

Actions Document for Service Providers (SPs) Participating in the Home Energy Efficiency (HEE) and/or Low-Income Weatherization (LIW) Programs

This outline explains the potential actions Oncor generally takes once a Service Provider (SP) reaches a cumulative failure rate of 5% or fails to follow Program requirements. These actions are outlined in order to apply them consistently between both the Home Energy Efficiency (HEE) and Low-Income Weatherization (LIW) Programs as a SP reaches a failure rate of 5% or greater. Oncor does not by virtue of this outline waive any of its rights under any of its agreements with any SP, including but not limited to its right to terminate for any or no reason.

The three strike phases are outlined in Table One and the detailed failures (by measure) are shown in Table Two.

Table One:

		Examples of Failure	Proposed Action Taken by Program Manager (PM) with SP	Time-Frame of Lockout
Strike 1	No Customer Impact	<ul style="list-style-type: none"> • Reporting errors including paperwork errors and/or EEPM system input errors. • Cumulative failure rate reaches 5% or greater. • Not meeting inspection requests and/or schedule times. • Use of employees/workers not disclosed on the SP profile employee tab 	<ul style="list-style-type: none"> • Meet/counsel with SP to explain failures and possible causes. • Discuss appropriate actions that SP should take to eliminate these failures. • First time offenders are given one chance to continue working and the next Production Report (PR) should have a 0% failure rate. • Discuss with SP workable solution to complete inspection requirement. 	<ul style="list-style-type: none"> • If next PR has any failures SP is placed in a one-month lockout and SP must present action plan to PM outlining steps taken to stop failures. • After completing the one-month lockout period the SP will be unlocked and can resume work until any future PR contains a failure. SP is then placed in lockout for the remainder of the Program year. This is subject to available funding in either Program. • SP placed in one-month lockout for inability to have required inspections completed.

Strike 2	Customer Impacted	<ul style="list-style-type: none"> • Installation/performance/work related /inspection failures and customer complaints. • Unauthorized use of Oncor in any SP created marketing materials. SP uses Oncor website to submit/report manufactured ratings/comments for themselves and/or other SP's. • Use of marketing companies without disclosure as subcontractor. <p>Note: If SP repeats and/or continues offenses that have been documented from prior years in either Program, then recommendation will be made for SP to move to Strike 3. (Examples include pre and post testing and other required Program standards)</p>	<ul style="list-style-type: none"> • Meet/counsel with SP to explain failures and possible causes. • Discuss appropriate actions that SP should take to eliminate these failures. • Impose a two-month lockout period to allow the SP time to address the areas that have caused the failures and have SP develop a plan to present after the lockout period. • Meet with SP after two-month period to review the action plan from the SP. If plan is acceptable SP is unlocked. • Should failures continue after SP is unlocked the first time, PM will notify SP that they will be placed back into lockout for the remainder of the Program year. 	<ul style="list-style-type: none"> • SP is locked out for a minimum of two-months. No work can be done or PR's accepted during the two-month lockout period. After two-month lockout period is completed the SP can resume work until any future PR contains a failure. This is subject to available funding in either program. • Should failures continue after SP is unlocked the first time, PM will notify SP that they will be placed back into lockout for the remainder of the Program year.
Strike 3	Inexpiable offenses	<ul style="list-style-type: none"> • Fraud related failures • Creating and/or exposing a customer(s) to an unsafe condition(s). • Non compliance to any prior corrective actions. 	<ul style="list-style-type: none"> • Meet/counsel with SP to explain failures and explore the reasons the offense(s) may have occurred. • Describe offenses for management and obtain approval to proceed with termination. • Create termination letter and have legal review and approve. 	<ul style="list-style-type: none"> • SP is locked out immediately and terminated in system once management and legal approve. • Termination letter is sent to SP and Umbrella Contract is cancelled. • SP should be "Terminated" in EEPM and not allowed to participate in any current and/or future Oncor Energy Efficiency Programs.

Table Two:

Measure Description	Strike 1 examples	Strike 2 examples	Strike 3 examples
Duct Improvement	<ul style="list-style-type: none"> • Wrong heating system type reported. • Wrong sq. ft. reported. • Number of systems reported wrong. • Wrong measure attributes reported. 	<ul style="list-style-type: none"> • Work reported not completed (registers not sealed, unit not sealed, return air not sealed). • Sloppy and/or incomplete work. • Valid customer complaint. 	<ul style="list-style-type: none"> • Multiple and repeated offenses occur. • No pre- or post testing done. • Oncor inspection shows greater than 10% difference in post-test reported numbers. • SP turns in houses that have not been treated. • SP impacted the customer and/or the Program in an egregious manner.
Central Air Conditioner	<ul style="list-style-type: none"> • Wrong serial and/or model number's reported. • Wrong size of equipment reported. 	<ul style="list-style-type: none"> • Equipment reported installed is different from actual installed equipment. • Valid customer complaint. 	<ul style="list-style-type: none"> • Multiple and repeated offenses occur. • SP turns in house(s) with no installed equipment. • SP impacted the customer and/or the Program in an egregious manner.

Central Heat Pump	<ul style="list-style-type: none"> • Wrong serial and/or model number's reported. • Wrong size of equipment reported. 	<ul style="list-style-type: none"> • Equipment reported installed is different from actual installed equipment. • Valid customer complaint. 	<ul style="list-style-type: none"> • Multiple and repeated offenses occur. • SP turns in house(s) with no installed equipment. • SP impacted the customer and/or the Program in an egregious manner.
Ground Source Heat Pump	<ul style="list-style-type: none"> • Wrong serial and/or model number's reported. • Wrong size of equipment reported. 	<ul style="list-style-type: none"> • Equipment reported installed is different from actual installed equipment. • Valid customer complaint. 	<ul style="list-style-type: none"> • Multiple and repeated offenses occur. • SP turns in house(s) with no installed equipment. • SP impacted the customer and/or the Program in an egregious manner.
Ceiling Insulation	<ul style="list-style-type: none"> • Wrong heating system type reported. • Wrong sq. ft. reported. • Pre and/or post insulation levels are different from what is reported on paperwork but actual install is okay. 	<ul style="list-style-type: none"> • Sloppy and/or incomplete work. • Pre and/or post insulation levels are different from what is reported. • Valid customer complaint. • Sq. ft is reported wrong more than one time. 	<ul style="list-style-type: none"> • Multiple and repeated offenses occur. • SP turns in house(s) that have not had insulation installed. • SP impacted the customer and/or the Program in an egregious manner.
Wall Insulation	<ul style="list-style-type: none"> • No pre-inspection was possible. • Wrong heating system type reported. • Wrong sq. ft. reported. • Pre and/or post insulation levels are different from what is reported on paperwork but actual install is okay. 	<ul style="list-style-type: none"> • No pre-inspection was possible multiple times. • Pre and/or post insulation levels are different from what is reported. • Sloppy and/or incomplete work • Valid customer complaint. • Sq. ft is reported wrong more than one time. 	<ul style="list-style-type: none"> • Multiple and repeated offenses occur. • SP turns in house(s) that have not had insulation installed. • SP impacted the customer and/or the Program in an egregious manner.
Floor Insulation	<ul style="list-style-type: none"> • No pre-inspection was possible. • Wrong heating system type reported. • Wrong sq. ft. reported. • Pre and/or post insulation levels are different from what is reported on paperwork but actual install is okay. 	<ul style="list-style-type: none"> • No pre-inspection was possible multiple times. • Pre and/or post insulation levels are different from what is reported. • Sloppy and/or incomplete work. • Valid customer complaint. • Sq. ft is reported wrong more than one time. 	<ul style="list-style-type: none"> • Multiple and repeated offenses occur. • SP turns in house(s) that have not had insulation installed. • SP impacted the customer and/or the Program in an egregious manner.
Air Infiltration	<ul style="list-style-type: none"> • Wrong heating system type reported. • Wrong sq. ft. reported. • Number of systems reported wrong. 	<ul style="list-style-type: none"> • Work reported not completed (weather-stripping, caulking, gaskets, etc). • Sloppy and/or incomplete work. • Valid customer complaint. • Program installation requirements are not met. • Minimum ventilation rate is compromised. 	<ul style="list-style-type: none"> • Multiple and repeated offenses occur. • No pre or post testing done. • Oncor inspection shows greater than 10% difference in post-test reported numbers. • SP turns in houses that have not been treated. • SP impacted the customer and/or the Program in an egregious manner.
ENERGY STAR® Windows	<ul style="list-style-type: none"> • Wrong sq. ft and/or incorrect number reported. 	<ul style="list-style-type: none"> • Windows reported installed are different from actual windows installed. • Windows installed are not ENERGY STAR rated. • Reported sq. ft reported is different from actual sq. ft. • Valid customer complaint. 	<ul style="list-style-type: none"> • Multiple and repeated offenses occur. • SP turns in houses that have not had windows installed. • SP impacted the customer and/or the Program in an egregious manner.

Water Heater Jackets	<ul style="list-style-type: none"> Wrong number of jackets reported. 	<ul style="list-style-type: none"> Non-approved or substandard jacket is installed. Number reported installed is different from actual number installed. Valid customer complaint. 	<ul style="list-style-type: none"> Multiple and repeated offenses occur. SP turns in house(s) that have not had jackets installed. SP impacted the customer and/or the Program in an egregious manner.
Water Heater Pipe Insulation	<ul style="list-style-type: none"> Wrong number of water heater pipe insulation reported. 	<ul style="list-style-type: none"> Non-approved or substandard materials are installed. Number reported installed is different from actual number installed. Valid customer complaint. 	<ul style="list-style-type: none"> Multiple and repeated offenses occur. SP turns in house(s) that have not had water heater pipe insulation installed. SP impacted the customer and/or the Program in an egregious manner.
Water Heater Replacement (Includes Electric, Gas and Heat Pump)	<ul style="list-style-type: none"> Wrong model number and/or serial number reported. 	<ul style="list-style-type: none"> Water heater installed is not ENERGY STAR rated and/or does not meet Program standards. Reported appliance is different from actual installed appliance. Valid customer complaint. 	<ul style="list-style-type: none"> Multiple and repeated offenses occur. SP turns in house(s) that have not had water heaters installed. SP impacted the customer and/or the Program in an egregious manner.
ENERGY STAR Appliances	<ul style="list-style-type: none"> Wrong model number and/or serial number reported. 	<ul style="list-style-type: none"> Appliances installed are not ENERGY STAR rated. Reported appliance is different from actual installed appliance. Valid customer complaint. 	<ul style="list-style-type: none"> Multiple and repeated offenses occur. SP turns in house(s) that have not had ENERGY STAR appliances installed. SP impacted the customer and/or the Program in an egregious manner.
Solar Domestic Water Heating (DWH) Replacement	<ul style="list-style-type: none"> Wrong type of equipment reported and/or incomplete information. 	<ul style="list-style-type: none"> Solar water heater installed is different from the one reported. Reported solar water heater does not meet the Program equipment and/or installation standards. Valid customer complaint. 	<ul style="list-style-type: none"> Multiple and repeated offenses occur. SP turns in house(s) that have not had Solar DWH s installed. SP impacted the customer and/or the Program in an egregious manner.
Photovoltaic Renewable	<ul style="list-style-type: none"> Wrong type of equipment reported and/or incomplete information. 	<ul style="list-style-type: none"> Photovoltaic equipment installed is different from the one reported. Reported photovoltaic equipment does not meet the Program equipment and/or installation standards. Valid customer complaint. 	<ul style="list-style-type: none"> Multiple and repeated offenses occur. SP turns in house(s) that have not had photovoltaic equipment installed. SP impacted the customer and/or the Program in an egregious manner.
Solar Window Film and Solar Screens	<ul style="list-style-type: none"> Wrong sq. ft and/or incorrect number reported. 	<ul style="list-style-type: none"> Solar window film/solar screens reported installed are different from actual solar window film/solar screens installed Installed in non-approved locations. Reported sq. ft reported is different from actual sq. ft. Valid customer complaint. 	<ul style="list-style-type: none"> Multiple and repeated offenses occur. SP turns in house(s) that have not had solar window film/solar screens installed. SP impacted the customer and/or the Program in an egregious manner.
Aerators (LIW ONLY)	<ul style="list-style-type: none"> Wrong type and/or numbers of aerators reported and/or incomplete information. 	<ul style="list-style-type: none"> Aerators installed are different from the one(s) reported. Reported aerators do not meet the Program equipment and/or installation standards. Failure to send in replaced aerator(s) Not completed with a priority one measure. Valid customer complaint. 	<ul style="list-style-type: none"> Multiple and repeated offenses occur. SP turns in house(s) that have not had aerators (LIW ONLY) installed. SP impacted the customer and/or the Program in an egregious manner.

Compact Fluorescent Lamps (CFLs) (LIW ONLY)	<ul style="list-style-type: none"> Wrong type and/or numbers of CFLs reported and/or incomplete information. 	<ul style="list-style-type: none"> CFLs installed are different or not in the correct locations from the one(s) reported. Reported CFLs do not meet the Program equipment and/or installation standards. Not completed with a priority one measure. Valid customer complaint. 	
Showerheads (LIW ONLY)	<ul style="list-style-type: none"> Wrong type and/or number's of showerhead(s) reported and/or incomplete information. 	<ul style="list-style-type: none"> Showerhead(s) installed are different or not in the correct locations from the one(s) reported. Reported showerhead(s) does not meet the Program equipment and/or installation standards. Failure to send in replaced showerhead(s). Not completed with a priority one measure. Valid customer complaint. 	<ul style="list-style-type: none"> Multiple and repeated offenses occur. SP turns in house(s) that have not had showerheads (LIW ONLY) installed. SP impacted the customer and/or the Program in an egregious manner.
Carbon Monoxide (CO) Procedures	<ul style="list-style-type: none"> Failure to report CO readings on paperwork. 	<ul style="list-style-type: none"> Failure to report gas equipment and CO readings. 	<ul style="list-style-type: none"> Reporting higher than allowed CO readings and installing energy efficiency measures that decrease the minimum ventilation rate.
Heat Pump Water Heater	<ul style="list-style-type: none"> Wrong model number and/or serial number reported. 	<ul style="list-style-type: none"> Water heater installed is not ENERGY STAR rated and/or does not meet Program standards. Reported appliance is different from actual installed appliance. Valid customer complaint. 	<ul style="list-style-type: none"> Multiple and repeated offenses occur. SP turns in house(s) that have not had water heaters installed. SP impacted the customer and/or the Program in an egregious manner.

Definitions and Acronyms:

Egregious	conspicuously and outrageously bad or reprehensible
Failure Rate	The Cumulative Lockout failure Rate calculation is as stated below; (Total Adjusted Incentive Dollars for Failed Inspected Measures) divided by (Total Requested Incentive Dollars for Inspected Measures) times 100)
Inexpiable	incapable of being atoned for
DWH	Domestic Water Heating
EETM	Energy Efficiency Program Management
HEE	Home Energy Efficiency
LIW	Low Income Weatherization
PM	Program Manager
PR	Production Report
SP	Service Provider