.
- **Activity Category:** Exception Request.
- **Account:** Customer Account. If there are multiple Customers, leave blank.
- **Contact:** Customer or Trade Ally Contact who initiated the exception request.
- **Provider/Trade Ally:** Trade Ally Account. Leave blank if unknown.
- **Actual Start:** Date the exception was requested.
- **Due Date:** One week from the Created on Date.
- **Description:** Include details on what and why the customer or Trade Ally is asking for an exception, citing any program influence.
- **Documentation:** The application and supporting documents, such as customer emails, should be uploaded to the Application in SPECTRUM for the Administrator to review. If the task was created under the Customer or Trade Ally Account, upload the supporting documents to The Grid and paste a link to the location in a note in the Task Timeline.
Note: Other fields may be completed if useful for program reporting/tracking.

6.3. Save the Task and assign to the "Administrator Operations" Team for Administrator review.

7. Administrator follows-up with additional questions or approval/denial by the Task Due Date. Denied requests will include an explanation to support the denial.
8. Administrator adds a note regarding the approval/denial in the Task Timeline. Administrator enters the date of approval/denial in the End Date field and marks the Task as Complete.
9. Administrator assigns the Task back to the original creator. This can be done at the main Activity entity view in SPECTRUM once the activity is complete.
 - 9.1. It is recommended Implementers enable SPECTRUM email notifications for assigned Tasks, which can be enabled under the User record. Tasks should also be monitored using Advanced Find views and Dashboards.
10. Application will continue to be processed based on outcome of exception request.

Administrator Contact	operations@focusonenergy.com
Revision History	<p>See archived versions for revision history prior to 2024.</p> <p>03/15/24: Updated step 5 and 8.</p> <p>04/01/25: Updated Administrator contact email, made changes to step 6, along with minor edits throughout for clarification.</p>

INCENTIVE AGREEMENT AMENDMENTS

Purpose

The procedure establishes guidelines for amending an Incentive Agreement for a custom project after it has been signed by the Customer and approved by Focus on Energy. Incentive Agreements are required for all custom applications. An amendment to an Incentive Agreement may be requested from a Customer, a Trade Ally on behalf of a Customer, an Implementer, or the Administrator.

Procedure

1. This process is triggered when either a Customer or a Trade Ally notifies the Implementer of the need to change any of the information included within the Incentive Agreement. In the event a Trade Ally presents a request on behalf of a Customer, the Trade Ally must provide documentation evidencing the Customer's acknowledgement of the Trade Ally submitting the Incentive Agreement amendment request on his/her behalf.
2. The Implementer reviews the request and determines if an amendment is required, referencing the table below. Required actions are listed in the table for each situation. Requests not falling into the listed situations should be forwarded to the Portfolio Manager.
3. The Implementer shall update SPECTRUM with the information in the amended Incentive Agreement and include all significant relevant documentation.

Reason	Description	Amendment Needed?	Actions
Customer name change	Incentive Agreements are non-transferrable. Changes in property ownership due to a sale or transfer of property or due to a merger or acquisition will result in voiding the original Incentive Agreement.	Yes	<ul style="list-style-type: none">- Request current W-9 from Customer.- Submit project for pre-approval under new Customer name/Account. Note in application the reason for pre-approval review.- Provide updated Incentive Agreement for Customer signature, upload to application.

Reason	Description	Amendment Needed?	Actions
Scope of work change <u>prior to</u> project start/ordering of equipment, resulting in an <u>increase</u> in incentive	<p>A change in the approved equipment, process, or technology, which will affect:</p> <ol style="list-style-type: none"> 1. Quantity installed 2. Capacity installed 3. Type of Equipment, or project configuration 4. Efficiency of the equipment 	Yes	<ul style="list-style-type: none"> - Request new equipment spec sheets, scope of work, and/or contractor quote. - Revise savings and incentive calculation with updated information. - Update SPECTRUM and upload revised workbook. Note in application reason for pre-approval review. Resubmit for pre-approval review. - Provide updated Incentive Agreement for Customer signature, upload to application.
Scope of work change <u>after</u> project start/ordering of equipment, resulting in an <u>increase</u> in incentive	<p>A change in the approved equipment, process, or technology, which will affect:</p> <ol style="list-style-type: none"> 1. Quantity installed 2. Capacity installed 3. Type of Equipment, or project configuration 4. Efficiency of the equipment 	No	<ul style="list-style-type: none"> - Customer to submit updated equipment spec sheets, scope of work and other necessary project documentation with completion paperwork. - Revised savings and incentive calculation uploaded to SPECTRUM upon project completion. Incentive will remain as originally approved however additional savings can be claimed if applicable.
Scope of work change, resulting in <u>decrease or no change</u> to incentive	<p>A change in the approved equipment, process, or technology, which will affect:</p> <ol style="list-style-type: none"> 1. Quantity installed 2. Capacity installed 3. Type of Equipment, or project configuration 	No	<ul style="list-style-type: none"> - Customer to submit updated equipment spec sheets, scope of work and other necessary project documentation with completion paperwork. - Revised savings and incentive calculation uploaded to SPECTRUM upon project completion

Reason	Description	Amendment Needed?	Actions
	4. Efficiency of the equipment		
Additional time required to complete project	The project requires an extension because the project will not be completed by the expiration date identified in the Incentive Agreement.	No	<ul style="list-style-type: none"> - Implementer requests documentation from Customer confirming project will move forward. - Confirmation documentation uploaded, activity and/or note added to SPECTRUM application. - Implementer may provide an extension for a fixed period of time, not to exceed the original Funding Obligation Completion Date. Update Project Estimated Completion date in application.

Administrator Contact	operations@focusonenergy.com
Revision History	<p>See archived versions for revision history prior to 2024.</p> <p>04/01/25: Updated Administrator contact and made minor updates for clarity.</p>

SUPPLEMENTAL PROCEDURES

Purpose

This procedure outlines the process for drafting and the approval of supplemental procedures. Supplemental procedures are program specific procedures that differ from those listed in this Guide or are to document the entry procedure for special offerings.

Procedure

1. Implementer shall create a procedure draft using the [Supplemental Procedure Template](#).
 - 1.1. Upload draft to the Draft Procedures folder within the Program's Supplemental Procedures folder on The Grid.
 - 1.2. For procedures crossing multiple programs, the Cross Collaboration folder may be used to collaborate with other programs on the procedure.
 - 1.3. Naming protocol: *Supplemental_Procedure_[Title]_Draft*
2. Best practices for drafting the procedure include:
 - 2.1. Avoid using acronyms in the title. This will allow for better document searchability.
 - 2.2. Follow the guidance provided in the Focus on Energy [Brand Guidelines](#).
 - 2.3. Do not include links to Implementer specific drives or sites.
 - 2.4. Procedure should document the use of specific SPECTRUM fields and entities, required documentation and approval processes differing from the usual practice.
 - 2.5. Use brackets to indicate text that will vary for each Customer or Trade Ally.
Example: [Customer] – Program Bonus – [MM/YY]
3. Implementer shall notify the Administrator via email when a Supplemental Procedure draft is ready for review.
 - 3.1. It is helpful to utilize the SharePoint comments feature within The Grid to note the document's status.
4. Administrator will review the procedure draft within five business days. The track changes and comment functions in Word will be utilized to ask questions, make suggested edits, and provide feedback.
5. Administrator shall notify Implementer when review is complete and/or if additional review will be needed after additional edits.

6. Once the draft procedure is finalized and approved, the Implementer shall save a final copy in the Active Procedures folder within the Program's Supplemental Procedures folder on The Grid.
 - 6.1. Naming protocol: *Supplemental_Procedure_[Title]*
7. Administrator shall determine if the final procedure should be copied to the [Supplemental Procedures](#) folder under Cross Collaboration. This folder is used to easily reference all active procedures.
8. If substantial changes are needed after the procedure is approved and posted, please make the changes, add in the revision history date [MM/DD/YY] and brief description of revisions. Email the Administrator Portfolio Manager with details of the needed changes.
9. Procedures no longer needed should be moved to the Archived Procedures folder.

Administrator Contact	operations@focusonenergy.com
Revision History	04/01/25: Updated Administrator contact.

DOCUMENT RETENTION AND DESTRUCTION

Purpose

This procedure establishes the process for managing hard copy records, including incentive applications and other project documents stored by the Implementer. Please see the Focus on Energy Policy Manual for the document retention policy.

Procedure

1. Implementer and Implementer Subcontractors must securely retain paper records received through the term of their Agreement and for six years following its termination or expiration. (e.g., if Agreement is from January 1, 2020, through December 31, 2022, all paper records must be kept until January 1, 2029).
 - 1.1. Exception allowed if the paper record only contains project/customer information duplicative of documents already stored in SPECTRUM.
2. If destruction of historical records is warranted, Implementer shall provide a written notice to the Administrator at least 90 days prior to such action. Implementer shall use the [Memo Template](#) located on The Grid and include:
 - 2.1. Background Information.
 - 2.2. Disposal of program documentation details including tentative date of disposal.
 - 2.3. Acknowledgement.
3. Administrator shall review memo and provide notification to the Commission.
4. After the Commission reviews the memo, Implementer will be notified via email if approval was granted.
5. Implementer shall securely destroy of approved records follow the guidelines identified in the *Information Security and Confidentiality Policy* section of the *Policy Manual*
 - 5.1. Administrative costs related to purging and organizing of files may be billed to the Program.
 - 5.2. Supplies such as bankers boxes cannot be billed to the Program.

Administrator Point of Contact	stephanie.otoole@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024.

MEASURE MANAGEMENT

CREATING & IMPLEMENTING NEW MEASURES

Purpose

This procedure provides steps to create new measures and guidance on submitting and approving new workpapers. Workpapers are the precursors to measures recognized by the Focus on Energy [Technical Reference Manual \(TRM\)](#), which is published to the Focus on Energy website.

Procedure

1. Implementers, with support from the Administrator and Evaluator, shall develop concepts and draft workpapers for any new Focus on Energy measure.
2. Before creating a workpaper, the Implementer shall review the Measure Master records in SPECTRUM to see if a similar measure already exists. If a similar measure already exists, review the measure records and workpaper. Contact the Administrator Point of Contact if there are questions on if an existing measure should be used and modified, or if new measure should be created.
3. Collaboration on workpapers shall be facilitated on the online tool, [Huddle](#).
 - 3.1. If Huddle access is needed, please contact the Administrator Point of Contact.
 - 3.2. All proposed workpapers shall undergo a stakeholder comment and review period, following this path:

[Implementer --> Administrator --> Evaluator --> PSC](#)

Typically, this period is five to ten business days. Timeline can vary depending on volume of other measure work in process.
 - 3.3. The comment section of the workpaper draft shall be used to notify relevant parties of questions, action items, and feedback by typing @[their name]. Approvals may also be assigned to users.
4. A folder shall be created for the proposed measure in Huddle under the workspace for corresponding year. The naming convention of the folder follows the format of: WXXXX_Measure_Name
5. Implementer, or individual initiating the new measure, shall upload the [Workpaper QC Checklist](#), draft workpaper, calculation file, and any supporting documentation to the folder.
 - 5.1. Workpaper file naming should clearly reflect the measure name and facilitate tracking within Huddle.

Example: Hand_Dryer_Workpaper_QC_Checklist

- 5.2. Measure Master ID (MMID) in workpaper draft should be indicated with a place holder (i.e., XXXXX) until the workpaper is approved and the Measure Master ID is generated by SPECTRUM upon creation.
 - 5.3. Spreadsheets and supporting calculations should be utilized when calculations are complicated, clearly showing formulas and any assumptions, including all sources.
6. After the documents have been uploaded, the Implementer assigns the approval to the Administrator for review and to aid in facilitating the comment and review process.
 - 6.1. If any revisions are needed or clarifications are necessary, the Administrator will communicate via Huddle and tag the relevant parties.
 - 6.2. The originating Implementer shall address concerns during each step of the review process with support from the Administrator.
7. When review is completed, the Administrator will assign an approval task to the Evaluator.
 - 7.1. If any revisions or clarifications are necessary, the Evaluator will communicate these via Huddle and tag the relevant parties.
 - 7.2. The Evaluator shall complete its review as promptly as possible and notify the Administrator if more than three weeks is required.
8. When completed, the Evaluator will assign an approval task to PSC staff for final review of source assumptions.
 - 8.1. If any revisions or clarifications are necessary, the PSC staff will communicate these via Huddle and tag the relevant parties.
9. If the measure is approved by the PSC, a note and/or status will be listed as 'Approved' in Huddle and the measure can now be created in SPECTRUM.
10. SPECTRUM new measure requests should be submitted using the measure management application, Measure Maestro, found in the [Focus Toolbox](#).
 - 10.1. Large measure requests may still be submitted via Jira if preferred. All three [measure templates](#) (Measure Master, Program Measure, Sector Savings) must be submitted. It is suggested to reference the tool tips in Measure Maestro or SPECTRUM to aid in completing the measure templates.
11. All SPECTRUM new measure requests (Measure Maestro or Jira) must be reviewed by the Administrator. Once reviewed, the Administrator creates the new measure records in SPECTRUM and Implementer is notified of completion.

12. The Implementer, or individual who initiated the new measure, updates the placeholder MMID in the workpaper in Huddle with the new MMID. Include a comment regarding the update to the workpaper.
13. The Evaluator moves the approved workpaper to the appropriate Huddle folder (Published TRM Measures or Alternative TRM Measures).
14. Approved workpapers may be revised or updated at the discretion of the Administrator, contingent upon the PSC's approval. Please see [Updating Existing Measure Records](#) for more details on this process.

Administrator Point of Contact	matthew.viney@focusonenergy.com rick.berry@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 03/15/24: Updated procedure for clarity, changed the order steps, added details about Measure Maestro application. 04/01/25: Minor updates.

UPDATING EXISTING MEASURE RECORDS

Purpose

This procedure provides steps for Implementers for monitoring and requesting updates to existing measure records, along with guidance on measure updates as part of the annual Technical Reference Manual (TRM) update process.

Procedure

1. Each workpaper shall maintain a summary of any amendments or revisions within the affected workpaper.
2. Active Program Measures should be reviewed annually, though preferably quarterly, by the Implementer and request updates or deactivation if measures are no longer needed. It is suggested each Implementer identifies a Point of Contact for measure management.
3. For measures crossing multiple programs, it is suggested to collaborate between Implementer teams and communicate needed changes collectively. Other interested parties should be tagged in measure creation requests for visibility and awareness.
4. Updates to existing measure records should be submitted using the measure management application, Measure Maestro, found in the [Focus Toolbox](#).
 - 4.1. Large measure update requests can be submitted via Jira if preferred. Submit the necessary [measure template\(s\)](#) for the needed updates.
 - **Measure Master (MM)** – The Measure “shell”. Contains the measure Group, Category, Unit of Measure Info, Incremental Cost, Fuel Type Saved, etc.
 - **Program Measures (PM)** – Identifies the incentive amount per Program and Standard vs. New Construction incentives.
 - **Sector Savings (SS)** – Identifies the savings per Sector along with the Estimated Useful Life (EUL), if applicable.
 - 4.2. It is suggested to reference the tool tips in Measure Maestro or SPECTRUM to aid in completing the measure update request or templates.
 - 4.3. New Program year mass incentive amount changes (Program Measure update) to existing measures should be submitted by the Implementer and completed by the Administrator on or around 2/1. This allows time to process the majority of carry over applications at the previous year’s rate. Once the new Program Measure is created with the new rate, the Implementer must manually adjust the incentive amount on any remaining carry over applications and indicate the reason for the difference as “Incentive is grandfathered in”.

- 4.4. If an incentive or measure is no longer offered, the Implementer should submit a request to deactivate the measure details once it appears to be no more applications submitted with the measure.
5. New sector savings requests should be submitted after the workpaper is approved. Old sector savings records should be deactivated at this time.
6. All measure requests (Measure Maestro or Jira) shall be submitted for review to the Administrator. Once reviewed, the Administrator shall update the measure records in SPECTRUM. The Implementer will be notified once complete.
7. For consistency, the Measure updates concurrent with TRM annual update process shall be submitted and completed by the Administrator with collaboration from the Implementers.
 - 7.1. The Administrator shall review and update the applicable sector savings records which may include updates to savings, EUL, and/or incremental cost details.
 - 7.2. Updates shall occur once the TRM is published, ideally by January 1. The Administrator shall enter an effective start date of January 1, or date of TRM publication if later than January 1. Any measures created in SPECTRUM after the sector savings were updated will claim the updated savings.

Note: Measures for end of year close out and require backdating will be updated as soon as the backdating of records is completed.
 - 7.3. The Administrator Point of Contact shall confirm when the SPECTRUM TRM updates are complete and will work with the Administrator Operations Manager to notify Implementers.

Administrator Point of Contact	matthew.viney@focusonenergy.com rick.berry@focusonenergy.com
Revision History	03/15/24: General updates for clarity, updates to step 4, added info about Measure Maestro. 04/01/25: Minor edits.

ADJUSTMENT MEASURES

Purpose

An adjustment measure refers to a measure used to correct prior applications which claimed incorrect energy savings or made incorrect incentive payments, or both. This adjustment measure procedure provides guidance for submitting a request for approval and correcting errors which may impact SPECTRUM applications. This procedure also provides guidance on using the customer service payment measure. The customer service payment measure is similar to an adjustment measure but is instead used to pay a customer or Trade Ally due to customer service reasons and not to correct an error.

Procedure

1. Upon identification of an underlying error/need for adjustment or customer service payment measure, Implementer shall create a new Application in SPECTRUM.
 - 1.1. Application measure does not need to be entered yet.
 - 1.2. If it is a unique scenario where multiple new Applications are required, please email operations@focusonenergy.com with additional details. The Administrator shall provide details on next steps.
2. Implementer creates an Adjustment Approval Task (Activity) under the new Application, completing the following fields:
 - **Subject:** [Program Abbreviation] – [Adjustment Type] – [Customer Name or reason for adjustment].
e.g., *TAS – Incentive Only Adjustment – John Smith*
Ag – Adjustment – Propane Savings
LI – Customer Service – Manufacturing Inc.
 - **Regarding:** New Application Name.
 - **Activity Category:** Application Administration.
 - **Account:** Customer Account.
 - **Contact:** Customer Contact.
 - **Provider/Trade Ally:** Trade Ally Account.
 - **Actual Start:** Date the adjustment or customer service payment was requested.
 - **Actual End:** Date will be entered once Task is marked 'Complete'.
 - **Due Date:** One week from the Created on Date.
 - **Description:** Add a brief description explaining the reason for the adjustment or customer service payment, identifying the incorrect assumptions, savings and/or incentive impact, and recommended corrective action.

Note: Adjustments needing to correct savings **cannot cross Program years**.
Once the program year has closed, any adjustments must be incentive only.

3. Complete the Adjustment Measure Request Template located on [The Grid](#), and upload a copy to the Application Documents.
4. If there is an original Application being adjusted, add a Connection to the original Application from the adjustment Application.
5. Assign the Task to the "Administrator Operations" Team for Administrator review.
6. Administrator reviews request and follows up with questions, if needed, and determines if the adjustment or customer service payment is warranted and the best course of action. Administrator shall approve/deny request within one week.
 - 6.1. A note regarding the approval/denial shall be added in the Task Timeline.
Denied requests will include an explanation to support the denial.
 - 6.2. Approved requests shall be marked as 'Complete'. Denied requests shall be marked as 'Cancelled'.
 - 6.3. Administrator copies the details from Adjustment Measure Request Template to a master tracker available for use/view by Implementers, Program Evaluators, or the PSC, upon request.
 - 6.4. Administrator assigns the Task back to the original creator. This will need to be done at the main Activity entity view in SPECTRUM once the activity is complete.
 - 6.4.1. It is recommended Implementers enable SPECTRUM email notifications for assigned Tasks, which can be enabled under the User record.
Tasks should also be monitored using Advanced Find views and Dashboards.
7. Once the request is approved, Implementer completes the Adjustment or Customer Service Application and enter the applicable measure:
 - **Adjustment Measure:** MMID - 2849
 - **Incentive Only Adjustment Measure:** MMID - 4850
 - **Customer Service Payment:** MMID – 10074 – Used when there is no adjustment needed or fault of the program.
- 7.2. Applications with incentive adjustments must be entered under the affected Customer's account. Some situations determined by the Administrator may require the use of a generic account.
- 7.3. Multiple adjustment measures on one application may be used to better represent the adjustment between applications. Multiple measures may also be needed to account for multiple utility service territories in certain

scenarios. In most cases, it is best practice to enter an adjustment measure for each affected measures on the original application.

- 7.4. The adjustment or customer service payment application must be approved using the program's Incentive approval workflow.

Administrator Point of Contact	jenny.lamay@focusonenergy.com matthew.viney@focusonenergy.com
Revision History	See archived versions for revision history prior to 2024. 03/15/24: Added information about the Customer Service Payment measure, update step 2. 04/01/25: Updated the email address in step 1.2, updated who to assign the task to in step 5, and other minor edits for clarity.