



## **Contractor Participation Manual**

April 2025

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# Version History

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Field	Details
Document Title:	Contractor Participation Manual
Date of Revision:	4/25/2025
Version:	2

## Summary of Versions:

- Version 1 – Issued 01/07/2024

## Revisions:

Modifications adopted in subsequent revisions are listed in the following table.

### Revision No.: 1

Item No.	Description of Modification	Location(s)
1	Updates to account for the Regional General Contractor Role in the IESP.	Throughout
2	Additional language provided for Contractor Payments and Reimbursements to account for how the IESP will make partial payments for low-income multifamily projects funded with HOMES (50121) rebates.	Ch. 8
3	Minor grammatical and clarification edits.	Throughout

# Definitions

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**Applicant:** A contractor submitting an application to participate in the Indiana Energy Saver Program (IESP) Qualified Contractor Network.

**ASHRAE Level 2:** A comprehensive energy audit for multifamily structures that following the American Society of Heating, Refrigerating, and Air-Conditioning Engineers (ASHRAE) standards, including detailed analysis of energy systems and recommendations for energy-saving measures that is done by the Program to determine eligible measures for a property.

**BPI (Building Performance Institute):** A national organization providing certification, standards, and training for building science professionals focused on energy efficiency and residential building performance.

**BPI-2400 Audit:** A comprehensive energy audit for single-family properties that provides detailed analysis of energy systems that provides recommendations for energy-saving measures for a property.

**Certificate of Completion:** A document provided by IESP to the contractor and Customer confirming that all work has been completed in accordance with the program requirements and the work order.

**Cost Share:** The portion of total project costs that exceed the maximum federal rebate amounts and is provided by the Customer or otherwise made available by a third-party to IESP before construction approval. The Cost Share plus the federal rebate amount is paid to the contractor for the approved work.

**Customer:** An Indiana homeowner, property owner, landlord, or public entity who participates in the Indiana Energy Saver program.

**Desk Review:** A Quality Assurance (QA) process where program staff evaluate submitted project documentation, such as photos and compliance forms, to verify installed measures and adherence to program requirements.

**Disadvantaged Community (DAC):** A community that the US Energy Secretary determines, based on appropriate data, indices, and screening tools, is economically, socially, or environmentally disadvantaged.

**DOE:** The United States Department of Energy, the federal agency that oversees and administers the funding for the Home Energy Rebate Program across all participating states.

**Energy Audit/Assessment:** An evaluation conducted by IESP staff in accordance with the policies and procedures detailed in the IESP Residential Energy Assessment Manual to determine energy savings potential and scope of work for a property.

**Field Inspection:** On-site evaluation conducted by a certified inspector (e.g., BPI or ASHRAE Level 2) to verify proper installation, combustion safety, and absence of health and safety issues.

**FTQ360:** A web-based software package used by contractors in the IESP program to document work being performed at project locations and to capture items needed at the property for federal reporting.

**IESP (Indiana Energy Saver Program):** A federally funded program, also known as the Home Energy Rebate Programs, made available through the Indiana Office of Energy Development (OED) to install energy efficiency upgrades and high-efficiency appliances in residential buildings.

**Implementation Contractor:** Organization working under contract with the Indiana Office of Energy Development (OED) to conduct program administration and implement Indiana's federally approved Home Energy Rebate programs, including functions such as application intake, customer service, qualified contractor network management, project approvals, technical support, quality assurance/control, evaluation/measurement/verification, reporting and compliance, financial rebate management/disbursement/invoicing, and installation verification. The implementation contractor is the Egis Group and includes all subcontractors of the Egis Group.

**Measure:** A single technology or energy-use practice that, once installed or operational, results in a reduction of the energy required to provide the same or greater level of service at the residence.

**Multifamily:** Residential buildings with multiple dwelling units of 2 or more residential units, typically defined as structures housing more than one family, such as apartments.

**Notice to Proceed:** A formal approval issued by IESP that authorizes a contractor that they can start construction activities for measures identified by the program as shown in the scope of work or work order.

**OED:** Indiana Office of Energy Development.

**Post-Project Verification and Quality Assurance (QA):** Procedure conducted by IESP after all work at property has been completed that ensures compliance with DOE program requirements and verifies the quality of completed work and that installed measures are working properly.

**Program:** Refers to the Indiana Energy Saver Program (IESP).

**Program Staff:** Individuals or teams assigned by the Implementation Contractor or OED to manage the administration, oversight, and operation of the Indiana Energy Saver Program.

**Property:** A single-family or multifamily structure that is participating in the Indiana Energy Saver Program that is having energy efficiency measures installed or energy audits conducted.

**Property Owner:** The individual or entity that holds legal ownership of a residential property or building participating in the Indiana Energy Saver Program.

**Qualified Contractor (QCon):** Qualified Contractors are independent contractors that applied to participate in the Indiana Energy Saver Program and were approved by the Implementation Contractor to install energy efficiency measures. Qualified Contractors receive installation assignments on IESP projects from a Regional General Contractor.

**Qualified Contractor Network (QCN):** A network of approved Qualified and Regional General

Contractors that meet the IESP requirements for certifications, licensing, and training. The Qualified Contractor Network is responsible for the installation of energy efficiency measures within an eligible Customers' property.

**Regional General Contractor (RGC):** A contractor responsible for overseeing Qualified Contractors within specific regions, ensuring compliance with program requirements and providing local support. RGCs are responsible for project oversight, coordination, and communication with multiple Qualified Contractors.

**Single Family:** Residential properties designed to house one family, including standalone houses, townhomes, or similar structures.

**System of Record:** The official repository where documents related to the IESP program are maintained.

**Warranty:** A formal guarantee provided by the Qualified Contractor covering labor and materials for a minimum of one year from the submission of final documentation for payment. The warranty ensures compliance with program requirements and mandates that any deficiencies identified during post-project verification or through Customer concerns be remedied at the contractor's expense. For installed measures, warranty coverage does not extend to Customer-altered equipment after the final quality assurance inspection.

**Work Order:** the scope of work developed after the energy audit that shows the measures to be installed at the Customer's property.

# 1 General Information

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This manual is intended for contractors interested in participating in the Qualified Contractor Network (QCN) for the Indiana Energy Saver Program (IESP), a federally funded program that is administered by the Indiana Office of Energy Development (OED) and their implementation contractor (the Egis Group and their subcontractors). This manual is intended to be used by both Qualified Contractors and Regional General Contractors.

To participate in the IESP Qualified Contractor Network, contractors must submit a Qualified Contractor Application by filling out an [application form](#), agreeing to the [Terms and Conditions](#) and the [Contractor Code of Conduct](#), and providing the required documentation and certifications for Program approval. The Qualified Contractor must also attest they have read this manual and will abide by the contents included.

This manual may be modified or changed throughout the life of the Indiana Energy Saver Program. In the event changes are made to the manual, or decisions are made that would impact the Qualified Contractor Network, the IESP will inform Qualified Contractors about the changes via email and may, depending on the changes made, require a webinar or virtual meeting to review the changes. All changes made to the Contractor Participation Manual will be listed in the most recent version of the manual available on the IESP website.

## 1.1 Program Descriptions

The objective of the Indiana Energy Saver Program is to make energy efficiency upgrades and efficient home appliances more affordable for Hoosier households and to provide additional savings through reduced energy use. Households will apply for the Home Efficiency Rebate Program (HOMES) and Home Appliance Rebate Program (HEAR) through a single online application under the Indiana Energy Saver Program (IESP).

It is not Qualified Contractors' or Regional General Contractors' responsibility to determine household income level, energy savings, or track the rebate amounts. Qualified Contractors and Regional General Contractors are expected to execute and install the identified measures listed as part of the scope of work and document the completed work. The documentation required for the installation and reporting of each rebate type and measure will be provided to the Qualified Contractor and Regional General Contractor in advance. Below is a summary of the two programs included in the IESP.

### **Home Efficiency Rebate Program (HOMES)**

The Home Efficiency Rebate Program (HOMES) focuses on energy efficiency upgrades and retrofits to single-family and multifamily residential buildings. Federal law requires HOMES-funded projects to achieve a minimum 20% modeled energy savings with additional funding for projects achieving over 35%



modeled energy savings.

The table below shows the rebate amounts based on the anticipated energy savings as well as the Customer's income level. Examples of eligible measures Qualified Contractors and Regional General Contractors could undertake as part of an IESP project are listed in Section 6.6.

Single-Family		
Modeled Energy Savings**	Income Level**	Rebate Level**
20%-34%	Less than 80% AMI	Lesser of \$12,000 or 100% of project cost
	80% AMI and greater	Lesser of \$2,000 or 50% of project cost
35% or greater	Less than 80% AMI	Lesser of \$18,000 or 100% of project cost
	80% AMI and greater	Lesser of \$4,000 or 50% of project cost
Multifamily		
Modeled Energy Savings**	Income Level**	Rebate Level**
20%-34%	A building with at least 50% of households with incomes less than 80% AMI	Lesser of \$8,000 per dwelling unit or 100% of project cost
	A building with at least 50% of households with incomes 80% AMI and greater	\$2,000 per dwelling unit up to \$200,000 per building
35% or greater	A building with at least 50% of households with incomes less than 80% AMI	Lesser of \$16,000 per dwelling unit or 100% of project cost
	A building with at least 50% of households with incomes 80% AMI and greater	\$4,000 per dwelling unit up to \$400,000 per building

*\*\* As calculated and determined by Program Staff.*

### **Home Appliance Rebate Program (HEAR)**

The Home Appliance Rebate (HEAR) program encourages the adoption of high-efficiency appliances and equipment for low- and moderate-income single-family or multifamily dwellings. HEAR rebates are based upon federally established maximum rebate amounts per qualified product type, income level, and

household type.

HEAR projects that Qualified Contractors will undertake could include the installation of equipment such as Energy Star-certified heat pump water heaters, heat pumps for space heating and cooling, electric stoves, and heat pump clothes dryers. It could also include insulation and air sealing, as well as electrical upgrades such as electric service load centers (i.e. electrical panel) and electric wiring. There are limits on the rebate and cost coverage the Customer can receive for qualified projects based on the product and household income levels. For additional information related to program measures, see Section 6.6.

The table below lists the qualified products and building materials that could be installed using HEAR program funding along with the maximum allowable rebate amount per federal program guidance.

Product Rebates		
Upgrade Type	Qualified Product	Rebate Amount Not to Exceed
Appliances	ENERGY STAR-certified Heat Pump Water Heater	\$1,750
	ENERGY STAR-certified Heat Pump for Space Heating or Cooling	\$8,000
	ENERGY STAR-certified Electric Stove, Cooktop, Range, or Oven	\$840
	ENERGY STAR-certified Heat Pump Clothes Dryer	\$840
Building Materials	Electric Load Service Center	\$4,000
	Insulation, Air Sealing, and Ventilation	\$1,600
	Electric Wiring	\$2,500
Maximum Rebate		\$14,000
Rebate Limitations		
Eligible Rebate Recipient	Income Level**	Rebate Amount Not to Exceed**
Low- or Moderate-Income (LMI) Household or Eligible entity representative representing LMI household	Less than 80% AMI	100% of qualified project cost
	80%-150% AMI	50% of qualified project cost
Owner of multifamily building or Eligible entity representative representing owner of multifamily building	At Least 50% of residents with income less than 80% AMI	100% of qualified project cost
	At least 50% of residents with income of 80%-150% AMI	50% of qualified project cost

*\*\* Calculated and determined by Program Staff.*

## 2 QCN - General Application Information

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The Qualified Contractor Network consists of Qualified Contractors who are independent, credentialed contractors approved by the Indiana Energy Saver Program (IESP) to perform the installation of eligible energy efficiency upgrades for residential projects. IESP has geographically divided the state into three (3) regions. A Regional General Contractor (RGC) will be assigned to each region and will manage all projects within that region. RGCs are responsible for project oversight, coordination, and communication with Property Owners and Qualified Contractors (QCons) approved for that region. Projects are assigned to RGCs by the IESP in the form of a work order. RGCs are encouraged to contract with Qualified Contractors to perform the installation of eligible energy efficiency measures to complete projects.

The application processes for the Qualified Contractor and Regional General Contractor roles are shown below. The Qualified Contractors process is outlined in Section 2.3 while the process to apply to be a Regional General Contractor is shown in Section 2.6. Contractors applying for the RGC role must be provisionally approved to join the Contractor Network as a Qualified Contractor prior to applying to become a Regional General Contractor.

### 2.1 Application Requirements

The Applicant shall provide all required information listed in the application and application instructions when applying to participate in the Qualified Contractor Network. After receiving provisional approval, Qualified Contractors must provide the IESP with updated staff information for those who will work on the program. If there are any changes to staff or their information throughout the duration of the program, Qualified Contractors must provide that updated or new information upon any changes taking effect.

### 2.2 Qualified Contractor Roles and Responsibilities

Qualified Contractors' responsibilities and tasks include the following:

1. **Quality Installations:** Ensure all installations of energy efficiency measures meet quality standards, adhere to the IESP Eligible Measure Specifications, and comply with local building codes and regulations.
2. **Communication:** Maintain effective communication with IESP staff and Customers, the Regional General Contractor, other Qualified Contractors, and other stakeholders. Effectively use IESP specified software when required.
3. **Licensing:** Contractors must comply with local licensing requirements in the specific jurisdiction where they operate.
4. **Training:** Successfully complete IESP Qualified Contractor training and remain compliant and updated with Program policies and requirements.
5. **Permit Acquisition:** Obtain all necessary building permits and licenses from local authorities per

your installation measure requirements.

6. **Local Regulations:** Understand and adhere to local building codes, zoning ordinances, and other regulations as they apply to each project.
7. **Insurance:** Carry the required insurance to protect themselves and IESP Customers. Coordinate coverage with RGC.
8. **Administrative Requirements:** Submit all documents as required by the RGC for invoicing in a timely manner.

## 2.3 Qualified Contractor Application Steps

Contractors are encouraged to fill out the Qualified Contractor Application online through the IESP website at [www.IndianaEnergySaver.com](http://www.IndianaEnergySaver.com); however, applications may be submitted via email or mail for review. The application process for the Qualified Contractor role is a phased approach consisting of six steps, shown below. Additional detail on what is required in each step can be found on the [Qualified Contractor page](#) of the IESP website.

- 1) Contractors shall review the IESP Contractor Program Documents made available [Qualified Contractor page](#) of the IESP website to determine their interest in program participation. Contractors are encouraged to compile all necessary documentation before beginning the application process.
- 2) Contractors must submit a [Qualified Contractor Application](#) along with required documentation for consideration which includes, but is not limited to:
  - [Documentation of three recently completed projects](#) per service that demonstrates competency in the given field of expertise, and with preference to projects that are energy efficiency related;
  - Copy of your “Doing Business As” (D/B/A) certificate (if applicable);
  - Registered Business ID – registration as a business entity in the State of Indiana;
  - Unique Entity ID from SAM.gov, if available;
  - Copy of Indiana [Division of Supplier Diversity](#) certification (if applicable);
  - [Employee roster](#) including employee names, roles, and certifications (with expiration dates) of any employees that will be performing work.
- 3) Program staff will review the Qualified Contractor Application and supporting documentation. Upon review of the application, program staff will notify the contractor of acceptance or denial. If additional information or clarification is needed, program staff will follow up via email or phone to request additional documentation or clarifications.

Program staff will review all documentation provided. Program staff will also determine if the applicant is in good standing and eligible to do work on the program by checking the Federal

Government SAM website, <https://sam.gov/content/home>, and the Indiana Secretary of State Business Entity Search, <https://bsd.sos.in.gov/publicbusinesssearch>. If a contractor is not registered, program staff will contact the applicant to request completion of the appropriate registrations.

- 4) Upon satisfactory review and acceptance of all required documents, Contractors will be contacted by program staff to provide a copy of their current insurance certificate (general liability, workers compensation, automobile, and errors and omissions if applicable) as required by the IESP Program Documents.
- 5) Upon receipt of all necessary insurance certificates, program staff will issue approval of the Contractor's application. The approved contractor will maintain a 'Provisional' status until the successful completion of five (5) projects. This status is given so the program can assess the work of the contractor, gauge customer service skills and timeliness of work among other factors.

Contractors will be issued an IESP Qualified Contractor Certificate to verify enrollment in the Indiana Energy Saver Program Qualified Contractor Network. IESP Qualified Contractor Badges will be generated for the approved employee roster and mailed directly to the address on file. Contractors will be required to possess and present the IESP Qualified Contractor Badge while working on the program.

- 6) Upon receiving approval for network participation, Qualified Contractors will receive assignments from the Regional General Contractor based upon program demand and available capacity to perform the work.

**Note:** Program staff must conduct Quality Control Inspections, which are independent, on-site post-installation inspections of the work completed by the Qualified Contractors as part of the federal program requirements.

The Qualified Contractor may be notified and invited to join the inspection (unless otherwise indicated by the customer). A report of the field inspection will be provided to the Qualified Contractor, and the Qualified Contractor will be required to address any deficiencies noted.

## **2.4 Qualified Contractor Application Evaluation Criteria**

Program staff will review and evaluate all applicant documentation to determine if a contractor is approved to participate in the IESP Qualified Contractor Network. Program staff will not determine if the Contractor is eligible to be in the program until all the requested information is received. The IESP may deny or rescind approval of a Qualified Contractor Application for any reason including failure to maintain program standards, poor performance, unresponsiveness, or inappropriate behavior, as described in Chapter 9 and 10 below. The decision to approve a Qualified Contractor Application is at the Program's sole discretion.

## 2.5 Regional General Contractor Roles and Responsibilities

Regional General Contractors' responsibilities and tasks include the following:

1. **Scope of Work and Energy Audits:** For each project, RGCs will consult the energy audit performed by IESP program staff to develop a detailed project plan. RGCs are expected to review and verify the project's scope of work and specifications, develop each project schedule and timeline, and coordinate and manage Qualified Contactor teams for project installation.
2. **Project Planning and Professional Services:** For each project, RGCs will consult the energy audit and scope of work to coordinate and manage project-specific Qualified Contactor teams to ensure project delivery. When applicable, the RGC must provide project-specific plans, permitting, and MEP design, plans, and professional services.
3. **Scheduling:** RGCs are responsible for creating, managing, and regularly updating project schedules to ensure timely completion of a project. This includes scheduling Qualified Contractors across different projects to ensure no Qualified Contractors are overwhelmed, and reasonable timelines are maintained for property owners and tenants. For Public Housing Authority (PHA), multifamily (MF), and single-family landlord projects, RGCs will need to coordinate with the property owner regarding work in tenant-occupied units. The Property Owner is responsible for tenant notifications and if required, tenant dislocation.
4. **Qualified Contractor Management:** RGCs will assign work to contractors from the Qualified Contractor Network for specialized tasks like electrical work, plumbing, and HVAC.
5. **Licensing:** Contractors must comply with local licensing requirements in the specific jurisdiction where they operate. RGCs will verify that each Qualified Contractor has the certifications that are required in the jurisdiction where the project will occur.
6. **Training:** Successfully complete IESP RGC training and remain compliant and updated with Program policies and requirements.
7. **Communication:** Maintain effective communication with IESP staff and Customers, Qualified Contractors, architects, engineers and other stakeholders. This includes the use of program-specified software such as FTQ360 as appropriate.
8. **Budgeting and Cost Control:** Monitor project costs and ensure they stay within budget. This responsibility will be more significant for multifamily and public housing projects.
9. **Risk Management:** Identify potential risks and implement strategies to mitigate them at the project and potentially at the program level. Communicate any identified risks with IESP staff.
10. **Payment and Reimbursement:** Review work performed by Qualified Contractors and upon completion of compliant work, issue payment/reimbursement to Qualified Contractors (see Chapter 8).
11. **Permit Acquisition:** Confirm that the Qualified Contractor has obtained all necessary building

permits and licenses from local authorities.

12. **Local Regulations:** Understand and adhere to local building codes, zoning ordinances, and other regulations as they apply to each project.
13. **Quality Control:** Ensure the project meets quality standards and complies with the IESP requirements and all local, county and state building codes and regulations.
14. **Insurance:** Carry appropriate liability insurance for projects to protect themselves and IESP Customers. Verify Qualified Contractors in their region have appropriate insurance coverage levels.

## 2.6 Regional General Contractor Application Steps and Evaluation Process

To become a Regional General Contractor a firm must first apply to be a Qualified Contractor and indicate interest in the Regional General Contractor role on their application. Once provisionally approved to be a Qualified Contractor, firms who have expressed interest in this role will be notified when the RGC application is available. All Regional General Contractor applications must be submitted through the [IESP website](#). Applicants will need to submit substantial documentation outlining their qualifications and approach to the Regional General Contractor role. An outline of preferred qualifications and application steps are shown below. Additional details on the RGC application process can be found on the IESP Contractor [webpage](#).

Firms must submit a Regional General Contractor Application along with documentation demonstrating the firm's capacity to:

1. Operate across multiple counties throughout Indiana
2. Comply with federal program requirements
3. Provide staffing to meet competencies related to project management, construction administration, and access to architectural and engineering services
4. Coordinate and supervise energy efficiency upgrades and retrofits for single family, multifamily and public housing typologies
5. Provide project and construction management oversight for multiple projects with multiple contractors running concurrently in different locations while staying on budget and on schedule
6. Meet financial obligations and effectively manage cash flows

### Regional General Contractor Application Steps

1. Meet the requirements to be an IESP Qualified Contractor via the application process and express interest in the Regional General Contractor position.
2. When provided notification that the Regional General Contractor Application is open, apply to be a Regional General Contractor, following the instructions shown on the IESP website,
3. Program staff will review submitted applications and supporting documentation for completeness. Upon review of the application, program staff may request a phone interview with the firm.

4. Program staff will score the applications received. Top-ranked applicants will be invited to take part in an in-person interview process. After the interview, IESP staff will determine which firms will become Regional General Contractors.

The IESP may deny or rescind approval of a Regional General Contractor Application for any reason including failure to maintain program standards, poor performance, unresponsiveness, or inappropriate behavior, as described in Chapter 9 and 10 below. The decision to approve a Regional General Contractor Application is at the Program's sole discretion.

## **2.7 Terms and Conditions**

Qualified Contractors and Regional General Contractors must agree to specific Terms and Conditions for participating in the IESP Contractor Network. The Terms and Conditions are in effect upon notice of approval for participation in the IESP Qualified Contractor Network or upon notice of selection as a Regional General Contractor. Failure to comply with the Terms and Conditions can lead to disciplinary action or termination from the program. Copies of the Terms and Conditions for Qualified Contractors and Regional General Contractors can be found on the IESP Contractor pages on the program website.

<https://www.IndianaEnergySaver.com/qualified-contractors/>

<https://www.IndianaEnergySaver.com/regional-general-contractor-network/>

## **2.8 Codes of Conduct**

The Codes of Conduct outline expectations of Qualified Contractors and Regional General Contractors when completing IESP projects and ensure a smooth business relationship with the IESP. The IESP requires contractors who participate in the Qualified Contractor Network to adhere to professional business and ethical standards. Failure to comply with the Contractor's Code of Conduct can lead to disciplinary action and/or termination from the program. The Codes of Conduct for the Qualified Contractor and Regional General Contractor can be found on the IESP Contractor pages on the program website.

<https://www.IndianaEnergySaver.com/qualified-contractors/>

<https://www.IndianaEnergySaver.com/regional-general-contractor-network/>



## 3 Participation Requirements

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By completing the Qualified Contractor or Regional General Contractor application, the applicant agrees to the relevant Terms and Conditions, and Codes of Conduct, and the following participation requirements.

### 3.1 Qualified Contractor Requirements

The Qualified Contractor shall meet the requirements outlined herein, in the Qualified Contractor Application, Terms and Conditions, Code of Conduct, and in relevant program materials.

As a minimum requirement to perform work through the IESP, the Qualified Contractor must employ staff with the required certifications outlined herein. The IESP may modify or update these requirements at any time.

### 3.2 Certified Staff

Work must be completed in accordance with the requirements specified herein by individuals maintaining the proper credentials where applicable. It is the Qualified Contractor's responsibility to ensure work performed adheres to the technical standards established and maintained by the credentialing organization for each certification, and to ensure that the program requirements outlined herein are met. The Regional General Contractor is expected to oversee and confirm that the work of Qualified Contractors in their region meets these technical standards. Below is a list of baseline licensing, certifications, and training requirements, by trade, contractors must possess to be considered for the IESP Qualified Contractor Network.

Additional certifications will be accepted for review. Equivalent credentials not listed herein may be submitted to the Program for evaluation. Approval will be granted on a case-by-case basis.

#### **General Contractors/Carpenter/General Labor**

- General Contractor License Requirement
- Company License
- Authorized Agent

#### **Insulation and Air Sealing Installers**

- Indiana has established Weatherization competency standards known as the Indiana Skills Verification (ISV) competencies. The Building Performance Institute (BPI) in conjunction with DOE has established competency standards as well.
- Installers who will be installing Insulation and Air Sealing are required to provide one of the following credentials recognized for weatherization professionals working in Indiana:
  - ISV Energy Auditor
  - ISV Retrofit Installer for Shell Professionals

- ISV Retrofit Installer for Mechanical Professionals
- ISV Crew Leader for Shell Professionals
- BPI Energy Auditor
- BPI Quality Control Inspector
- BPI Crew Leader for Shell Professionals
- BPI Healthy Home Evaluator
- Spray Polyurethane Foam Alliance (SPFA) Professional Certification Program (PCP)
- EPA Lead-Safe Renovation, Repair, Painting (RRP) Program Certification
- Must upload certificate and/or provide certification number on the IESP Contractor Employee List form as part of application.

#### **HVAC Installers**

- HVAC Installers licenses as determined by the local municipality. Can include:
  - HVAC Contractor Registration
  - HVAC Contractor License
  - HVAC Qualifier License
  - North American Technician Excellence (NATE)
  - EPA 608 Certificate
- Must provide a copy of a valid license or certificate.

#### **Heat Pump HVAC Installers:**

- HVAC requirements above, plus provide proof of one of the following certifications and training:
  - U.S. DOE Energy Skilled Recognized Programs for Heat Pump Installation
  - BPI Air Conditioning & Heat Pump Professional
- Must upload certificate and/or provide BPI number on IESP Contractor Employee List form as part of application.
- Must confirm installation staff are up to date Manufacturers' or equipment specific training/certification training.
- Must agree to stay up to date with all manufacturers and/or equipment specific training.
- Agree to provide additional proof of training as requested by the Program.

#### **Electricians/Electrical Installers (electrical load service center or wiring upgrades):**

- Installers must hold one of the following Licenses as required by the local authority having jurisdiction:
  - Apprentice Electrician
  - Journeyman Electrician
  - Master Electrician
- Businesses must provide a copy of their primary Master Electrician license.

#### **Plumbers/Plumbing Equipment Installers**

- Installers must hold one of the following Indiana State Licenses:
  - Apprentice Plumber
  - Journeyman Plumber
  - Plumber Contractor License
- Restricted or Temporary Service licenses will not be accepted.
- Businesses must provide a copy of their Plumber Contractor license.

#### **Heat Pump Water Heater Installers:**

- Plumbers Requirements above, plus:
  - Confirm the installation staff are up to date with manufacturer training.
  - Agree to stay up to date with all manufacturers and/or equipment specific training.
  - Agree to provide additional proof of training as requested by the Program.

#### **Appliance Installers**

- Must provide copies of valid licenses and/or manufacturers certificates applicable to the appliances they wish to install.

### **3.3 Licensing**

It is the sole responsibility of the Qualified Contractor to obtain and maintain any required federal, state, county, or municipal government licenses required for installing measures, and not to perform work for which they are not licensed if licensing is required. The Qualified Contractor shall provide the IESP with evidence of the current licensing as part of the Qualified Contractor Application process. Regional General Contractors will ensure that Qualified Contractors' licensing is current and valid for any activities prior to the installation of measures at a property. Failure to comply with licensing requirements will result in disciplinary action and potential termination from the program.

### **3.4 Permits**

It is the sole responsibility of the Qualified Contractor to obtain any required permits for measures assigned to them for installation prior to starting work on any IESP project. The Qualified Contractor must comply with the terms of any required permits. The Regional General Contractor will be responsible for obtaining all applicable permits from the assigned Qualified Contractors that are required for the project prior to starting work. The Regional General Contractor will provide all applicable permits for the project to IESP staff so that the permits can be reviewed and maintained in the program's system of record for the address where the work is being performed. Failure to comply with permitting requirements at the local, county, or state level will result in disciplinary action or termination from the Program.

### **3.5 Codes**

All Qualified Contractors must undertake work in compliance with all applicable codes, regulations, laws, and standards in the jurisdiction where work is located. The Regional General Contractor will ensure that Qualified Contractors comply with all applicable codes, regulations, laws and standards for measures installed at a property. Failure to comply with applicable codes, regulations, laws, and standards in the jurisdiction where work is located will result in disciplinary action or termination from the Program.

### **3.6 Contractor Health and Safety Plan**

Each Qualified Contractor must maintain a health and safety plan for their employees working on the program. The Regional General Contractor or Program staff may request a copy of the plan for review at any time. The Qualified Contractor has 15 days to submit a copy of the plan to the Regional General Contractor after IESP requests the document. Failure to provide a copy of the health and safety plan may result in disciplinary action or termination from the Program.

### **3.7 Contractor Maintenance of Traffic (MOT) Plan**

Qualified Contractors must follow a maintenance of traffic plan that minimizes disruptions to the public and the Customer. All ingress and egress from properties shall be limited to existing drives and sidewalks for a project. Qualified Contractors shall to the furthest extent possible avoid impeding Customer access to their property.

Qualified Contractors shall not impede vehicular or pedestrian travel within the public right-of-way without obtaining written permission from the Local Authorities having jurisdiction and Program staff. Such permission does not guarantee against damage or injury to property and the Qualified Contractor shall be fully liable for any and all damage or injury caused thereby.

In instances where work is occurring in or adjacent to the public right-of-way or in project specific cases, and as required by Program staff, the Regional General Contractor shall submit a site-specific maintenance of traffic plan for IESP staff review and approval prior to commencing any on-site work. If construction activities are to occur or are staged from within or adjacent to the public right of way, the Regional General Contractor must obtain written permission from the Local Authorities having Jurisdiction and shall meet the requirements of the Local Authorities having jurisdiction over the

affected roadway, side street and/or sidewalks. The plan shall be consistent with the Manual on Uniform Traffic Control Devices and the Contractor's means and methods for performing the work. The Contractor is responsible for maintaining traffic control devices at all times of operation, and in cases where equipment is left overnight.

The Contractor's plan shall specifically address the maintenance of traffic regarding pedestrian, automotive, and/or other anticipated modes of traffic that could be encountered. The plan shall include a written portion detailing the plan and a sketch or plan sheet(s) detailing how maintenance of traffic plan will be implemented. The plan shall at a minimum identify the locations for placement of equipment such as trailers, where staging will take place from, where debris loading will occur, how street, lane, and/or sidewalk closures will be implemented, as well as the type(s) and location of the signing, barricades, channelizing devices that will be used.

The IESP may, based on the project, request that a copy of the MOT plan be provided to the Program for upload to the project file in the Program's system of record.

### **3.8 Product Installation Forms**

Qualified Contractors must maintain documentation at their place of business of the materials installed using program funds. The Qualified Contractor must provide the Regional General Contractor with a list of installed materials using forms provided by the IESP. The Regional General Contractor will provide all documentation and the list of installations to IESP staff. This information will be maintained in the Program's system of record for the address where the work was performed to comply with program requirements. Failure to comply with providing the forms will result in disciplinary action or termination from the Program.

### **3.9 Product Safety Data Sheets (SDS)**

Qualified Contractors must maintain the Safety Data Sheets (SDS) for products and materials that were installed as part of the project. The SDS must be made available and provided to IESP Customers and to the Regional General Contractor who would provide it to IESP staff. The IESP, based on the type of item installed, may require that the Qualified Contractor document that the SDS and "how to use instructions" were provided to the Customer. Based on the type of item installed, the IESP may also require the Regional General Contractor to provide a copy of the SDS to IESP staff so it can be uploaded to the Program's system of record. Failure to comply may result in disciplinary action or termination from the Program.

### **3.10 Manufacturer's Warranty**

Some eligible products under the IESP will require contractors to have specific training or certifications to install these products. Prior to installation of these products, the Qualified Contractor must provide documentation demonstrating they possess the proper training or certifications to install these items. The Regional General Contractor must ensure that the Qualified Contractor has the proper training and certifications to install these products. While the IESP plans to inform Qualified Contractors when a product installation requires specific training, certifications or documentation before assigning work, if

the Qualified Contractor or Regional General Contractor finds additional installation requirements or documentation are needed, the Qualified Contractor must inform the Regional General Contractor and not initiate installation until the specific requirements are met and/or the documentation is entered into the program's system of record. The Regional General Contractor will provide product-specific manufacturer's warranties, when applicable, to IESP staff who will upload the warranty into the project file in the program's system of record. Failure to comply with installation requirements could result in disciplinary action or termination from the Program.

### **3.11 Labor and Materials Installation Warranty**

The Qualified Contractor shall provide the Customer with a written warranty of labor and materials valid for a minimum of one year from the date the work was completed and the Installation Complete form was signed by the property owner.

Installed equipment shall carry, at a minimum, the manufacturer's warranty, plus optional extended warranty coverage, if applicable. The Qualified Contractor must provide copies of all relevant warranties to the Customer. The Qualified Contractor must provide the Regional General Contractor with a copy of the warranty. The Regional General Contractor will provide the warranty to IESP staff who will upload the warranty into the project file in the Program's system of record.

If installed measures do not meet Program requirements, as identified through a Customer concern submission, or as confirmed through a Post-Project Verification and Quality Assurance (QA) Field Inspection, the warranty shall, at the Regional General Contractor's expense, be extended one year from the date the Qualified Contractor completed remediation to the Program's satisfaction for all confirmed deficiencies.

If there are questions or disagreements regarding whether a defect was caused by improper installation, a neutral third party, who did not perform the quality inspection (which could include a third-party quality control inspector or the Implementation Contractor), will be asked to assist and assess the installation for compliance. If a resolution cannot be achieved by these parties or IESP staff, the situation may be brought to the attention of OED.

Any defects found outside the warranty period are the sole responsibility of the Customer. Warranties do not extend to measures a Customer has altered after the final Post Project Verification and Quality Assurance (QA) Field Inspection. This warranty should not be considered to cover equipment failure caused by failure to perform normal maintenance, abuse or external causes beyond the control of the Qualified Contractor.

### **3.12 White Goods and Debris Removal Plan**

Qualified Contractors shall assume full responsibility for the removal of old equipment from the Customer facility and for sorting, storage, recycling and proper disposal of equipment and waste material in compliance with all applicable laws and regulations in the prevailing local jurisdiction. Each Qualified Contractor must maintain and follow a White Goods and Debris Removal Plan to indicate how appliance waste and debris from the projects will be properly disposed of. The plan should outline the collection,

decontamination, and disposal/reuse of the old appliances while adhering to state and local requirements. The Regional General Contractor will confirm that the white goods removal plan complies with state and local requirements. At its discretion, the IESP may request that a copy of the Qualified Contractor's white goods and debris removal plan be provided to the Program, so that it can be maintained in the Qualified Contractor's file. Any requests for copies of the Qualified Contractor's White Goods and Debris Removal Plan will be initiated through the Regional General Contractor.

### **3.13 Regional General Contractor Management and Oversight**

The Regional General Contractor is responsible for sending leads or assignments to Qualified Contractors to complete project work orders. RGCs are responsible for providing fair distribution of projects among the Qualified contractors in their region. If Customers express that they have a preferred contractor or an existing contract with an appropriately certified contractor who is not a part of the IESP Qualified Contractor Network, these contractors will be directed and encouraged to apply to be a Qualified Contractor. If approved by the IESP to be a Qualified Contractor, an RGC can assign the requested Qualified Contractor to a specific Customer's project when feasible.

The RGC is responsible for ensuring every Qualified Contractor is properly licensed, trained, and able to install the measure under the program guidelines. The RGC will be responsible for ensuring that Qualified Contractors assigned to their projects adhere to program requirements, including acquiring permits, following local codes, and maintaining product specific installation warranties. The RGC will confirm that each Qualified Contractor in their region possesses and maintains an up-to-date Health and Safety Plan, White Goods and Debris Removal Plan, as well as any other project-specific plan(s). The RGC is responsible for ensuring that project schedules and site-specific plans are being followed, and that work order assignments are completed accurately and in a timely manner.

## **4 Contractor Relations with Customers**

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The Regional General Contractor will work closely with the Customer to determine the specifications for the identified energy efficiency measures and will contract with the Customer for the completion of the scope of work. The Regional General Contractor will also enter into a contract with the Qualified Contractor(s) who will install and perform the work. The Regional General Contractor serves as the primary point of contact for the Customer during installation. Regional General Contractors are expected to maintain frequent and open communication with IESP Customers and provide project timelines and work schedules to the Customer(s) for Qualified Contractor(s) assigned to perform the work. The Regional General Contractors are expected to provide the IESP with updated project timelines and work schedules every 30 days.

### **4.1 Customer Inquiries**

While the Regional General Contractor serves as the primary point-of-contact, Qualified Contractors performing the installation of measures will have more face-to-face interactions with Customers. The IESP expects Qualified Contractors to provide a high level of professionalism when interacting with Customers and the IESP takes Customer inquiries and concerns seriously. Qualified Contractors shall respond to inquiries from Customers and IESP staff in a prompt, professional, and courteous manner. IESP will pay close attention to customer service and feedback when assessing a Qualified Contractor's performance and continued participation in the Contractor Network.

### **4.2 Customer Issues and Dispute Resolution**

The Regional General Contractor will be the primary intermediary between the Qualified Contractor and the Customer and will take the lead in resolving any disputes or Customer issues that may develop. The Regional General Contractor will inform the IESP if a Customer issue or dispute has occurred while at the work site and document the issue. Communication with the Regional General Contractor and Qualified Contractor is expected to primarily occur using FTQ, as it allows for "real-time" notification and is used when on the work site. For issues that develop at the work site, the RGC will then work with the Qualified Contractor and the Customer to resolve or mitigate the issue. If necessary, the Regional General Contractor will escalate issues that cannot be settled to the IESP. The Qualified Contractor and Regional General Contractor will use forms and materials provided by the IESP to document the issue.

Customers can also report issues through the IESP call center or through IESP applicant portal. In the event a Customer issue is raised through this process, IESP staff will inform the RGC and provide the details that were provided by the Customer. The status of the issue will be recorded and documented using IESP forms and materials. The RGC will then contact the Qualified Contractor to resolve the disputes or Customer issues that developed. The Qualified Contractor will then inform the Regional General of the resolution.

Qualified Contractors will be expected to remedy any issues identified during the quality assurance process or brought to the Program's attention by Customers. Qualified Contractors will be provided with training, materials, and steps to document when a Customer expresses concern, complains, or disputes about work provided by the Qualified Contractor.



Qualified Contractors are expected to use IESP-provided materials. If complaints or issues develop while working at a property, the IESP expects the Qualified Contractor to proactively contact the Regional General Contractor to inform them about the issue. Depending on the type of complaint or issue, the Regional General Contractor may be required to inform IESP staff about any potential issues. Failure to utilize forms provided by the IESP to address Customer issues may result in disciplinary action or termination from the Program.

If Customers contact the IESP with unresolved issues, IESP staff will document the reported issue in the Customer's project file and if applicable, what item in the work order is tied to the complaint. IESP will then contact the Regional General Contractor so that the issue or complaint can be resolved. If necessary, the Regional General Contractor will contact the Qualified Contractor to clarify and remedy the situation. The Qualified Contractor will be expected to address the situation in the timeframe provided by the Program.

Regardless of the nature of, or parties involved in, the dispute and any resolution, the Qualified Contractor shall defend and hold harmless the State of Indiana, the Indiana Office of Energy Development and EGIS BLN Consulting USA, L.L.C, and any Implementation Contractor and their subsidiaries, affiliates, suppliers, agents, officers, directors, employees, from any legal action arising from work associated with the Program. Failure to resolve Customer issues in a timely manner and in accordance with Section 5.2 described herein may result in disciplinary action or termination from the Program.

### **4.3 Generation of Customer Leads**

The IESP Qualified Contractor Network is designed to provide regional support to Qualified Contractors through Regional General Contractors. Regional General Contractors are responsible for providing Qualified Contractors with opportunities to work on IESP projects in the region where the Qualified Contractor is located or where the Qualified Contractor has expressed an interest in or capability of doing work. As part of and following the energy audit, the Regional General Contractor will work with the IESP energy auditor and Customer to finalize a scope of work for a specific project. The final scope of work for the project will be used to generate a Work Order. The Regional General Contractor is responsible for offering a lead or assigning specific measures included in the Work Order to QCons to install once a contract between the RGC and Property Owner is signed.

The Regional General Contractor will offer the lead to Qualified Contractor(s) based on the Work Order and their ability to do the included work. The IESP will monitor and oversee Regional General Contractors to ensure that Qualified Contractors are provided with opportunities in their assigned region. The Qualified Contractor can decide if they want to pursue the lead or pass on the opportunity. The Qualified Contractor will inform the Regional General Contractor of their decision to pursue or pass on the lead. The Regional General Contractor has up to 14 days to contact the Customer to schedule the installation of the measures included in the Work Order. The Regional General Contractor will work with the Qualified Contractor to ensure all necessary permits and materials for the Work Order are in place and available before work begins. Qualified Contractors must make every reasonable effort to support the timeline provided by the RGC and agreed upon with the Customer.

The Regional General Contractor and Qualified Contractors may encourage or inform their current customers or client base about the program, but all potential Customers must first apply through the established IESP application process. Qualified Contractors or Regional General Contractors, found to be actively discouraging Customers from participating in the Program, including suggesting changes to planned scopes of work that will increase the cost to the Customer, “upselling” to add more services, or providing options for free or partially incentivized services to Customers through alternative contractors or work without prior written approval by IESP will be subject to the disciplinary measures that action or termination from the Program.

#### **4.4 Timely Communication**

Qualified Contractors will be given materials and training to document and inform the Regional General Contractor when work at the property has been completed using IESP-provided software. The materials will include expected timeframes for Qualified Contractors to report completed work. Regional General Contractors will be provided with materials and training on how to notify the IESP when work is complete, including working with the Customer to obtain an Installation Complete Form. Qualified Contractors shall ensure prompt and accurate reporting of all project completions. Failure to properly notify the Regional General Contractor when projects are complete or not using IESP forms and processes may result in disciplinary action or termination from the program. Regional General Contractors similarly must notify IESP when projects are complete using IESP-provided software or they could face disciplinary action or termination from the program.

## **5 Professional Business Conduct & Practices**

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Qualified Contractors and Regional General Contractors are expected to represent the Program with professionalism and integrity. Once approved, Qualified Contractors and Regional General Contractors agree to abide by either the Contractor Code of Conduct or the Regional General Contractor Code of Conduct, which highlights expected business practices and professionalism requirements. Conduct contrary to these principles may result in disciplinary action or termination from the program. In addition, Qualified Contractors and Regional General Contractors must remain in full compliance with the following requirements to maintain good standing with the program.

### **5.1 Contract Compliance**

It is the sole responsibility of the Qualified Contractor through the Regional General Contractor to ensure all materials submitted to the Program are written in full compliance with the requirements detailed in this Contractor Participation Manual.

Contracts utilized by the Regional General Contractor will have been vetted and approved by the IESP. This includes contracts that the Regional General Contractor will have with IESP Customers and contracts that the Regional General contractor will have with Qualified Contractors. Regional General Contractors must only utilize contracts and subcontracts that have been approved by IESP.

It is the sole responsibility of the Regional General Contractor to ensure all contracts submitted to the Program by the Regional General Contractor are written in full compliance with all applicable statutory or regulatory provisions. Contracts submitted by the Regional General Contractor cannot contain mandatory arbitration clauses.

IESP staff will conduct periodic reviews of contracts used by Regional General Contractors, with homeowners and Qualified Contractors to ensure contract compliance. Upon request by IESP staff, the Regional General Contractors and Qualified Contractors shall provide additional details regarding contractual terms and costs for the purposes of project review.

### **5.2 Professional Conduct and Courtesy**

The Qualified Contractor and Regional General Contractors shall treat all Customers fairly, provide accurate program information and deliver services in a timely, competent, professional, and reasonable manner. Unethical and unprofessional behavior will not be tolerated by the IESP. Qualified Contractors and Regional General Contractors shall conduct themselves in a professional, respectful, and reasonable manner at all times when interacting with IESP Customers, IESP staff, and other Qualified Contractors. Qualified Contractors and Regional General Contractors shall not engage in behavior that adversely impacts or tarnishes service marks of IESP, OED, or other Qualified Contractors, and/or diminishes the profession or service in the eyes of the public.

After being admitted into the Qualified Contractor Network, Qualified Contractors will be provided with training and materials outlining professionalism and courtesy expectations when engaging with IESP Customers. The Regional General Contractors will be provided with similar training relating to professionalism and Customer interactions. Training materials also include how the IESP expects Qualified Contractors and Regional General Contractors to address potential Customer conflicts and issues. If the

Qualified Contractor cannot provide accurate information to the Customer or has questions relating to a Customer's requests, the Qualified Contractor shall request clarification from the Regional General Contractor. Regional General Contractors who cannot address potential conflicts should inform IESP staff and/or refer the Customer to the IESP for clarification and resolution.

IESP staff will assess Qualified Contractors' and Regional General Contractors' Customer interactions through Customer surveys and follow-up communications. If Customers report unprofessional or uncourteous behavior, IESP staff will report this information to the Qualified Contractor or Regional General Contractor. Depending on the Customer feedback, the IESP may require corrective actions and limit future assignments until the IESP determines that the Qualified Contractor can meet the professionalism and courtesy standards. Depending on the Customer feedback, the Regional General Contractor may be consulted on the issue.

Failure to maintain the level of professionalism and courtesy that the IESP requires can result in disciplinary action or termination from the Program for both the Qualified Contractor and Regional General Contractor.

### **5.3 Poor Workmanship and Past Performance**

If an employee of a Qualified Contractor or Regional General Contractor has exhibited poor workmanship on one or more projects, they may be prohibited from working on future IESP projects. After being admitted into the network, Qualified Contractors will be provided with training and materials outlining performance expectations. The federal program guidance requires an inspection of a Qualified Contractor's first five projects to confirm that the workmanship meets the specific requirements. If a Qualified Contractor's or Regional General Contractor's work does not meet or pass quality assurance and quality control levels, IESP staff will communicate this information to both the Qualified Contractor and the Regional General Contractor. Depending on the deficiency, the Qualified Contractor may be required to correct the issue. In this situation, the Qualified Contractor and Regional General Contractor will be provided with written instruction on the amount of time they have to address or correct the issue. Depending on the number of times deficiencies are found, the IESP may require corrective actions and potentially limit future assignments until the IESP is confident that the work can satisfy the quality assurance and quality control requirements.

Failure to maintain consistent, quality work will result in disciplinary action or termination from the Program. Program staff will notify the Qualified Contractor and Regional General Contractor of any individual prohibited from working on IESP projects.

The Regional General Contractor is required to make certain that all energy efficiency measure installations match the Work Order and all necessary paperwork and data have been submitted for each project.

The RGC is responsible for the workmanship of the Qualified Contractors they supervise. If a Qualified Contractor displays poor workmanship or performance, then the RGC must write up the deficiency and ensure corrective actions are taken. The RGC must notify the IESP of inconsistent work by Qualified Contractors.

### **5.4 Contractor Issues and Dispute Resolution**

Regional General Contractors will be expected to remedy any issues identified or brought to the

Program's attention by Customers or Qualified Contractors.

If complaints or issues develop while working on the program, the IESP expects the Qualified Contractors to proactively contact their Regional General Contractor to seek resolution. Regional General Contractors will be expected to address the situation in a timely manner. A Qualified Contractor may contact the IESP with unresolved issues, IESP staff will document the reported issue, and contact the Regional General Contractor to clarify and remedy the situation. The Regional General Contractor will be expected to address the situation in the timeframe provided by the Program.

A Qualified Contractor may contact the IESP if an issue with the Regional General Contractor cannot be resolved. IESP staff will document the reported issue and contact the Regional General Contractor to clarify and determine what action is needed to remedy the situation. The Regional General Contractor will be expected to address the situation in the timeframe provided by the Program.

Regardless of the nature of, or parties involved in, the dispute and any resolution, the Regional General Contractor and Qualified Contractors shall defend and hold harmless the State of Indiana, the Indiana Office of Energy Development and EGIS BLN Consulting USA, L.L.C, and any Implementation Contractor and their subsidiaries, affiliates, suppliers, agents, officers, directors, employees, from any legal action arising from work associated with the Program. Failure to resolve Contractor issues in a timely manner and in accordance with Section 5.2 described herein, may result in disciplinary action or termination from the Program.

## **5.5 Program Representations**

Qualified Contractors and Regional General Contractors shall not present unfair or inaccurate representations of OED, the IESP, the Implementation Contractor, other Qualified Contractors, or affiliates.

## **5.6 Contractor Representations**

Qualified Contractors and Regional General Contractors shall accurately represent their relationship to the State of Indiana, OED, and the Implementation Contractor. This relationship shall be upheld regardless of whether the Qualified Contractor is provisionally approved, is approved as a Qualified Contractor, or has formerly participated in the IESP Qualified Contractor Network and for Regional General Contractors if they are in an active status.

## **5.7 Use of Sub-Contractors**

The Qualified Contractor Network is designed to register individual firms to participate in the IESP. The IESP recognizes it is common for firms to work together on projects with one firm acting as the prime and the other as a subcontractor. To ensure that projects and installed work meet industry standards. To ensure all projects and work meet program requirements, the IESP requires all contractors and subcontractors to apply to be Qualified Contractors and receive approval before performing any IESP work. Additionally, RGCs must submit their standard subcontractor agreements to the IESP for review

prior to use.

#### **Qualified Contractors acting as Subcontractors:**

Firms in the Qualified Contractor Network can work together on projects with one firm acting as the primary contractor and the other as a subcontractor. Qualified Contractors acting as a subcontractor are expected to perform the work in a manner consistent with Programs requirements as a Qualified Contractor. It is the Regional General Contractor and primary Qualified Contractor's responsibility to ensure the work performed meets the program requirements. The IESP will utilize its established quality assurance and post-verification techniques to verify the quality of the work.

#### **Consideration for Non-Qualified Contractors to become Qualified Contractors/Subcontractors:**

If a Qualified Contractor or Regional General Contractor wants to use an additional firm(s) not included in the Qualified Contractor Network, the IESP will consider the request to add the firm(s) on a case-by-case basis. Qualified Contractors must contact IESP staff and the Regional General Contractor with the request prior to inviting a subcontractor to join an IESP project. All contractors and subcontractors must apply and be approved as Qualified Contractors before performing any IESP work.

## **5.8 IESP Contractor Badges**

Qualified Contractors and Regional General Contractors are not IESP employees. Qualified Contractors and Regional General Contractors may not use IESP logos without Program approval. However, the employees of Qualified Contractor and Regional General Contractor firms are required to present their IESP Qualified Contractor Badge(s) to Customers prior to beginning work on an IESP project.

Qualified Contractors and Regional General Contractors must identify themselves as representatives of the Indiana Energy Saver Program Qualified Contractor Network and offer to show the Customer their contractor badge when beginning work. This guideline maintains the integrity of the IESP brand, while providing Qualified Contractors and Regional General Contractors the opportunity to leverage their relationship with the IESP to engage Customers. The badge also acts as a way to minimize fraudulent behavior of non-qualified contractors acting on behalf of the program.

If a registered employee of a Qualified Contractor and Regional General Contractors is no longer performing work on IESP projects, or is no longer employed by the Qualified Contractor or Regional General Contractor, the Qualified Contractor or Regional General Contractor is required to notify IESP staff and collect and dispose of the employee's IESP Qualified Contractor Badge. IESP staff will require that Qualified Contractors and Regional General Contractors provide current rosters of staff assigned to work on IESP on a consistent basis. Failure to inform IESP staff about changes to employees working on IESP projects within 7 days of a change may result in disciplinary actions.

If a Qualified Contractor or Regional General Contractor is terminated from the Program, or no longer wishes to participate in the network, the Qualified Contractor or Regional General Contractor will be required to return all IESP Qualified Contractor Badges.

## **5.9 Using Program Materials on Website and for Marketing**

The Program, at its discretion, may request and/or grant Qualified Contractors or Regional General Contractors permission to distribute program materials. All IESP materials will be generated by IESP staff for distribution. Program marketing materials can only be utilized or distributed by Qualified Contractors or Regional General Contractors who have received written permission from the IESP to disseminate these materials.

Any Qualified Contractor or Regional General Contractors found providing program marketing materials to a non-qualified contractor will be subject to disciplinary action or termination from the Program.

## **1. Website and Marketing Materials**

### **i. Website Content**

Qualified Contractors and Regional General Contractors shall avoid publishing specific IESP content, including contractor requirements or copies of IESP forms and applications, to their individual company websites.

### **ii. Media Requests**

Qualified contractors and Regional General Contractors must submit a request to use any material containing the OED or IESP logo prior to publication or distribution, including print, web, or other media. Requests shall contain a low-resolution PDF of the media and a written request to the IESP staff for review. The Qualified Contractor and Regional General Contractors must not publish any IESP media prior to receiving approval from IESP staff. Violation of this requirement will result in disciplinary action or termination from the Program.

If a Qualified Contractor or Regional General Contractor is disqualified or terminated from the network, or no longer wishes to participate in the Program, the Contractor is required to immediately inform the IESP and remove all references to the IESP, including but not limited to, all program-related material, program marketing materials, and information posted to the Qualified Contractor's or the Regional General Contractor's website.

## **5.10 Technology Requirements**

### **1. Minimum Requirements**

The IESP requires Qualified Contractors and Regional General Contractors to meet the minimum technology requirements listed below. When a Contractor enters the Qualified Contractor Network, IESP staff will verify that the Qualified Contractor can meet these requirements.

**Operating System:** Qualified Contractors and Regional General Contractors must have access to a computer with an operating system capable of running the required Program software. After being accepted into the program, IESP staff will inform Qualified Contractors and Regional General Contractors of the program software requirements. Broadly, Qualified Contractors and Regional General Contractors need to be able to utilize Microsoft Word, Excel, and PowerPoint, or similar products, and be able to read and use PDF documents. The system must also be capable

of downloading and uploading documents either by attaching a file to emails or uploading them to a cloud-based server.

**Anti-Virus and Hacking Software:** The Qualified Contractor and Regional General Contractor shall ensure all computer equipment has active and operating antivirus software. Qualified Contractors and Regional General Contractors are prohibited from downloading any type of hacking tools, including but not limited to network sniffers, vulnerability scanners, or password cracking tools.

**Email Communication:** Qualified Contractors and Regional General Contractors must have active email account(s) with the ability to receive emails from the IESP, other Contractors, and Customers. Email must be checked on a regular basis. Qualified Contractors and Regional General Contractors shall ensure the email addresses on file with the IESP are current and must identify a primary point of contact.

## **2. Personal Identifiable Information (PII) in Program Communications**

All Qualified Contractors and Regional General Contractors performing work on IESP projects must comply with program policy regarding sharing, maintaining, and using Personally Identifiable Information (PII) linked to IESP projects. When a Contractor enters the Qualified Contractor Network, IESP staff will provide the Qualified Contractor with requirements to safeguard PII. Regional General Contractors and Qualified Contractors must agree to these requirements as part of their participation in the network. Qualified Contractors and Regional General Contractors will also be required to participate in web-based training on Customer communication and handling of PII provided by the IESP or Customers. Qualified Contractors or Regional General Contractors who fail to comply with the policy will be subject to disciplinary action.



## 6 Project Requirements

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Project requirements will be provided by the Program and are based on the energy audit that is performed by the Program. Project requirements include using the IESP provided scopes of work or work orders for measures that are to be installed and using project schedules to outline when work will take place and by what contractor at a property.

The Regional General Contractor and Qualified Contractor acknowledge that failure to follow all relevant project requirements and procedures may result in disciplinary action and costs.

### 6.1 Project Schedules and Work Order Requirement

The Regional General Contractor is required to attend the energy audit and coordinate with the energy auditor to develop a final scope of work, or work order, for the property. In addition, the Regional General Contractor is required to develop a schedule for the project that is provided to the property owner, the IESP, and the Qualified Contractors assigned to the project.

An initial project schedule for single-family projects should be developed and provided to the property owner and the IESP within 14 days of the signing of the Regional General Contractor – Property Owner Agreement. For multifamily projects, the Regional General Contractor should be prepared to provide the property owner, Qualified Contractors, and the IESP with an initial schedule for performing the work identified in the draft scope of work to facilitate the execution of the Regional General Contractor – Property Owner Agreement and finalize the scope of work with the property owner. The schedule also needs to be developed such that milestone completion is representative of the project and scope (i.e. single-family projects should be measure-by-measure and multifamily projects should be scheduled to account for unit-by-unit completion and common building upgrade completion).

Upon finalizing the Regional General Contractor – Property Owner Agreement and depending on the type and size of a project, the initial schedule may change or need to be adjusted. The Regional General Contractor may adjust the schedule but must coordinate this with the property owner, Qualified Contractors, and the IESP. Regional General Contractors may use their preferred scheduling software to develop IESP schedules. IESP staff will work with the Regional General Contractor on a project-by-project basis to obtain and keep project schedules current. Regional General Contractors should be prepared to provide updated project schedules every 30 days.

For multifamily projects, the Regional General Contractor is required to attend a pre-construction meeting prior to the issuance of the Notice to Proceed. Any Qualified Contractors performing installations as part of the project shall attend the pre-construction meeting. An additional meeting may be required in the field between the IESP and the Regional General Contractor, which may be on a separate day.

The Regional General Contractor shall submit the following at, or prior to, the pre-construction meeting:

- Construction schedule
- Specify a project superintendent and other key personnel
- List of Qualified Contractors performing work
- Three (3) emergency 24-hour contacts
- Schedule a project walk through with Regional General Contractors Superintendent and the IESP, or designated representative, and the Property Owner

## **6.2 Project Submission Requirement**

The Regional General Contractor and Qualified Contractor shall submit documentation as required and in accordance with the policies and procedures described herein and in future program announcements. The Regional General Contractor and Qualified Contractor shall only submit work under the business/organization name that is on file with the IESP. The Regional General Contractor will act as the Project Manager, reviewing the Qualified Contractors' work. The Regional General Contractor will provide IESP project documentation to the Program.

## **6.3 Use of Project Forms**

The IESP has developed a series of forms that Regional General Contractors and Qualified Contractors shall use to submit the documentation outlined in the policies and procedures described in this manual and as required in future program announcements. Forms to be used by Regional General Contractors and Qualified Contractors include, but are not limited to:

- Work Order Form
- Change Order Request Form
- Product Installation Forms
- Installation Documentation Forms
- Installation Complete Form
- Unit Completion Forms
- Work Order Completion Form
- Payment Processing Forms
- Reimbursement Request Form
- Certificate of Completion Form

## **6.4 Work Order**

The Regional General Contractor will execute a contract with the Customer for an established Scope of Work or Work Order. The Regional General Contractor will offer all or a portion of the Scope of Work or Work Order for the project to a Qualified Contractor to complete based on the Qualified Contractor's qualifications and availability. Once a Qualified Contractor accepts a Work Order assignment, the Regional General Contractor will supervise, track, and approve all stages of the installation from pre-installation to the verification of completeness, using an IESP provided software application. The Qualified Contractor will also use the IESP-provided software in the field to document completed work and to capture required data.

The Work Order is generated based on the Scope of Work developed after the energy audit is conducted by the Program. The Qualified Contractor must complete their assignment in accordance with the specifications provided to fulfill the Work Order. Failure to follow the identified Scope of Work included in the Work Order may result in disciplinary action and costs incurred by the Qualified Contractor for ineligible work.

When the Scope of Work has been defined by the IESP, the Regional General Contractor will be asked to review and accept or refine the scope of work, if needed. The Regional General Contractor may consult Qualified Contractors in their region on constructability, timelines, and/or pricing. The IESP maintains full discretion to determine the final Scope of Work and Work Order for the project.

The Regional General Contractor will be provided with all necessary forms and materials related to the Scope of Work. Failure to use IESP forms may result in disciplinary action.

## **6.5 Change Orders**

If a project requires a change order or modification, the Qualified Contractor must obtain approval prior to initiating any work. The Qualified Contractor shall immediately contact the Regional General Contractor when a change order or modification is needed to discuss if the change is necessary. If the Regional General Contractor agrees with the Qualified Contractor that a change order or modification is needed, an IESP Change Order Request Form must be completed and submitted to program staff for review and consideration.

Failure to follow change orders processes will result in disciplinary action and costs incurred by the Regional General Contractor or the Qualified Contractor for work performed that was not agreed to by the Program.

## **6.6 Pricing & Independent Cost Estimate (ICE)**

Costs for the project as shown in the energy audit and Work Order will be determined by the IESP based upon pricing provided by the Regional General Contractor. To determine if costs are reasonable, the IESP will either conduct an independent cost estimate (ICE) to validate the costs for the project or compare costs to standard pricing for the item in the project's area.

For single-family and small multifamily projects, the IESP plans to utilize standardized pricing for the eligible measures listed in the IESP eligible measures list.

For Larger multifamily projects (typically greater than 4 units and as defined by the IESP), the IESP will obtain a quote from the Regional General Contractor for each project's scope of work. The scope of work will be developed for the project in its entirety and will be comprised of two separate and distinct scopes of work: (1) individual residential dwelling units and (2) Common Areas. Residential dwelling units are defined as a living area within a multifamily property, i.e., an apartment. Common Areas are defined as areas that all residents utilize and/or access, and areas where work will benefit occupants of individual dwelling units. Common Areas include, but are not limited to, hallways, stairways, laundry rooms, gyms, and meeting areas. Eligible upgrades in these areas can include shared or centralized heating, cooling, ventilation and energy systems that benefit the occupants. Benefits to occupants are considered to be any of the following: energy savings, cost savings, pollution reduction, or other health and safety benefits. The IESP will validate the project costs using an independent cost estimate (ICE).

Regional General Contractors will be responsible for coordinating quotes and invoices from Qualified Contractors for the assigned work.

If a change order is needed, or pricing is not set, the Qualified Contractor must inform the Regional General Contractor prior to beginning any work. Qualified Contractors who perform work without informing the Regional General Contractor about the cost for an unpriced item are subject to disciplinary action.

Contractors are expected to provide fair and reasonable pricing for IESP Eligible Measures and for the activities outlined in the Scope of Work.

At any point in time, the IESP reserves the right to request additional information from Regional General Contractors or Qualified Contractors on the pricing of measures to determine cost reasonableness and to obtain comparative price quotes. Regional General Contractors or Qualified Contractors found to be inflating unit prices above market values may be subject to disciplinary action.

## **6.7 Eligible Measures**

Eligible measures are products or materials that qualify for rebates based on the federal Home Energy Rebate Program Requirements.

To the greatest extent practicable, all eligible equipment and products should be American-made.

Contractors must ensure compliance with Health and Safety regulatory standards pertaining to the measures being installed. Proper testing should be conducted before, during, and after installation.

Documentation of testing outcomes should be completed for Ambient Carbon Monoxide, Spillage, Worst Case Depressurization, Draft Pressure, Gas Leak, Ventilation, Mold & Moisture, Radon, Asbestos, Lead, Electrical safety.

A comprehensive list of IESP Eligible Measures can be found on the program website.

[https://indianaenergysaver.com/wp-content/uploads/assets/iesp\\_eligible\\_measure\\_list.pdf](https://indianaenergysaver.com/wp-content/uploads/assets/iesp_eligible_measure_list.pdf)

The IESP Measure Specifications associated with the IESP Eligible Measures List can be found on the program

website.

[https://indianaenergysaver.com/wp-content/uploads/assets/iesp\\_measure\\_specifications.pdf](https://indianaenergysaver.com/wp-content/uploads/assets/iesp_measure_specifications.pdf)

Additional energy-saving measures may be specified, where applicable, on a project-by-project basis, and upon detailed review and approval by the IESP. When additional measures are specified that are not defined by the IESP Eligible Measures specifications, unique specifications will be developed for use on a project-by-project basis. If applicable to the full program, unique specifications for unlisted measures will be developed and added to the IESP Eligible Measures List and IESP Measure Specifications in subsequent revisions.

Qualified Contractors and Regional General Contractors may provide recommendations for the IESP's review and consideration at any time by submitting a notice to [Contractor@indianaenergysaver.com](mailto:Contractor@indianaenergysaver.com). Please include as much detail as possible in the notice to help formulate a timely and thorough review for consideration.

## 7 Post Project Verification & Quality Assurance

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Post Project Verification and Quality Assurance are important to ensure the quality installation of eligible products and materials under the IESP. Components of the IESP Site inspection activities are necessary to verify Qualified Contractors' and Regional General Contractors' compliance with Program requirements including, without limitation, the eligibility, installation and operability of products, measures, safety, quality of work, accuracy of documentation and invoices, and customer satisfaction.

The goals of the Post Project Verification and Quality Assurance (QA) processes are:

1. To verify completed projects meet all Program requirements while maintaining healthy and safe living conditions for the occupants;
2. To identify Qualified Contractors who regularly provide effective, high-quality services to Customers; and
3. To enable early detection of performance and compliance issues, at both the individual contractor and program-wide levels, to support prompt resolution, to identify needs for development or delivery of training, and to ensure market confidence.

Qualified Contractors who cannot regularly meet the standards of the Program are subject to probation, suspension, and termination from the Program.

The Post Project Verification process for the Program includes an administrative desk review and QA field inspections.

**Desk Review:** Includes verification that the installed project measures meet specified criteria as outlined in the Work Order. This includes, but is not limited to, a review of pre- and post-installation photos taken by the Qualified Contractor; verifying the completion and submittal of the IESP Project Complete Checklist; and verifying Customer information, equipment pricing and specifications, energy savings, etc.

**Quality Control Inspection:** A BPI-2400, or when required, ASHRAE Level 2-certified quality control inspector will verify that the field conditions match the Regional General Contractor's written contract, including the energy modeling conditions, and confirm installation combustion safety testing results. This verification process includes confirming the identified measures listed in the Scope of Work that were installed by the Qualified Contractor and that no health and safety issues are present in the home.

The Program QA and post installation project verification inspection process and responsibilities are outlined in the inspection standard operating procedures (SOP). Any updates to this procedure will be issued to the QA contact, the Regional General Contractors, and all Qualified Contractors, as necessary, to ensure compliance with changing standards. Regional General Contractors and Qualified Contractors shall be responsible for reviewing all revisions to the QA policy documents, BPI standards, and any other industry technical standards. If changes to the post verification inspection process are made, IESP staff may require Regional General Contractors and Qualified Contractors to take part in IESP training that highlights and reviews the changes.

Qualified Contractors and Regional General Contractors shall not inhibit or discourage Customers from

participating in the verification QA process and shall make a good-faith effort to facilitate this process. The Program's goal is to conduct QA field inspections within 90 days from the signing of the Work Order Completion Form. One year after completion, Projects may also be selected to participate in the Programs Evaluation, Measurement and Verification process (EM&V) assess the performance of energy efficiency measures that were installed.

If requested, the Qualified Contractor responsible for the installation shall cooperate and participate in required site inspections. Qualified Contractors and Regional General Contractors shall provide project-related information to IESP Inspection staff upon request. This information may include, but is not limited to, contracts, pictures, and installed product information needed to support verification through approved modeling software.

**Remediation:** Regional General Contractors are responsible for resolving all inspection, customer service, workmanship and warranty issues in a timely manner. Any deficiencies related to workmanship and/or quality of installed products, equipment, and materials shall be resolved by the Regional General Contractor, who will have the assigned Qualified Contractor remediate or correct the deficiencies within the timeframe provided by the Program. The Regional General Contractor shall notify the IESP of all identified deficiencies or issues and submit a written report within forty-eight (48) hours of an attempted resolution.

## **8 Contractor Payments and Reimbursement**

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The IESP finance team is responsible for overseeing payments and reimbursements for the Program. This includes ensuring invoices and supporting documentation provided by Qualified Contractors and Regional General Contractors comply with the IESP and federal requirements. Regional General Contractors and Qualified Contractors must use the forms, invoices and processes provided by the IESP to request reimbursement.

Regional General Contractors will be reimbursed by the IESP finance team for completed projects. Qualified Contractors will be reimbursed by their Regional General Contractor. Inaccurate or incomplete forms will be returned to the Regional General Contractor or Qualified Contractor for correction before payment is made.

### **8.1 Project Submission Requirement**

The Regional General Contractor and Qualified Contractor shall submit documentation as required and in accordance with the policies and procedures described in this section of the manual and in future Program Announcements.

Invoices submitted by Regional General Contractors for reimbursement may only list the firm's name on file with IESP. The Regional General Contractor shall only submit an invoice for reimbursement to the IESP after issuing payment to the Qualified Contractor for the completed work. Reimbursement requests may, at the direction of the IESP finance team, be submitted individually, per property, or combined into batches.

Qualified Contractors will submit reimbursement requests to Regional General Contractors for completed work using IESP-supplied forms. Qualified Contractors must submit reimbursement requests for each Work Order and cannot roll-up or batch reimbursement requests.

### **8.2 Initial Payment Processing Payee Set-Up Requirements**

Following the application process, the selected Regional General Contractors will be required to provide the IESP finance team with information to register them in the financial payment system.

#### **Regional General Contractor Set-Up Requirements:**

The IESP finance team requires the following documentation from the Regional General Contractors prior to submitting invoices for payment:

##### **1. Completed Payee Information Form**

The Regional General Contractor will be provided with a Payee Information Form following the Regional General Contractor Application process. The selected Regional General Contractors will be reimbursed by ACH. Under limited circumstances, reimbursement may be made by check.

- i. For ACH payments, the Payee will receive payments directly deposited into the bank account as provided in the Payee Information Form.



- ii. If it is determined that a Check payment method must be utilized, a physical check will be mailed to the mailing address provided on the Payee Information Form.

## 2. Contractor's W-9 Form

To ensure the payee information is correct, the Regional General Contractor will be required to submit their current IRS W-9 form in conjunction with the Payee Information Form for the first reimbursement request. The W-9 form must match the payee's tax information as filed with the IRS. This information will be utilized to match the payee's information with the IRS prior to making payments.

### **Qualified Contractor Set-Up Requirements:**

Regional General Contractors are responsible for collecting payment information from Qualified Contractors. The Regional General Contractor will coordinate with Qualified Contractors to collect supporting documentation needed to process payments. The assigned identification number for each Qualified Contractor must be recorded on all reimbursement requests.

To ensure payee information is correct, Qualified Contractors will be required to submit their current IRS W-9 form to the Regional General Contractor for the first reimbursement request. The W-9 form must match the Qualified Contractor's tax information as filed with the IRS. This information will be utilized by the Regional General Contractor to match the payee's information with the IRS prior to making payments.

## **8.3 Project or Work Completion**

Reimbursements from the Program will only be provided for the full completion of the Work Order, and as determined by IESP staff.

For single-family properties and single units in multifamily buildings, a project will not be considered complete until all measures listed on the Work Order form are complete, with proper documentation.

For multifamily properties with 2 or more residential units, the IESP will coordinate with the Regional General Contractor and Qualified Contractor(s) in advance to determine the reimbursement schedule in accordance with federal requirements.

For multifamily property projects eligible for HEAR (50122) funding, payments can be made when the HEAR-eligible work in the unit is completed. For low-income multifamily property projects eligible for HOMES (50121) funding, partial payments can be made under the following circumstances.

For Low-income multifamily projects eligible for HOMES – 50121 funding:

- Partial payments can be requested by the Regional General Contractor on a per-unit basis for individual measures installed within individual units. Partial payments can only be requested once all measures, both HOMES and HEAR funded, listed in the unit's scope of work are installed, the Unit Installation Complete Form has been signed off on by the Property Owner and the Regional General Contractor, and upon the IESP's review and approval of all project specific documentation that has been submitted into the IESP system of record.

- Payment requests for any common area measures may only be sent to the IESP once all measures as shown on the Scope of work for the project in its entirety, including all individual dwelling units and common areas, have been installed, have passed the IESP post-installation verification and quality assurance inspection requirements, the Work Order Completion Form has been signed off on by the IESP Staff and/or the Property Owner, and upon the IESP's review and approval of all project specific documentation that has been submitted into the IESP system of record.
- The IESP finance team will maintain a tracker on a per-unit basis to ensure total payments do not exceed the allowable capped amount plus any applicable cost share.

#### **Project Completion for Qualified Contractors:**

Qualified Contractors cannot seek reimbursement from the Regional General Contractor for completed work until the Customer signs the Installation Complete Form, attesting to the installation of the measures listed in the Work Order. As part of the reimbursement process, the Regional General Contractor will verify receipt of the supporting documentation for the installed measures of the Work Order before approving payment.

#### **Project Completion for Regional General Contractors:**

Regional General Contractors cannot seek final reimbursement for projects that are completed and funded with HOMES funds until the project passes the post-installation verification and quality assurance inspection performed by IESP staff and the Work Order Completion Form is signed off by the IESP Staff and/or Customer.

### **8.4 Payment Processing Project Completion**

The Regional General Contractor and IESP finance team will only review invoices and process payments for completed projects, as defined in the section above.

Reimbursement requests submitted by Qualified Contractors to the Regional General Contractor must include a signed IESP Installation Complete form, attesting to the completion of the portion of the Work Order assigned to the Qualified Contractor. Since payments to Qualified Contractors will be made by the Regional General Contractor, the Regional General Contractor will coordinate with the Qualified Contractors to obtain the necessary forms and materials. Regional General Contractors and Qualified Contractors will be given training and instruction materials by the IESP to assist them in completing payment reimbursement forms. Financial reimbursement documents may be requested for state and federal reporting and auditing purposes.

It is expressly understood that the IESP will not initiate the processing of any project payment to a Regional General Contractor until all required project documentation has been uploaded to the system of record and has been verified by IESP staff. IESP staff will ensure that program forms and materials are made available and will coordinate with Regional General Contractors to ensure they are aware of the required documentation for the project.

Reimbursement requests submitted by Regional General Contractors can include work completed by multiple Qualified Contractors from multiple projects. Payments issued to Regional General Contractors will be separated based on funding source and batched based on the approved reimbursement request.

Regional General Contractors must use IESP forms and materials when submitting documentation and reimbursement requests. Regional General Contractors will be given training and instruction materials to assist with completing forms as required by IESP staff.

## **8.5 Payment Terms**

The IESP is a federally funded program. All payments will be issued as reimbursement for completed work. Qualified Contractors will be reimbursed for work by the Regional General Contractor, using its own financial resources. Regional General Contractors will receive reimbursement from the IESP for the financial payments made by the Regional General Contractor to the Qualified Contractor(s). The Regional General Contractor will be required to provide certification that payments have been made to Qualified Contractors as part of their Payment Request Form submission.

### Payment Terms for Regional General Contractors:

Funds paid to Regional General Contractors are provided by the IESP. The IESP finance team has established processes to request funding from OED upon completion and verification of a project. The IESP finance team cannot provide project reimbursement payments to a Regional General Contractor until funding is received from OED. While payment timeframes can vary, the IESP aims to make payments to Regional General Contractors within 30 days after the IESP finance team approves a Payment Request Form, with a goal of making payments within 15 days. Once funding is received from OED, the IESP finance team will initiate payment to the Regional General Contractor within 3 business days.

If a project has a required cost share (i.e. Program funding is unable to cover all project costs), the Customer is required to provide funds to the IESP finance team when the Customer signs the Regional General Contractor - Property Owner Agreement. The cost share amount must be obtained from the Customer prior to the Regional General Contractor assigning the work order to a Qualified Contractor. Because there may be two sources of funding (program and cost share funds), the Regional General Contractor may receive two separate payments for a single project. The IESP finance team will remit payment for the cost share amount after conducting its own review and confirming with IESP staff that work is complete and all documentation is in the system of record. The IESP will then provide to the Regional General Contractor the cost share amount provided by the Customer prior to requesting federal program funds for the remainder of the Work Order.

### Payment Terms for Qualified Contractors:

Payments to Qualified Contractors will be provided by the Regional General Contractor, who will make payments using its own financial resources. Regional General Contractors will provide payment to Qualified Contractors using financial information provided by the Qualified Contractor to the Regional General Contractor. After receiving an invoice and supporting documentation from the Qualified Contractor, the Regional General Contractor will review the materials submitted. If the documentation is sufficient and meets the IESP requirements, the Regional General Contractor is required to issue

payment to the Qualified Contractor no later than 14 days after receiving an invoice.

Payments made to the Qualified Contractors can be combined for all completed, reviewed, and approved scope of work, undertaken by the Qualified Contractor, based on funding source. Payments may be combined for different work locations, with documentation showing the payment amount per work location.

## **8.6 QA/QC of Invoices & Supporting Documentation**

Regional General Contractors and Qualified Contractors must use invoice forms and supporting documentation materials provided by the IESP. The Regional General Contractor will review invoice(s) and supporting documentation from Qualified Contractors in its region, and the IESP staff will review the Regional General Contractors invoice(s) and supporting documentation.

Once a project is complete, the Qualified Contractor must submit an invoice to the Regional General Contractor using the required template(s) provided by the IESP. The Regional General Contractor will review the invoice to determine if it complies with IESP financial requirements and processes. The invoice must be complete and accurately reflect the pre-approved and completed Scope of Work as shown on the Work Order. The Regional General Contractor will review the invoice, along with supporting documentation and data uploaded to the system of record, prior to reimbursing the Qualified Contractor.

After a Regional General Contractor has reviewed the invoice and supporting documentation from the Qualified Contractor, determined it is complete, and has issued payment to the Qualified Contractor, the Regional General Contractor will:

- 1) Submit a consolidated invoice using the forms and materials provided by the IESP. Invoices must be complete and accurately reflect the pre-approved Scope of Work as completed by the Qualified Contractor. The Regional General Contractor must also provide IESP staff with supporting documentation for each project. The IESP finance team will review the invoice, along with supporting documentation and data uploaded to the system of record prior to initiating the reimbursement payment process.
- 2) The Regional General Contractor is required to upload the invoice and all supporting documentation for each completed project to the Program's system of record.

### **Documentation to Support Indiana's Division of Supplier Diversity:**

The IESP provides opportunities for minority, women, and veteran business enterprises certified by the Indiana Department of Administration's Division of Supplier Diversity to participate in the program. To support the Governor's Commission on Supplier Diversity participation goals, activities and payments made to Qualified Contractors with MBE, WBE, or IVOSB, certifications will be documented by Regional General Contractors for reporting and compliance. The IESP will provide the Regional General Contractor with a template to document the required information. The Regional General Contractor will be required to submit this template monthly for payments made to Qualified Contractors in their region that are MBE, WBE, and IVOSB certified businesses.

## **8.7 Federal Rebate and Incentive Payments**

The Regional General Contractor and Qualified Contractor acknowledge that the primary source of funding for work completed under this program comes from federal sources. The federal funds come with restrictions on the maximum amount the IESP can reimburse a contractor. These amounts are incorporated into the Scope of Work and Work Order for the project.

The IESP can provide a \$200 incentive payment to Regional General Contractors for properties within a federally designated Disadvantaged Community (DAC) if the project includes HOMES funding. It is not the responsibility of the Regional General Contractor to determine if incentive payments are permitted under a project. The IESP will inform the Regional General Contractor as part of the Work Order if the property is in an area eligible to receive the incentive payment. When applicable, the Regional General Contractor will receive the incentive.

The payment and incentive amount will be shown in the invoice the Regional General Contractor submits for reimbursement.

## **8.8 Customer Contribution – Cost Share paid to Contractor**

If the final scope of work exceeds the maximum amount a Customer is eligible to receive from federal funding, the Customer would be required to provide a cost share to make up the difference that exceeds the federal rebate amount. The Customer will be required to provide the cost share amount directly to the IESP before a Notice to Proceed for construction activities is issued. In the event a Customer is unable or unwilling to provide a cost share, the application will be deemed ineligible and denied. If a cost share is identified in the initial scope of work, the Owner may request changes to the scope of work to decrease the total project costs; however, changing the scope of work does not guarantee a Cost Share can be eliminated without impacting program eligibility. When possible, IESP will work with the Owner to minimize the cost share amount while maintaining eligibility.

When the project's Work Order Completion Form is signed and final invoice is submitted by the Regional General Contractor, the cost share funds will be paid to the Regional General Contractor prior to IESP finance team initiating a payment request to OED for Program funds.

## **8.9 Repayment or Recapture of Program Incentives**

The Regional General Contractor and Qualified Contractor acknowledge that if the IESP determines that a RGC or QCon is found to have violated the Program Terms and Conditions, any payment(s) made to either type of contractor, including any Program incentive payments, shall be repaid to the Program or recaptured. Failure by the contractor to repay funds owed may result in referral to the state Attorney General's Office.

When funds paid to Qualified Contractors must be recaptured, Regional General Contractors shall recapture funds provided to the Qualified Contractor. If the RGC has already been reimbursed by the Program, then the IESP will recapture funds provided to the Regional General Contractor for the work that the Qualified Contractor performed.

Upon notice, the Qualified Contractor shall provide the Regional General Contractor with a direct payment within 30 days for the identified outstanding value of any project payments or incentives that do not comply with the Contractor Terms and Conditions or Program policies and procedures identified in this manual, contract agreements or Program announcements.

Regional General Contractors shall provide repayment to the IESP within 30 days after the receipt of the repayment notice for any project payments or incentives that do not comply with Contractor Terms and Conditions or Program policies, or procedures identified in this manual, contract agreements or Program announcements.

## **8.10 Stop Work Order**

The IESP may, at any time, issue written notice requiring Regional General Contractors and Qualified Contractors to stop all, or any part of, the Work identified in the Agreement between the Customer and Regional General Contractor, or in any agreements between the Regional Contractor and Qualified Contractor. A Stop Work Order may be issued for a period of up to ninety (90) days or for any further period to which the parties agree. Upon receipt of a Stop Work Order, the Regional General Contractor and Qualified Contractor must comply with the agreement and take all reasonable steps to minimize incurring further costs associated with the Work Order during the period of the Stop Work Order. Within ninety (90) days, or the agreed upon period, the IESP shall either issue a written cancellation of the Stop Work Order or terminate the Work Order.

If a Stop Work Order issued under this section is cancelled, or if the period of the Stop Work Order or any extension thereof expires, the Qualified Contractor shall resume Work once notice is provided by the Regional General Contractor. Prior to resuming work, the Agreement between the Customer and the Regional General Contractor shall be modified in writing accordingly, if:

1. The Stop Work Order results in an increase in the time required for, or in the Qualified Contractor's cost properly allocable to, the performance of any part of the Agreement between the Customer and Regional General Contractor, and
2. The Qualified Contractor asserts a claim for such adjustments within 30 days after the end of the period of Work stoppage; provided the IESP decides the facts justify such action, the IESP may receive and act upon any such claim asserted at any time prior to final payment being provided to the Regional General Contractor or Qualified Contractor under this Agreement.

If a Stop Work Order is not cancelled and the Work covered by such Order is terminated, the reasonable costs resulting from the Stop Work Order shall be based on the Scope of Work that was completed within program guidelines.

Notwithstanding the provisions of this Section, the maximum amount payable by the IESP to the Regional General Contractor, or by the Regional General Contractor to the Qualified Contractor, shall not be increased or deemed to be increased except by specific written amendment hereto.

## 9 Contractor Status Classifications

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The Qualified Contractor shall be classified into one of three participation statuses: provisional, active, or inactive. Each classification, as shown below, is subject to limitations or requirements. Regional General Contractors have only one participation status, active, due to the application process that Regional General Contractors undertake. The IESP reserves the right to modify the participation status designations' definitions, limitations, and requirements at any time. The IESP retains sole discretion for determining the Qualified Contractor's progression into and through each status designation. In all cases, IESP's written decision is final.

### 9.1 Contractor Status Classification

IESP Contractors shall be classified into one of three participation status designations:

- **Provisional.** The first five (5) projects completed by the Qualified Contractor will be reviewed for QA/QC purposes. Until the Qualified Contractor completes five (5) projects that meet the QA/QC standards, the Qualified Contractor maintains a provisional designation. If after one year, or if the 5<sup>th</sup> inspected project has failed the QA/QC process, whichever comes first, the Program will review the Provisional Qualified Contractor's work to determine future Program participation.

The provisional status does not apply to Regional General Contractors. Regional General Contractors are selected through a competitive application process to participate in the program and maintain an active status from notification of selection.

- **Active.** A Qualified Contractor who is not operating under any of the other status designations described herein, and who abides by the Terms and Conditions, Contractor Manual, and Contractor Code of Conduct, shall have the status designation of Active IESP Qualified Contractor. Active Qualified Contractors may have different QA/QC inspection rates compared to other sub-status designations. An IESP Qualified Contractor's approval status will need to be renewed each year on the anniversary of receipt of the Approval Notice for an additional one-year period unless the Qualified Contractor indicates they no longer would like to participate or is otherwise suspended or terminated from the Program.

Regional General Contractors are selected through the competitive application process to participate in the program and maintain an active status from notification of selection. A Regional General Contractor's status will be reviewed and renewed annually on the anniversary of receipt of the Approval Notice for an additional one-year period unless the Regional General Contractor indicates they no longer would like to participate or is otherwise suspended or terminated from the Program.

- **Inactive.** Qualified Contractors who voluntarily decide to end participation in the Program or Contractors terminated by the Program for disciplinary reasons will be designated



inactive. An inactive contractor relinquishes all privileges associated with program participation, including access to contractor incentives. Inactive contractors must immediately remove any reference to the IESP from their materials.

The IESP reserves the right to terminate or remove a Qualified Contractor or Regional General Contractor from the Program at any time, and the IESP's written decision surrounding a Qualified Contractor's or a Regional General Contractor's status is final.

## **9.2 Disciplinary Measures**

Qualified Contractors and Regional General Contractors can face disciplinary action for several reasons, including failure to comply with the Terms and Conditions, Contractor Codes of Conduct and Contractor Participation Manual. Qualified Contractors and Regional General Contractors can also face disciplinary measures by not following installation guidelines or IESP guidance; taking part in fraudulent, unethical, or inappropriate behavior; and providing misleading or inaccurate documentation to the IESP or Customers. Qualified Contractors or Regional General Contractors facing disciplinary action will be notified in writing by the IESP. The conditions of a disciplinary measure may take place for a set time frame or until the conditions of the notice have been met.

IESP staff reserves the right to impose any of the following disciplinary measures at any time. In addition, the IESP reserves the right to withhold approvals and payments on all submissions while investigating alleged issues. In all cases involving a Qualified Contractor's or Regional General Contractor's disciplinary status or denial of program incentives, the IESP's written decision is final.

### **1. Probation**

Probationary Status is reserved for Qualified Contractors who have failed to meet the program requirements. Regional General Contractors do not have a probationary status, Regional General Contractors who fail to meet program requirements will face disciplinary action that could result in removal of RGC status and being terminated from the program. Qualified Contractors who receive a notice of probation will be provided with a specific list of results and a time frame in which the results must be achieved. IESP staff will work with the Qualified Contractor to remedy the identified issue as is feasible.

#### **i. Minimum Period of Performance**

A Probation period will last no less than 90 days with terms outlined in the disciplinary action letter to the Program.

#### **ii. Quality Assurance/Quality Control (QA/QC)**

Under the Probation Status, the Qualified Contractor may be subject to increased QA/QC inspection rates that, if applicable, will be defined in the terms of their disciplinary letter from the Program.

A Qualified Contractor may be placed on Probation for any of the reasons shown below. Regional General Contractors will also be subject to face disciplinary actions for the reasons shown below:

#### **i. Violation of Program Policies and Procedures or Ethical Standards**



The Qualified Contractor or Regional General Contractor has failed to adhere to the respective Terms and Conditions, Code of Code, or Contractor Participation Manual. This includes, but is not limited to, poor or unclear program documentation; misrepresentation of program policies; poor quality of work; repeated submissions of inaccurate, incomplete, illegible or otherwise faulty documentation; performing work without a valid local license; failure to submit overpayment reimbursements in a timely manner; and not obtaining proper building permits before the project start date.

ii. **Failure to meet Quality Requirements**

The Qualified Contractor or Regional General Contractor fails to deliver completed projects that routinely pass the QA standard required for Active' status.

iii. **Health and Safety and other Critical Violations**

Failure to take effective corrective action on a critical deficiency.

iv. **Unprofessionalism**

Exhibiting repeated unprofessionalism in interactions with IESP and implementation staff, or Customers.

v. **Unresponsive to Open-Fail Report Resolution**

Qualified Contractors who have three (3) or more Open- Fail reports that have not been responded to or remain unresolved for more than 30 days.

vi. **Program Customer Complaints**

IESP staff have received one or more valid Customer complaints per quarter for either the Qualified Contractor or Regional General Contractor. The Qualified Contractor or Regional General Contractor is unresponsive or slow in resolving Customer issues or exhibits poor quality workmanship or unprofessional manner on one or more projects.

vii. **Qualified Contractor is Not Licensed/Not Obtaining Proper Permits**

The Qualified Contractor performed work in a municipality they are not licensed to work in. The Qualified Contractor performs work without obtaining the proper permits as required by the governing municipality.

viii. **Failure to Follow Program Procedure**

The Qualified Contractor or Regional General Contractor routinely submits incorrect or incomplete documentation, or the Qualified Contractor or Regional General Contractor requires an excessive amount of administrative or technical support.

While on probation, the Qualified Contractor must continue to complete assigned projects and meet minimum production requirements. In the event a Qualified Contractor is placed on probation and fails to meet the terms of the probation within six months of the issuance date of the letter, the Program, at its discretion, may elect to suspend or terminate the Qualified Contractor for failure to meet the terms

of the probation.

## **2. Suspension**

A suspended Qualified Contractor shall be removed from the IESP website and shall not represent themselves as an IESP Qualified Contractor. A suspended Qualified Contractor forfeits their eligibility for contractor incentives. Regional General Contractors may not be suspended. Rather, if the Regional General Contractor's actions are found by the IESP to violate program requirements, the Regional General Contractor will be terminated from the program.

The IESP has sole discretion in determining whether to suspend a Qualified Contractor. With IESP permission, a suspended Qualified Contractor may be allowed to close out assigned projects already in progress. These projects may be subject to increased QA/QC inspection rates that, if applicable, will be defined in the terms of their disciplinary letter from the Program. The IESP has sole discretion in determining the length of the suspension period and if termination from the program will result.

Grounds for a Qualified Contractor to face suspension from the program shall include, but are not limited to, the following:

i. **Unresponsive-Probation**

The Qualified Contractor is on probation and has either been unresponsive to, or failed to adequately fulfill, the terms of their probation.

ii. **Unresponsive Actions**

The Qualified Contractor is unresponsive to outstanding Customer concerns, has not initiated work on a project within IESP-defined time periods, or has not addressed issues discovered during post Installation Inspections.

iii. **Violation of Program Policies, Poor Workmanship and Ethical Standards**

The Qualified Contractor has failed to comply with the Terms and Conditions, Contractor Code of Conduct, the Contractor Manual, and any subsequent changes made to these documents, thereby putting the IESP, OED or IESP Customers at risk. This includes but is not limited to poor quality of work; repeated submissions of inaccurate, incomplete, illegible or otherwise faulty documentation; billing for uninstalled measures; performing work in municipalities they are not licensed to work in; and not obtaining proper building permits.

iv. **Contractor Staffing**

The Qualified Contractor has staffing or certification status changes that fail to meet minimum certification requirements and fails to report this to the IESP.

## **10 Program Changes & Termination**

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Qualified Contractors and Regional General Contractors acknowledge participation in the Contractor network is entirely voluntary. Qualified Contractors and Regional General Contractors agree to abide by the specific Terms and Conditions once approved to participate in the IESP Qualified Contractor network. The IESP may need to make program and policy changes over the life of the program. There is also the potential a Qualified Contractor or Regional General Contractor may need to be terminated from the program. The IESP may terminate a Qualified Contractor or Regional General Contractor from the network for multiple reasons including, but not limited to, the reasons for termination outlined in the chapter. In all cases involving the termination of a Qualified Contractor or Regional General Contractor from the network, the IESP's written decision is final.

### **10.1 Program Changes**

The IESP reserves the right to make changes to the program which may impact Qualified Contractors, Regional General Contractors, and this manual. Changes made will supersede previous language included in the relevant documents that the Qualified Contractor and Regional General Contractor previously agreed to and signed. Qualified Contractors and Regional General Contractors will be notified when changes are made, and all changes will be reflected in the updates to the relevant documents.

Notifications shall be communicated electronically via email. In addition to email notification, the IESP will provide a summary of the program or policy changes and direct Qualified Contractors and Regional General Contractors to the relevant section of the document. The IESP may, as a result of program changes, require Qualified Contractors or Regional General Contractors to take part in webinars or virtual meetings to review the changes.

IESP staff will post updates to impacted documents on the IESP website. It is the Qualified Contractor's and the Regional General Contractor's responsibility to ensure the IESP has a current email address on file to be notified of changes to impacted documents.

### **10.2 Termination Non-Compliance with Terms and Conditions**

Qualified Contractors and Regional General Contractors agree to abide by specific Terms and Conditions once approved to participate in either the Qualified Contractor network or to be a Regional General Contractor. The IESP may suspend or terminate a Qualified Contractor or Regional General Contractor from participation in the IESP for any reason, including not complying with and following the Terms and Conditions. If a Qualified Contractor or a Regional General Contractor is found in violation of the Terms and Conditions, IESP staff will notify the Qualified Contractor or Regional General Contractor to see if it is possible to remedy the situation. If it is not possible to remedy the situation, or if the situation is not addressed in a timely manner, the Qualified Contractor or the Regional General Contractor will be terminated from the program.

### **10.3 Termination – Misrepresentation**

The IESP may terminate and remove a Qualified Contractor or a Regional General Contractor from program participation for misrepresentation or fraudulent acts. This includes, but is not limited to, submitting false or fraudulent documentation, forging Customer information, falsifying existing onsite conditions and work complete status, and submission of false photo documentation.

#### **10.4 Termination – Failure to Maintain Program Standards**

The IESP may terminate and remove a Qualified Contractor or a Regional General Contractor from program participation for failing to maintain program standards. Throughout the program, IESP staff will assess if a Qualified Contractor or Regional General Contractor is meeting program standards. If a Qualified Contractor or Regional General Contractor is not meeting these standards, IESP staff will inform and work with the Qualified Contractor or the Regional General Contractor to address the standard that is not being met and provide the Qualified Contractor or Regional General Contractor with clear instructions on what actions are needed to meet standards. If the Qualified Contractor or Regional General Contractor cannot achieve these actions in the given timeframe or in the prescribed manner, the IESP may terminate the Qualified Contractor or Regional General Contractor from the network.

#### **10.5 Termination – Poor Performance**

The IESP may terminate and remove the Qualified Contractor or Regional General Contractor from program participation for poor performance. The IESP has processes in place to document performance. IESP staff will assess a Qualified Contractor's or a Regional General Contractor's performance throughout the program. If poor performance is found, IESP staff will inform and work with the Qualified Contractor or Regional General Contractor to address performance. IESP staff will inform Qualified Contractors or Regional General Contractors about what actions need to occur to remedy performance issues. If performance is not corrected in the prescribed manner, IESP may terminate the Qualified Contractor or Regional General Contractor from the network.

#### **10.6 Termination – Unresponsiveness**

IESP may terminate and remove the Qualified Contractor or Regional General Contractor from program participation for being unresponsive to IESP Customers or IESP staff. The IESP has processes in place to document unresponsive behavior. Contractors will be provided with clear timelines for communication and submitting documentation. If Qualified Contractors or Regional General Contractors continue to miss these timelines, IESP staff will work with the Qualified Contractor or Regional General Contractor to identify actions to remedy the situation. If the Qualified Contractor or Regional General Contractor continues to be unresponsive without any improvement, the IESP may terminate the Qualified Contractor or Regional General Contractor from the network.

#### **10.7 Termination Inappropriate or Unethical Behavior & Other Behavioral Issues**

IESP may terminate and remove a Qualified Contractor or Regional General Contractor from program participation for inappropriate or unethical, and other behavioral issues. The IESP will not tolerate

inappropriate or unethical behavior when interacting with OED, IESP staff or IESP Customers. If IESP staff learns Qualified Contractors or Regional General Contractors have engaged in inappropriate or unethical behavior or other behavior it finds to be offensive or egregious, it will inform the Qualified Contractor or Regional General Contractor about the situation and document the action. Depending on the severity of the action, IESP may work with the Qualified Contractor or Regional General Contractor to address the unacceptable action, or the IESP may terminate the Qualified Contractor from the network.