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INITIAL CONTRACT ROUTING NOTIFICATION OF RISK

This Notification of Risk has been included with the routing of a contract that has been completed for your Business Unit. Please note that the contract file will reflect this routing and that the routing will determine who receives future contract amendments and termination notices. You must notify the Contract Analyst assigned to this contract if any of these names change so that the contract documents that you have on file mirror the original contract in our files. Failure to do so may result in your copies of the contract not reflecting its current terms.

You must also be aware of the need to protect our contract documents. This need arises from a number of sources. The following are the most generally recognized sources, but do not constitute an exhaustive list:

- They are AEP business documents and should be protected as such.
- The AEP General Terms and Conditions, except for the Professional Services Terms and Conditions, include a mutual confidentiality section.
- The General Terms and Conditions for Consulting Services, for Equipment, for Labor and Services, and for Engineering, Procurement and Construction Work contain a non-disclosure article that states, "Except as required by law, regulation, or judicial or administrative order, neither party shall disclose the terms of the Contract without the consent of the other party."
- Contract Letters may include in their body or in an Agreed Exceptions attachment additional constraints regarding access to information in the Contract.
- The contract may include licenses that restrict access to the licensed materials.
- The incorporated documents may include proposals that contain protected proprietary information.

A violation of any of the above constraints can result in potentially damaged relationships with suppliers, financial costs, and/or civil and criminal proceedings. You should familiarize yourself with your contract so that you can mitigate any of the risks that may apply to your contract.

Please retain this notification with your copies of the contract and share it with those in your Business Unit that require regular access to your copies of the contract. If you need copies routed to additional individuals, please contact the individual who routed this to you.



Contract Routing Slip

Please route to the next person on the list after reviewing the documents (and signing, if required). Please return to originator when routing is complete.

Sense of Urgency (High/Medium/Low): High

Effective Date (Contract/Release/Amendment): 01/01/2016

ROUTING	Mail Drop	Purpose	Initials	Date Signed
Matt Curtis	Email	Review	MC	4/5/2016 4:55 PM ET
EJ Clayton	Email	Review	TRW	4/6/2016 10:22 AM ET
Ranie Wohnhas	Email	Signature		
Jennifer Downey	AEPHQ	Originator		

Date: 03/31/2016

Company: Kentucky Power Company

Contractor Name: Honeywell

Contract Number/Amendment: 027530170000X103

Release Number: 26

Coordinator / Contract Analyst: Jennifer Downey

Contract Value: -

Release Value: \$4,816,712

Type (Labor, Service, Material, Service): Service

Method of Procurement (Competitive Bid, Direct Source): Competitive Bid

Description of Service/Work: 2016-2018 Whole House Program

**WORK AUTHORIZATION
No. 027530170026X110**

This Work Authorization No. 027530170026X110 (“Work Authorization”) between **Kentucky Power Company (“KPCo”)** and **Honeywell Utility Solutions, a business division of Honeywell International, Inc. (“Honeywell”)**, is subject to and governed by the provisions of Contract No. 027530170000X103 (“Contract”).

A. Effective Date

This Work Authorization is effective January 1, 2016 (“Effective Date”).

B. Term

The term of this Work Authorization begins on the Effective Date and continues through December 31, 2018, unless terminated earlier in accordance with the terms of the Contract.

C. Scope of Services

Honeywell shall provide all supervision, labor, reports and specified materials necessary to implement the 2016 Whole House Program as more fully described in the Proposed Approach to Scope of Work dated January 12, 2016 (“SOW”) attached hereto and incorporated herein. The parties agree that any changes to the SOW shall be handled in accordance with the Change Control Plan attached hereto and incorporated herein.

D. Pricing

In consideration of the satisfactory performance of the Work, KPCo agrees to pay Honeywell in accordance with the budget set out in the SOW.

E. Invoices

Each invoice for Work performed under this Work Authorization shall reference Work Authorization Number 027530170026X110 and shall be e-mailed to Scott Bishop at sebishop@aep.com.

F. Notices

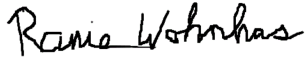
In accordance with Article 33 of the AEP General Terms and Conditions for Labor and Services Rev. 3 dated 6/14 in Exhibit A to the Contract, the representative for receipt of notice for Owner is:

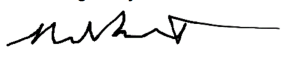
Scott Bishop
12333 Kevin Avenue
Ashland, Kentucky 41102
606.929.1694
sebishop@aep.com

Signatures follow immediately hereafter

Kentucky Power Company

**Honeywell Utility Solutions, a business division
of Honeywell International, Inc.**

DocuSigned by:


DocuSigned by:


B567756C5E6248F...
Name: Ranie Wohnhas

4EE360B694BD4A0...
Name: Stan Vandernoot

Title: Managing Director Regulatory and Finance

Title: Sr. Contracts Mgr.

4/6/2016 | 10:22 AM ET

date

4/8/2016 | 11:00 AM ET

date

Whole House Efficiency Program



HONEYWELL SMART GRID SOLUTIONS

Proposal to: AEP Kentucky Power
March 28, 2015

Submitted by: Honeywell Smart Grid Solutions
199 Rosewood Drive, Suite 300
Danvers, Massachusetts 01923

Contact: Brett Stein, (919) 594-4362

Cover Letter

March,28, 2016

Jennifer Downey
American Electric Power Service Corporation
700 Morrison Road, 4th Floor
Gahanna, Ohio 43230

Re: KPCo Whole House Efficiency Program

Dear Ms. Downey:

Honeywell Smart Grid Solutions (Honeywell) is pleased to submit our revised proposal of services to Kentucky Power Company (KPCo), a division of AEP, in which we are proposing the use of Honeywell staff to perform all program audits, and utilize subcontractors for major measures as necessary. Additionally, we will work in tandem with the KPCo Modified Energy Fitness Program to maximize efficiency.

Honeywell is excited to offer a solution that combines the benefits of our expertise as an experienced program implementer with the best practices and knowledge gained from implementing utility client residential energy audit services for over 35 years. As a long-time provider to KPCo, we understand its significance to the community. We are fully committed to continuing to deliver best-in-class solutions to KPCo and your customers. Our thriving implementation of the Kentucky Power MEF Program since 2003 exemplifies how we can achieve continued success with the KPCo Whole House Efficiency Program. Since the start of the KY Power MEF program, we have conducted over 13,700 installations and we have installed over 106,000 weatherization measures as of 7/31/2015.

We have the people, processes, and data management capabilities in place to ensure the energy efficiency achievements for the KPCo Whole House Efficiency Program. In fact, over 50 percent of our business around the world is tied to energy efficiency. No other company offers such a comprehensive portfolio of solutions for Energy Efficiency, Smart Grid, Demand Response, and Program Deployment.

As requested, the legal entity making the submission is Honeywell International Inc. The point of contact for Honeywell is:

Mr. Brett Stein, Account Manager
Telephone: (919) 594-4362
Email: Brett.Stein@Honeywell.com

Honeywell Smart Grid Solutions (SGS)
199 Rosewood Dr., Danvers MA 01923
Headquarters: Honeywell International Inc.
115 Tabor Road, Morris Plains NJ 07950

Included in this proposal is Honeywell's commitment to performance in the form of a monthly service level agreement that places three (3) percent of our service fees at risk – tied to our achievement of mutually established performance metrics. Thank you for taking the time to review our enclosed proposal. Our team looks forward to the opportunity to build our relationship further in delivering the KPCo Whole House Efficiency Program.

Honeywell appreciates your consideration and looks forward to working with KPCo a unit of American Electric Power on any such award.

Sincerely,



Brett Stein
Business Consultant
919-594-4362 Brett.Stein@Honeywell.com



Stan VanDernoot
Sr. Contracts Manager, Authorized Officer of
Honeywell
978 774-3007 Stan.Vandernoot@Honeywell.com

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Executive Summary

Honeywell Smart Grid Solutions (Honeywell) is pleased to submit our revised proposal for the KPCo Whole House Efficiency Program, which will build on and expand the current KPCo Modified Energy Fitness program to focus greater emphasis on driving the installation of major EE measures.

Understanding of the KPCo Key Objectives

Honeywell proposes to achieve the projected energy savings by promoting the benefits associated with eligible energy efficiency measures at an engaging audit visit and by offering incentives structured to cover a portion of the incremental cost of purchasing and installing the select measures.

Honeywell understands the KPCo primary program goals and objectives including the following:

- A consistently high quality customer experience for all participants;
- Increased customer motivation to install additional energy savings measures;
- High standards for data quality and reporting;
- Improved service response rates;
- Increased customer delivery and interim target management;
- Continuous growth in professionalism and knowledge base among the auditor team;
- Rigorous Quality Assurance/Quality Control (QA/QC) of energy analysis and of installed measures delivery.

The focus for energy savings in the KPCo Whole House Efficiency Program will be in the following three distinct areas:

- **Home Energy Audit**—provide an on-site whole home energy audit conducted by Honeywell staff with along with the direct installation of energy conservation measures free of charge to KPCo residential customers with electric central cooling and heating;
- **Weatherization Measures**—provide rebates to eligible customers, after an energy audit confirms cost effectiveness, who purchase and install air sealing, duct sealing and insulation performed by qualified subcontractors;
- **HVAC Equipment**—provide incentives for qualifying HVAC equipment installations by participating dealers for heat pump ductless mini splits, heat pumps, and smart programmable thermostats to be performed by qualified subcontractors.

Honeywell Program Approach

Honeywell is proposing an open market approach for the installation of approved major EE measures by approved local trade allies that will complement the Honeywell delivered in home audit as currently provided in the MEF program. Our approach:

- Employ a strategic marketing effort to engage and enlist high potential program participants;
- Provide a diagnostic audit conducted by Honeywell personnel at no charge to customers;
- Drives an efficient home assessment delivery including installation of low cost EE measures;
- Enhance customer care and engagement for a quality customer experience;
- Provide a site specific easy-to-understand and compelling analysis report;
- Drives participants to install major energy measures through incentives and education;
- Keeps costs lean by leveraging qualified open market trade allies for major installations;
- Leverage the open market provider network to help promote the program and drive installs;
- Offers an improved data quality control plan with enhanced field quality control;
- Capture, track, and report on all measures installed or rebated along with savings achieved.

- Leverage existing resources and support from a strong in-place local program team;
- Provides field support staff who are spread out across the KPCo service territory;
- Meet kWh goal while staying on budget through a detailed production and resource plan.

Benefits of Collaborating with Honeywell

Collaborating with Honeywell for the Program offers the following unique benefits:

- A team of skilled home energy auditors in place who bring a unique combination of technical, customer education, and promotional skills to the program;
- A state-of-the-art home energy audit software tool developed by PSD that offers a thorough energy analysis with a simple and user-friendly interface;
- An experienced and knowledgeable program team comprised of experts who possess a nuanced, first-hand understanding of program requirements and challenges;
- A strong working relationship with the KPCo management team;
- The avoidance of time-consuming transitional activities that would temporarily interrupt and reduce program productivity;
- A solid track record of delivering in the field with regard to safety, quality and customer satisfaction;
- Proven turnkey services including live customer support through our professional call center;
- A utility-grade safety program that includes extensive training, process safety assessments, program-specific safe work procedures, and tracking metrics that have produced an industry-leading record of performance in Kentucky;
- Access to a team of national subject matter experts with specialized knowledge and experience in energy efficiency programs, market trends, and industry best practices, to help guide our continuous improvement efforts

Our Commitment to KPCo

Our team at Honeywell is committed to KPCo and your program goals. We highly value the opportunity to continue to support KPCo and the Whole House Efficiency Program in the years ahead. Our enhanced approach, combined with our specialized team of dedicated professionals, enable KPCo to reach your program goals and objectives while exceeding customer expectations.

It is Honeywell's goal to deliver on our long-term relationship with KPCo, to provide you with the support and the tools required to deliver an exciting portfolio of solutions now and in the future. Honeywell believes that the significant talent and resources of our two organizations working together as one team fosters delivery of the industry's best practices and deployment of top technologies to achieve your long-term goals.

Proposed Approach to Scope of Work

As the current provider of the MEF program, we can clearly see how the Whole House Efficiency program can be an expansion of the investment KPCo has already made in the current MEF program. Honeywell is proposing expand our current service base to recruit and support a network of local open market trade allies to deliver the installation of major measures and drive additional customer interest in moving forward with major measures. Honeywell proposes to continue to deliver the diagnostic in-home audit and support the promotion of and processing of incentives for the installation of select major energy efficiency measures. This approach aligns perfectly with the existing MEF audit and direct installation program. Our proposed approach will allow customers to take advantage of the Kentucky Home Performance program loans and related services, leveraging outside funding to further increase measure uptake. Further, this approach offers customers a choice on installation service provider.

Our approach incorporates the following key elements that drive sustainable cost-effective energy savings:

- Honeywell starts by using state-of-the-art market segmentation and predictive analytics to cost-effectively identify and effectively communicate with the highest volume electric users and greatest opportunity customers;
- We will provide internal Honeywell field resources to conduct the in home energy audits and energy education, aligning the program delivery with the existing Modified Energy Fitness Program to leverage outside resources and funds;
- As part of the audit, our approach includes the installation of a set of low cost base-load measures according to a strict installation cost-effectiveness protocol ensuring high savings per measures;
- Our approach documents and tracks 100 percent of all program provided measures electronically capturing specific data elements for every measure on site into a central data system as well as a captured customer sign-off on all installations;
- Our approach incorporates very user friendly audit software that calculates and captures measure level savings values and produces a very consumer friendly report clearly outlining additional energy savings recommendations;
- Each audit includes an interactive customer-focused education component including a review of audit findings and specific recommendations, all measures installed, and any recommended behavioral actions;
- We will build and maintain a robust infrastructure of locally-based open-market energy efficiency installers from among our existing relationship of dozens of existing installers though our MEF work, our own Honeywell ContractorPro network, and our contacts in AESP, BPI, RESNET, ACI, Efficiency First and other professional organizations;
- Honeywell will supplement this network-based outreach with direct outreach to the remainder of the local trades to ensure we have sufficient installation capacity;
- Our program team will provide on-going training and support to the local trade allies throughout the program to help providers understand and actively participate in the program;
- Our program team will communicate with the state run Kentucky Home Performance (KHP) program to align program guidelines to leverage KHP and other outside resources and funds;
- Our program team will Quality Control (QC) work performed by local providers, including on-site inspections, and survey participants to ensure quality work and customer satisfaction;
- All program activity, including outreach, enlistment, scheduling, audit visit completion, measure installation, and savings, is all captured in one central data system for reporting energy and demand savings values for each measure and the selected EM&V provider.

To support the program, Honeywell will conduct direct-to-consumer marketing efforts to drive demand, driving consumers directly to the program website, or our toll-free customer care center staffed by highly trained Customer Care Representatives.

Our approach includes a rigorous QC of all submitted data. It includes a completed site work review of information provided by participating installers to validate the quality and efficacy of major measure installations, in addition to the level of customer service provided. Following major measure installation, a percentage of sites are inspected to ensure that measures are installed properly, program standards are met, and program protocols and procedures are followed.

The following details the Honeywell major task categories for the design, implementation, and marketing of the KPCo Whole House Efficiency Program. The period of service provided to KPCo customers is from January 1, 2016 to December 31, 2018.

For the KPCo Whole House Efficiency Program offerings include the following:

- Home Energy Audit and Direct Install Low Cost Measures;
- Weatherization Measures;
- HVAC Equipment, Including Thermostats.

Home Energy Audit

- The customer will receive an in-home energy audit and direct installation of energy conservation measures free of charge. Eligible customers must have an electric central cooling and heating system. A professional Honeywell energy auditor with BPI-certification will perform a thorough diagnostics driven assessment using PSD-sourced software, identifying key areas of the home that are wasting energy and provide recommendations to make the home more energy efficient.
- The Honeywell home energy audit software captures key site, demographic, and energy data collected on-site during the energy audit. An easy-to-understand, menu-driven interface generates a customer-friendly report, which the auditor reviews with the customer at the end of the audit. This report clearly communicates sources of the excess energy use, and offers specific recommendations to help the homeowner make informed decisions on energy upgrades, highlighting KPCo incentives for program approved major measures. We have provided more detail on the audit report later in this document but for now, please note that our report offers several value added features:

Customer-Friendly Audit Reporting	Helpful Features for KPCo
On-the-spot report delivery	Self-contained, no internet hook-up needed
All factors presented in an easy to understand format	Real-time reports
Peer home comparisons	Captures diagnostic testing results
Carbon footprint measurements	Ongoing customer interaction through online follow-ups
Energy measurements and graphics translated into dollars	Shares data with customer service reps
Incentive alerts	On-site work order generation for installers
Milestone monitoring following initial assessment	Captures program eligibility data
Provides information on financing options and available incentives	Locates available incentives
Shows assessment results on-screen for interactive education opportunities	Accurate, industry certified energy savings engine

All data captured during the home energy audit flows electronically to our BBCS database management system. BBCS tracks all customer activity through the lifecycle of a program. Features include management reporting, import/export interfaces, audit trail features, transmission logs, data quality audits, and bar code implementations for higher levels of data quality assurance. Honeywell provides KPCo web-portal access to our BBCS reporting system for real-time data viewing and reports.

Where combustion appliances exist in the home, the Honeywell auditor will also conduct BPI compliant combustion safety testing to ensure that the home does not present any unknown Health and Safety hazards before additional work is recommended.

Energy Saving Measures

Participating KPCo customers are eligible to receive free installation of the following energy conservation measures at the time of the audit, as identified in by our on-site Residential Energy Assessment report:

- High efficiency CFL and LED lighting;
- Domestic hot water pipe insulation (electric DHW only);
- Water heater insulation wrap (electric DHW only);
- Low flow showerhead (electric DHW only);
- Low flow faucet aerator (electric DHW only);
- Weather stripping/caulking/door sweeps;
- Duct sealing;
- Smart Power Strips;
- Refrigerator Thermometers and coil cleaning brush.

The energy conservation measures (ECMs) installed in each home are installed only for KPCo provided end-use energy source, and the need for such retrofits is determined cost effective by the auditor through the use of measure specific cost effectiveness protocols.

Weatherization Measures

- Customers must have an electric central cooling system to be eligible (i.e. central air conditioner or heat pump). Air and duct sealing must be performed by an approved participating trade ally. A pre and post treatment blower door test will be conducted to verify energy and demand savings;
- The goal of the weatherization program is to keep KPCo customers warm in the winter, cool in the summer, and save them money. The goal of the weatherization program for KPCo is to realize KWh savings by reducing residential energy consumption;
- Conduct outreach to provide a network of participating trade allies for customers to choose from to install the major weatherization measures;
- Verify and enlist the existing trade allies in the current state run KHP programs to leverage the existing trade ally base;
- When consumers complete incentivized program measures, Honeywell follows through with the consumer to secure the incentive application and proof of installation. Honeywell will provide an easy and efficient application mechanism for participants to apply for the incentive and will train and encourage participating trade allies to assist customers in completing and submitting applications;
- Honeywell will receive, QC, and process major measure applications for the delivery of the appropriate rebate to the participating customer or trade ally where the

customer so assigns and record the associated energy savings. (Greater detail on incentive processing is provided later in the document);

- Leveraging the capabilities of our BBCS data management system, data and documentation is transmitted electronically to the office for reporting and follow-up. We will maintain periodic follow-up with the participants to answer questions, and continue to motivate them to implement major recommended measures.

Table 2. Eligible Weatherization Measures and Incentives

	Mid Scenario
Duct Sealing	\$200
Air Sealing 20% ACH (Air Changes Per Hour) Reduction	\$250
Air Sealing 20% ACH Reduction & Attic Insulation R-381	\$450
Wall Insulation R-132	\$0.30 per sq. ft., up to \$250
Basement Sidewall Insulation R-13	\$0.30 per sq. ft., up to \$200
Crawlspace Insulation R-19	\$0.30 per sq. ft., up to \$200

HVAC Equipment

Residential customers must have an existing electric central cooling system to be eligible (for example central air conditioner or heat pump). Residential customers who rent a residence must receive the written approval of the homeowner/landlord to participate in the program. We understand that, as the selected program implementer, we are required to oversee the work scope and smoothly integrate the HVAC components with the weatherization measures and other facets of the Whole House Program.

Qualifying measures include heat pump ductless mini splits, heat pumps and smart programmable thermostats, with various incentive ranges offered, based on the measure and the SEER and HSPF ratings as shown in Table 2 below.

Table 3. Eligible HVAC Equipment and Incentives

	Unit	Average Incentive per Unit
		Mid
Heat Pump (SEER 15, EER 12.5, HSPF 8.5)	per Unit	\$300
Heat Pump (SEER 16, EER 13, HSPF 9)	per Unit	\$450
Heat Pump (SEER 14 Replace Resistance Heat w/CAC)	per Unit	\$300
Heat Pump (SEER 15 Replace Resistance Heat w/CAC)	per Unit	\$600
Heat Pump (SEER 16 Replace Resistance Heat w/CAC)	per Unit	\$900
Heat Pump Ductless Mini Split (Replace Resistance Heat)	per Unit	\$400
Smart Programmable Thermostat w/ Heat Pump	per Unit	\$45

TRADE INSTALLED HVAC MEASURES	2016 Measures	2017 Measures	2018 Measures	Total Measures
Communicating Programmable Tstat install CAC	0	0	0	0
Communicating Programmable Tstat install HP SF	100	100	110	310
SF Heat Pump Upgrade SEER 14.5 EER 12.3 HSPF 8.2	0	0	0	0

SFHeat Pump Upgrade SEER 15 EER 12.5 HSPF 8.5	225	230	235	690
SF Heat Pump Upgrade SEER 16 EER 13 HSPF 9	4	14	23	41
SF Heat Pump Upgrade SEER 19 EER 14.5 HSPF 10	1	1	2	4
SF Heat Pump Replacement for EBB SEER 14.5 EER 12 HSPF 8.2	65	70	75	210
SF Heat Pump Replacement for EBB SEER 15 EER 12.5 HSPF 8.5	10	12	14	36
SF Heat Pump Replacement for EBB SEER 16 EER 13 HSPF 9	0	0	4	4
SF Heat Pump Replacement for EBB SEER 19 EER 14.5 HSPF 10	0	0	1	1
SF Ductless MS HP Replacement for EBB SEER 21 EER 14 HSPF 10	6	8	10	24
SF Ductless MS HP Replacement for EBB SEER 23 EER 15 HSPF 10.5	12	14	16	42
MF Communicating Programmable Tstat install HP	30	30	40	100
MF Heat Pump Upgrade SEER 14.5 EER 12.3 HSPF 8.2	0	0	0	0
MF Heat Pump Upgrade SEER 15 EER 12.5 HSPF 8.5	15	17	19	51
MF Heat Pump Upgrade SEER 16 EER 13 HSPF 9	1	2	4	7
MF Heat Pump Upgrade SEER 19 EER 14.5 HSPF 10	1	1	1	3
MF Heat Pump Replacement for EBB SEER 14.5 EER 12 HSPF 8.2	80	85	90	255
MF Heat Pump Replacement for EBB SEER 15 EER 12.5 HSPF 8.5	9	11	14	34
MF Heat Pump Replacement for EBB SEER 16 EER 13 HSPF 9	1	1	4	6
MF Heat Pump Replacement for EBB SEER 19 EER 14.5 HSPF 10	0	0	1	1
MF Ductless MS HP Replacement for EBB SEER 21 EER 14 HSPF 10	4	6	8	18
MF Ductless MS HP Replacement for EBB SEER 23 EER 15 HSPF 10.5	8	10	12	30
TRADE INSTALLED HVAC TOTAL MEASURES	572	612	683	1867

We are proposing a market-driven approach that has shown success in similar markets. To ensure robust participation, Honeywell seeks to:

- Enlist, vet, train and expand the existing HVAC trade ally network in Kentucky;
- Engage, recruit, and train additional trade allies through our Contractor Pro network and professional organization contacts;
- Verify and enlist the existing trade allies in the current KPCo HVAC rebate program and the state run KHP programs to further broaden the network.
- Provide robust marketing efforts to encourage and grow customer participation (to the extent KPCo determines it wishes to outsource to the selected installer);
- Provide detailed and timely reporting of all costs, impacts, measures, marketing efforts, and more, with all reporting provided in both hard copy and electronic formats.

In addition, our HVAC services include the review and verification of application forms, equipment installed, detailed demand and energy reduction calculations, incentive payment calculations, program qualifications, and associated tasks to ensure accuracy of all performed energy efficiency installations.

Our approach includes a rigorous Quality Control of all submitted data and completed site work. We inspect a percentage of sites following measure installation to ensure that

HVAC equipment is installed properly, program standards are met, program protocols and procedures are followed, and customers are well satisfied. In addition, Honeywell provides data capture and management, reporting of program activity and savings to KPCo. All captured site visit and measure data is delivered electronically.

We would request that KPCo provide general program guidance, review the reports and approve marketing approaches and materials, and communicate clear program goals and objectives. Honeywell works collaboratively with KPCo to transition the HVAC program elements smoothly to our team, with no disruptions to participating customers and trade allies. We seek to alleviate KPCo from the day-to-day burdens of program implementation while maintaining the highest levels of customer service and satisfaction.

Program Implementation Planning

- This task will involve working with KPCo program staff to develop a final program design for implementation of the Program. Your proposal should address, but is not limited to, the following:
- Describe your overall approach to planning the key design and implementation steps and goals, from start-up and on an annual basis, to achieve program success.

The Honeywell approach to planning the design and delivery of the program is to focus on establishing a clear understanding of KPCo internal and external goals (See SLAs below) and match those to the customer's base drivers. Honeywell has a detailed program process that we follow to prepare initial program designs and staffing, implementation, and marketing plans. As we are currently operating this program, we already have a preliminary understanding of program needs and most identified program changes can be organized and launched relatively quickly.

SLAs

SLA Name	Description	Target	Max	Min	Billable Retainage
Program participation	Semi-annual actual vs. planned participants-progress against annual program goal of 2,040 audits	100%	NA	>110%	0.00%
			110%	90%	0.75%
			89%	80%	0.50%
			79%	70%	0.25%
			69%	0%	0.00%

SLA Name	Description	Target	Max	Min	Billable Retainage
Customer Satisfaction	Participant satisfaction and complaint resolution	100%	100%	80%	0.75%
			79%	0%	0.00%
Program reporting	Timely and accurate monthly program reporting and data collection	3/3 monthly reports on time and accurate	3/3	3/3	0.75%
			2/3	0/3	0.00%
Budget Performance	Spending within 5% under and 0% over budget	100% of budget	110%	100%	0.50%
			100%	95%	0.75%
			94%	90%	0.50%
			89%	80%	0.25%
			79%	0%	0.00%

Honeywell begins immediately upon contract execution with a kick-off meeting with KPCo staff. We will present our draft program design, implementation plan, and marketing/outreach plans including the approved measures, roll-out schedules, and all other aspects of program implementation, including:

- Planning and implementing marketing and outreach services;
- Engaging customers to verify customer eligibility and schedule home energy audit appointments;
- Performing home energy audits and direct measure installations;
- Providing customer service support;
- Establishing relationships with local trade allies to work with the program to install energy efficient HVAC equipment and weatherization measures;
- Processing rebate applications, including application review and payment of customer and dealer rebates;
- Tracking program performance, including customer and dealer participation as well as quality assurance/quality control (QA/QC);
- Monthly reporting progress towards program goals;
- Collaborate with KPCo for the following:
 - Direct outreach to customers that can include bill inserts, newspaper advertisements, email blasts, direct mail, bill messaging, and/or community events;
 - Engage installers to promote awareness of and use rebates to help sell qualifying equipment.

Our goal is to obtain detailed feedback from KPCo on utility objectives and adjustments to our draft plans to best meet or exceed all of the KPCo goals. Upon review and approval of the plans by KPCo, Honeywell will review and update all necessary customer outreach materials and installer training and field delivery documentation. Honeywell will provide any supplemental procedural, technical, safety, customer education training for our field and support staff, and for KPCo staff if requested. In addition, Honeywell will work with KPCo to define agreed-upon data capture and reporting content for program reports to KPCo, and an agreeable schedule upon which

we supply KPCo with electronic data captured to support program tracking and impact assessment.

To start field activity, Honeywell works collaboratively with KPCo using our demographic and economic data analysis tools to identify and select target customer groups for primary marketing efforts and lay out a marketing deployment schedule based on ideal volume levels, and any other KPCo internal or external objectives. Our support team is in place and well prepared to continue executing according to plan. At the end of each program year, Honeywell conducts a detailed annual review of program operations, performance, and effectiveness. Honeywell meets with KPCo staff to review our findings and recommendations, obtain feedback from KPCo, and develop a program improvement plan for the coming year.

For the following four bullet points, please reference the tables below.

- Provide projected participation levels by measure. Also, provide projected number of participants.
- Provide projected incentive levels by measure. Describe your plan to maintain cost-effectiveness at the Program and measure level.
- Provide projected energy (kWh) and demand (kW) savings by measure.
- Provide expected net-to-gross ratio by measure..

Table 4. Participation Estimates (Households)

Major Measures	2016	2017	2018
Measure Type	# Sites Treated	# Sites Treated	# Sites Treated
WEATHERIZATION MEASURES			
Air Sealing & Insulation - Single Family	269	294	317
Air Sealing & Insulation - Multi Family	14	15	16
TOTAL WEATHERIZATION MEASURES	283	309	333
HVAC MEASURES			
HVAC Upgrades, EBB Replacement & thermostats - Single Fam	148	248	393
HVAC Upgrades, EBB Replacement & thermostats - Multi-Fam	6	10	17
TOTAL HVAC MEASURES	154	258	410
Total Major Measures - Single Family	417	542	710
Total Major Measures - Multi-Family	20	25	33
TOTAL COMBINED MAJOR MEASURES	437	567	743

KY Power Home Performance Participants	2016 Measures	2017 Measures	2018 Measures	Total Measures
Single Family Audits / Direct Installs	1820	1820	1820	5460
Multi Family Audits / Direct Installs	200	200	200	600
Total Audits / Direct Installs	2020	2020	2020	6060
Trade installed HVAC Measures	572	612	683	1867
Trade Installed Weatherization Measures	150	165	180	495
Total Trade Installed Major Measures	722	777	863	2362
Total Direct Install Measures				

Annual MWh Energy Savings	2016 Measures	2017 Measures	2018 Measures	Total Measures
Single Family Audits / Direct Installs	1766.73	1766.73	1766.73	5300.19
Multi Family Audits / Direct Installs	143.25	143.25	143.25	429.75
Total Audits / Direct Installs	1909.98	1909.98	1909.98	5729.94
Trade installed HVAC Measures	1588.18	1780.19	2050.00	5418.37
Trade Installed Weatherization Measures	237.50	270.11	300.88	808.49
Total Trade Installed Major Measures	1825.68	2050.30	2350.88	6226.86
Total Direct Install Measures	3736	3960	4261	#REF!
Summer Peak kW Reduction	2016 Reduction	2017 Reduction	2018 Reduction	Total Measures
Single Family Audits / Direct Installs	247.11	247.11	247.11	741.33
Multi Family Audits / Direct Installs	20.85	20.85	20.85	62.55
Total Audits / Direct Installs	267.96	267.96	267.96	803.88
Trade installed HVAC Measures	55.34	61.36	68.25	184.95
Trade Installed Weatherization Measures	40.36	44.60	50.83	135.79
Total Trade Installed Major Measures	95.70	105.96	119.08	320.74
Total Direct Install Measures	363.66	373.92	387.04	1124.62

Table 5.Incremental Net Energy Savings (MWh),

	2016	2017	2018
Home Energy Audit (Single Family)	1,706	1,706	1,706
(Multi-Family)	204	204	204
Weatherization	430	475	519
HVAC	232	392	557
Total	2,572	2,797	2,986

Table 6.Direct Install Measures Incremental Net Energy Savings

DIRECT INSTALLED MEASURES	2016 Measures	2017 Measures	2018 Measures	Total Measures
27W CFL	202	202	202	606
23 W CFL	4363	4363	4363	13090
19W CFL (20W)	404	404	404	1212
13 W CFL	7838	7838	7838	23513
3 Way CFL *	101	101	101	303
16W R30 CFL Floodlight *	1131	1131	1131	3394
23W R40 CFL Floodlight *	81	81	81	242
Deluxe Neon Night Light	61	61	61	182
14 W Globe decorative CFL *	81	81	81	242
9.5 W LED	2020	2020	2020	6060

Water Heater Wrap	202	202	202	606
Hot Water Pipe Insulation - 1/2"	606	606	606	1818
Hot Water Pipe Insulation - 3/4"	5757	5757	5757	17271
Low Flow Showerhead	2939	2939	2939	8817
Shower Starter Thermostatic controls	303	303	303	909
Faucet Aerator	1727	1727	1727	5181
Kitchen Dual spray 1.0 Aerator	303	303	303	909
DHW Temp Turndown	101	101	101	303
Refrigerator Coil Cleaning Kit	0	0	0	0
Refrigerator Thermometer	0	0	0	0
Air Conditioner Filter	0	0	0	0
Smart Strip Power bars	394	394	394	1182
Switch and Outlet Gaskets	0	0	0	0
Foam 12 oz can	20	20	20	61
Caulk (per lineal foot)	21210	21210	21210	63630
Weatherstrip V Seal (per lineal foot)	9373	9373	9373	28118
Weatherstrip Qlon (per lineal foot)	1374	1374	1374	4121
Door Sweep	162	162	162	485
Duct Sealing - Aluminum Tape (per foot)	4848	4848	4848	14544
Removable Air Conditioner Cover	40	40	40	121
Total Direct Install Measures	65640	65640	65640	196920

Table 7. Major Measures - Incremental Net Energy Savings

WEATHERIZATION MEASURES	2016	2017	2018	Total
	Measures	Measures	Measures	Measures
Extensive Air Sealing - Reduction > 20% EBB only	0	0	0	0
Extensive Air Sealing - Reduction > 20% HP	12	12	12	36
Extensive Air Sealing - Reduction > 20% EBB + CAC	36	37	37	110
Extensive Air Sealing - Reduction > 30% EBB only	0	0	0	0
Extensive Air Sealing - Reduction > 30% C HP	10	12	13	35
Extensive Air Sealing - Reduction > 30% EBB + CAC	16	20	27	63
Extensive Air Sealing - Reduction > 40% EBB only	0	0	0	0
Extensive Air Sealing - Reduction > 40% Avg HP	3	4	5	12
Extensive Air Sealing - Reduction > 40% Avg EBB + CAC	6	7	7	20
Extensive Duct Sealing - Reduction > 10% HP	8	9	10	27
Extensive Duct Sealing - Reduction > 10% Elec Furn	3	3	3	9
Attic Insulation > R0 to R 38 (per Sq Ft) EBB only	0	0	0	0
Attic Insulation > R0 to R 38 (per Sq Ft) HP	4	5	5	14
Attic Insulation > R0 to R 38 (per Sq Ft) EBB + CAC	3	4	5	12
Attic Insulation >R 11 to R 38 (per Sq Ft) EBB only	0	0	0	0
Attic Insulation >R 11 to R 38 (per Sq Ft) HP	8	8	9	25
Attic Insulation >R 11 to R 38 (per Sq Ft) EBB + CAC	13	15	16	44
Attic Insulation > R19 to R 38 (per Sq Ft) EBB only	0	0	0	0
Attic Insulation > R19 to R 38 (per Sq Ft) HP	2	2	2	6
Attic Insulation > R19 to R 38 (per Sq Ft) EBB + CAC	5	6	6	17

Wall Insulation > R 13 (per Sq Ft) EBB only	0	0	0	0
Wall Insulation > R 13 (per Sq Ft) HP	7	7	9	23
Wall Insulation > R 13 (per Sq Ft) EBB + CAC	8	8	8	24
Crawl Space Insulation > R19 (per Sq Ft) EBB only	0	0	0	0
Crawl Space Insulation > R19 (per Sq Ft) HP	1	1	1	3
Crawl Space Insulation > R19 (per Sq Ft) EBB + CAC	2	2	2	6
Basement Wall insul (heated) > R13 (/ Sq Ft) EBB only	0	0	0	0
Basement Wall insul (heated) > R13 (/ Sq Ft) HP	1	1	1	3
Basement Wall insul (heated)> R13 (/Sq Ft) EBB + CAC	2	2	2	6
TOTAL WEATHERIZATION MEASURES	67	73	79	219

Please see **ATTACHMENT A - KP Home Performance Incentive Totals and Major Measures**

KPCo RFP – Measure Matrix

Referencing the attached spreadsheet entitled “KPCo RFP – Measure Matrix”, the Contractor will provide net annual maximum kWh and kW savings (both summer and winter peak demand) that are realistically achievable. All projected savings should be expressed at meter. Please also provide projected participation and incentive levels and projected net and gross energy and demand savings by measure category. Also, please provide your anticipated net-to-gross ratio by measure.

Please see pages 12-15 for detailed measure matrix information.

- Describe your approach to working with KPCo’s program staff and other subcontractors (if on your team) to build on the program design and define, in broad terms, the activities that will be taken to achieve the energy (kWh) and demand (kW) savings targeted for the program.

Our preferred approach is to maintain an on-going open line of communication with the KPCo program manager, using monthly status calls or meetings to update KPCo in near real time on progress toward goals, communicating trends or potential barriers, and presenting potential program improvements for discussion and assessment. This allows pro-active adjustments to keep the program on track toward all of the KPCo objectives. WE will provide a clear plan at program outset, and meet with KPCo staff on a regular basis to review progress toward the plan and goals and any recommended adjustments needed to reach KPCo’s goals.

- Prepare your proposed implementation timeline and Gantt chart from initial contract signing to program launch and on-going delivery. Indicate the most important milestones, with reference to the various tasks. Emphasize first year activities and report on your capability and confidence in meeting the target level you feel is achievable.

Please see **ATTACHMENT B – Proposed Schedule**.

- In your opinion, what level of involvement from KPCo program staff is: a) essential, b) desired, or c) optional? Describe the ideal framework for communications, guidance, and decision-making.

Upon contract award, we collaborate with KPCo to determine the appropriate level of involvement for these programs based upon the availability of the KPCo staff and your process requirements. Based on this RFP, we will require KPCo review and approval of our implementation and marketing plans, agreement on data collection and reporting

requirements, and confirmation of the draft program guidelines and procedures. Once the program is in place, we request KPCo review and approval of marketing material as needed and periodic KPCo review of Honeywell progress reporting and feedback on performance against KPCo metrics.

- **Describe your strategy to increase persistence of energy savings from your program.**
Please see the Marketing Section on page 30.

- **Discuss your approach to coordinating with existing EE programs already serving the KPCo's customers to facilitate cross-promotion among programs.**

We strive to cross-market with all programs. We train our CSRs and field service technicians to cross-market all KPCo programs and our auditors will be trained to promote all KPCo programs at the audit. The audit report will be configured to provide recommendations of all applicable KPCo programs.

- **Explain your knowledge of baselines and market saturations of proposed measures within KPCo's service territory. Describe your plan to overcome any regulatory or market challenges as it relates to increasing baselines and market saturations that lower the potential to capture savings.**

Having run the MEF program for several years, Honeywell has a strong knowledge of housing stock, measure installation rates, and customer preferences in KPCo's territory. In addition, we have compared these results to those of other programs we operate in the region. Our savings projections are based on that information and we are confident of our ability to meet those numbers. In addition, we bring over 35 years of utility experience of regulatory support to our utility clients. We understand the challenges of the regulatory environment. See our response above to "*Describe your strategy to increase persistence of energy savings from your program*"

- **Discuss your previous experience working with EM&V contractors to verify Program savings and report on process and impact results. Discuss how you will coordinate with the EM&V contractor(s) on an on-going basis.**

Honeywell has worked with dozens of EM&V providers on hundreds of programs. Our approach is to proactively work with EM&V providers to review our savings estimations and identify the EM&V requirements and data needs at program start to ensure all reasonable EM&V requirements are met. We then provide comprehensive data from our BBCS data management system to enable EM&V efforts. We agree on key data points with the client during program start-up.

- **Describe the communications plans for guidance, and decision-making with KPCo management.**

We communicate with KPCo management through formal scheduled monthly calls, emails, and from time to time, in person meetings. We review these activities at the kick-off meeting. In addition, Honeywell will provide an immediate notification for any incidents or customer issues that arise as work is completed.

- **Identify your approach to recruiting customers to participate in the Program.**

Please see the Marketing Section on page 30.

Program Delivery

- Please discuss your overall approach and strategy for successful Program launch and delivery. Your proposal should address, but is not limited to the following areas:

The Honeywell program approach is collaborative between all key stakeholders involved with the project including KPCo, the local and extended Honeywell teams, installers, and most importantly, customers. We strive to ensure that all parties involved provide the necessary input and support. Within days of contract award, Honeywell initiates a kick-off meeting with the KPCo team to present our implementation plan and modify the proposed timeline if needed.

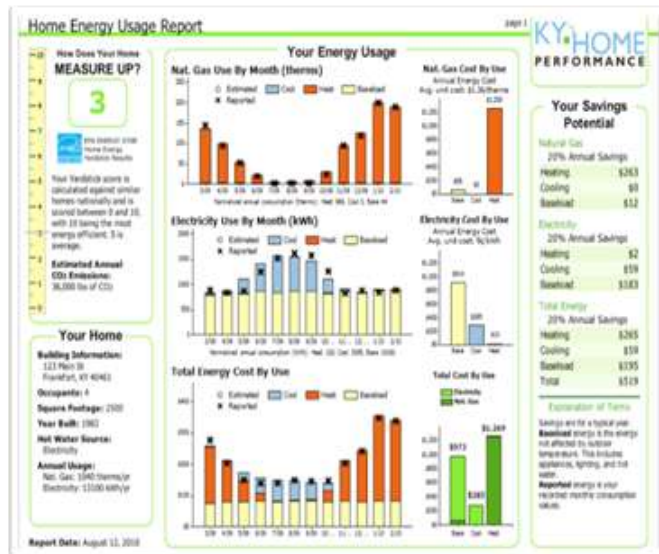
The Honeywell proposed program implementation plan and workflow includes the following activities, which are a mix of our current practices under MEF and with program improving enhancements to accommodate the Whole House work scope:

Customer Enrollment and Scheduling

Customers can enroll in the program using the toll-free number (866-225-0686). Honeywell offers program enrollment using two methods: toll-free call center and online enrollment portal. Honeywell leverages existing program web content and enhance it with an enrollment portal where interested participants can schedule an appointment for an audit.

Customer enrollment information transfers to the Honeywell BBCS data management system by secure network transfer. A Honeywell customer service representative (CSR) schedules an appointment at the customer's convenience for the energy analysis/audit and updates the customer status in our database. Each day's schedule, along with key data regarding each scheduled home energy audit (location, contact information, energy usage data, and so on), is given to the assigned auditor.

Honeywell has proposed an enhanced marketing effort designed to engage



KPCo customers and drive completion of major measures. We accomplish this primarily through a combination of selective telemarketing supported by highly targeted direct mail and outreach campaigns along with installation contractor networking and sales support along with occasional presence at community events. Through these approaches, Honeywell will meet or exceed the KPCo participation targets.

Home Audits and Measure Installations

Honeywell staff of field auditors will perform energy analyses (assessments). They use BPI procedures and KPCo-approved diagnostic equipment, including

blower doors. As an added improvement, Honeywell uses a proprietary version of the audit software designed specifically for Honeywell by Performance Systems Development (PSD), a nationally vetted and approved software solution. This software allows for all required data to be electronically collected on-site, and an initial report of the recommendations and analysis results to be displayed and reviewed with the customer at the conclusion of the home energy audit while still on-site.

Honeywell proposes to use our exclusive energy audit software tool, based on the Surveyor tool developed by Performance Systems Development (PSD), as the energy audit tool to use by Honeywell personnel. The Honeywell audit tool is built on top of the TREAT audit engine. Across the country, it is recognized as one of the premier home modeling software. It offers a range of value added features. This tool is designed for rapid on-site residential energy simulation and savings prediction. We are able to show customers the impact of each energy decision on their energy profile, empowering them to make informed decisions more rapidly. Key features of the software include:

- Well tested (by DOE and RESNET) and vetted audit engine behind calculations - results ensure accurate impacts and savings estimates;
- Covers all major energy uses in the home, including supplemental, with a comprehensive set of home-specific recommendations;
- Automated and provision for manual calculation adjustments assures consumers of accurate savings estimates for every condition;
- Interactive audit results screen on PC allows auditor to review results and explain findings to customer;
- Recommendations showing savings, costs, and paybacks to facilitate customer prioritization;
- Incorporates utility-sponsored EE programs to boost follow up with effective cross marketing;
- Can generate installer work orders for customer referrals directly from audit;
- Captures and tracks separately energy savings from measures installed during the audit;
- Allows for uploads of photos (including infrared camera shots directly into audit report);
- Highlights cost of financing of recommended measures;
- Captures a deep collection of demographic and customer profile data for marketing and program targeting that can be downloaded directly to Honeywell or KPCo;
- Energy cost and installation costs are specific to each service area and updated on a regular basis;
- Includes built in quality control results for capture and tracking;
- Triggered behavioral and/or non-measure action recommendations that impact usage.

Our audit tool is a web-based tool that can run self contained on a PC without web access and provides immediate results of the energy assessment in the comfort of the client's home. Auditors can generate a powerful analytic report that incorporates a Home Energy Score for a national comparative benchmark. The software scores and analyzes the home's energy use under real weather normalized conditions that analyzes the consumption and associates it with the

major end-use electrical products of the home to break out energy use for heating, cooling, and base-load end uses. The efficient program design allows for relatively quick but thorough data collection that allows the auditor to save time during audits while motivating homeowners to action with information on how much money and energy they could save while reducing their carbon footprint. Cost breakdowns, peer comparison and improvement tracking provide perspective on whole-building energy use.

The home energy audit process covers all major energy uses in the home and focuses on improving performance of the whole house. The home energy audit includes visual inspection for safety issues, air leakage and envelope assessments, plus assessments of HVAC, appliances, lighting, and other energy systems as well as combustion safety and gas leak testing where needed. In addition, the auditor assesses each home for the opportunity for low cost measures such as DHW measures, CFL and LED light bulbs, pipe insulation, etc. The auditor installs all measures that meet measure-specific protocols and strive to achieve total home energy savings as possible while on site, while making major-measure recommendations for further energy efficiency reductions. The installation process includes customer education and specific instructions for the customer, including safety instructions.

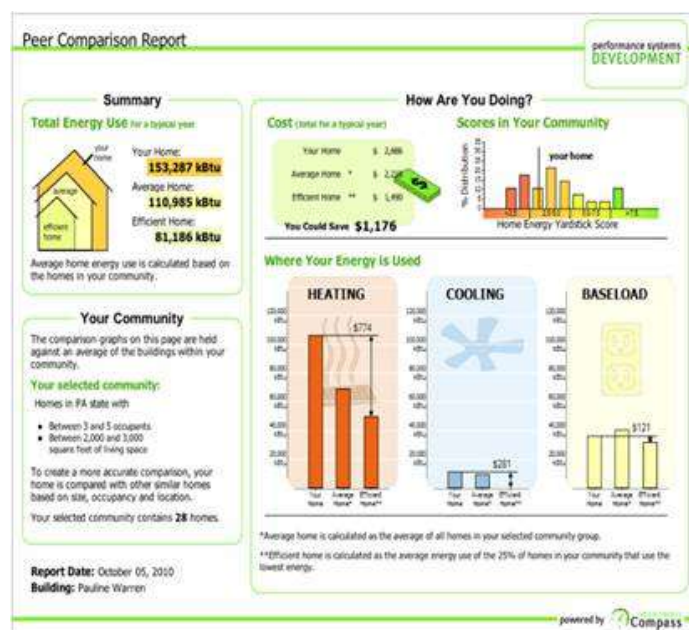
The auditor will also complete, where appropriate, a blower door test and a range of Health and Safety diagnostic testing that determines the magnitude and location of air leakage in the home, prior to the recommendation of major envelope measures. (Note: A post installation blower door test is administered by the trade ally after envelope measures are installed to analyze improvements.) At the conclusion of the walk through and testing, the technician enters the data and measurements collected into the software and engage an analysis of the site. The analysis generates a report for the customer that lists and quantifies each energy-saving opportunity available to reduce energy usage.

At the end of the process, the customer receives a detailed customer report with a detailed home profile, a full set of energy saving recommendations covering all Whole House program measures, with savings and payback estimates for each.

In addition to promoting the major measure component of the KPCo Whole House Efficiency Program, the auditor advises customers about additional KPCo energy efficiency and demand-side management programs.

Our output report contains a range of useful information for the consumer, including:

- A breakdown of energy usage by



source;

- A month-by-month usage profile;
- A complete set of energy saving recommendations that can be prioritized by dollar savings, payback or Savings-to-Investment Ratio.

These are provided during the home auditor can be emailed to the customer, or printed and mailed after the audit is completed.

The report provides an estimation of the kWh and demand energy savings for each direct installed energy conservation measure at each home. The customer report includes the following key features:

- Its easily-understood results, displays, and reports provide consumers with immediate and clear information – and promote their willingness to agree to the installation of additional measures;
- Honeywell-specific design of customer report layout and content tailored specifically for utility program environment;
- Provides printed or electronic audit results at end of site visit to accommodate on-site or post-visit report delivery;
- Includes graphs and visuals to demonstrate energy use breakdown by type in home, seasonal energy-use patterns, and usage comparison to other similar homes;
- Includes like home comparisons to help participants see how they are performing;
- Includes a link to the KPCo energy efficiency web page to help guide customers to other energy efficient program offerings.

Direct Installation Services

As part of our energy analysis, our auditor identifies potential opportunities for the installation of a range of low cost measures as agreed to with KPCo. The Honeywell auditor will employ an installation-effectiveness protocol that is specific for each measure. It identifies the specific characteristics and conditions to be met before each measure is installed. The use of this protocol ensures that each measure is installed only where and when it can provide the level of expected energy savings required to keep the program cost effective. Honeywell reviews the protocols for each measure with KPCo upon award and make any adjustments deemed appropriate by KPCo.

Honeywell provides the materials and labor and installs each energy savings measure that meets KPCo program standards and the protocol during home energy audit appointments.

The home-installed energy conservation measures (ECMs) are dependent on the end-use energy source. Honeywell determines the need for such retrofits.

“He found many small things and made lots of suggestions for reducing our heating/energy bill”.



Measures include:

- CFL and LED bulbs;
- Energy Efficient Showerheads (for electric DHW only);
- Energy Efficient kitchen and bath aerators (for electric DHW only);
- DHW Pipe insulation (for electric DHW only);
- DHW tank insulation wrap (for electric DHW only);
- Smart Power Strips);
- Door and Window weather stripping;
- Door Sweeps;
- Duct sealing using approved sealing tape;
- Caulking , foaming or other quick minor gap sealing;
- Refrigerator thermometers and coil cleaning brushes;
- If unsafe conditions or product warning labels exist, or if structural characteristics of the homes prevent little potential for energy efficiency opportunities. Installation services are not provided.

Customer Education

Along with the homeowner energy analysis report, Honeywell provides consumer education and site-specific energy conservation information to the customer related to both the measures installed by Honeywell and the measures and behaviors recommended by the assessment for follow up by the customer. Each auditor is trained to respond to customer inquiries. Honeywell is responsible for developing and delivering educational materials.

At the conclusion of the audit, the Honeywell auditor reviews an initial report with the customer electronically via the auditor's laptop. The auditor describes the home energy analysis findings and explains the additional measures that are recommended to the customer. We collect data at the home on the laptop/tablet, summarize findings with the customer at the time of the site visit, and then either print the detailed report while on site, email the report to the customer, or provide the report a few days later and send to the client via regular mail. In addition, the auditor addresses all of the customer's energy-related questions and educates the customer on any available applicable discounts and incentives for major measures. The auditor takes advantage of this cross-marketing opportunity to inform the customer of other KPCo programs or services. The auditor makes every effort to secure the customer's commitment for the installation of additional recommended measures, answering questions on how to locate a qualified installer, probable amount of work time and effort required to address each measure, how an installer can be selected, and eligibility for incentives. The Honeywell team does not recommend specific installers for any work, but rather provides recommendations of measures and feedback on how to find a participating installer. Customers can also do a website search through the KPCo website. At the conclusion of the visit, contact information is provided for both the specific auditor and the program.

Data Management and Tracking

All data from initial enrollment to invoice submission, including all input and output data from the site analysis, is recorded in the Honeywell BBCS data management system and reported. This includes information electronically collected on-site using the audit software tool. The data downloads directly from

the auditor PC to the central data management system to reduce processing delays and transcription errors and maintain higher levels of data integrity. This deep and broad data set tracks all aspects of customer interaction and documents the energy savings achieved by the program at a measure level, which allows for more detailed tracking of participation, better measure penetration, and improved program results. Maintenance of all program data and activity in a single system also allows for improved customer service and an enhanced customer experience.

Quality Assurance

All work performed by Honeywell auditors and program installers are subject to a rigorous quality control program. This includes review of completed home energy analysis results and documentation, as well as on-site inspections of a percentage of completed audits and installed measures for quality of work, accuracy of data gathered and reported, and the quality of the customer experience.

Medallia Customer Satisfaction Surveys

As part of the Honeywell comprehensive customer service approach, we propose to survey all program participants that have an available email address. By using Medallia, Inc., an industry-leading vendor, we can cost effectively solicit honest feedback, as well as protect the rights and privacy information of all participants. In addition to utilizing this tool to monitor the day-to-day interactions of our staff, we can also provide immediate access to KPCo in order for them to view the overall satisfaction of your customers as it pertains to the program's performance. We have the ability to look at a particular day's activity, including drill-down capabilities and easy review of customer comments. We can view data trends over time that helps us make effective management decisions about our business and the way we serve your customers.

- **Establish a toll-free telephone number and website for customer enrollment, appointment scheduling, and questions**

Easy access to program service and customer support is key to a successful program and we are continuing to offer our professional call center to support this work scope. Prior to launch we will integrate the toll free program number and support staff so customers have one number to call or either service and our trained CSRs can direct customers to the solution that fits them best. Honeywell offers program enrollment using two methods:

- The toll-free call center;
- An online enrollment portal.

Honeywell leverages existing program web content and enhances it with an enrollment portal where interested participants can schedule an appointment for an audit. Customer enrollment information is transmitted to the Honeywell BCS data management system by secure network transfer. All enlistsments are accessible in our system. They can be sorted by location or age of request to optimize the efficiency of the scheduling process. Our Customer Service Reps access this system to schedule appointments for the site visit.

- **Maintain a database to store and track interactions with the customers as well as detailed information related to all costs, participant, marketing and specific equipment installation and appropriate baseline equipment efficiency data**

Honeywell currently provides a database system that tracks an enrolled customer through the lifecycle of the program. Features include management reporting, import and export interfaces, audit trail features, transmission logs, and data quality audits, for higher levels of data quality assurance. Data management is critical to the success of the program, and Honeywell, along with KPCo, will set up audit checks to ensure that data is not lost or that missed data does not cause improper payment or miss-payment of customer incentives. In the event improper payments are made due to Honeywell error at installation or due to missing or bad data, Honeywell reimburses KPCo the amount paid.

Work orders containing the customer's name, address phone, and account number are downloaded each evening by the technicians for the next day's work. When site visits are completed, the data entered in the electronic audit software on the installer's handheld unit transmits wirelessly to our office and populates the program database. Removal orders, quality control orders, and service call orders are handled in this manner. Any order not completed is flagged as to its incomplete status and the reason for the problem logged into the database. This triggers an event to resolve the issue. KPCo is provided a web-accessible portal to facilitate your following of program activity and generating reports at will, with completed, electronic work orders uploaded wirelessly. The data updates constantly throughout the day. Following is a sample view of our client-accessed web portal. It makes access to your program activity data simple and always available.



Sample Web Portal Screenshot

Honeywell offers tailored data management services for each client and program. We do this using BBCS, our unique software platform designed specifically for the types of programs utilities want to bring to their customers. Based on the data records of individual customers, BBCS tracks the services each customer receives and provides real-time information about program success, from periodic reports to details of customer interactions. BBCS provides:

- Customer-centric data management;

- User-specific web portals;
- A complete suite of applications, each with a set of modules from which clients select to create a tailored program;
- Full data transfer capabilities built on an Oracle RDBMS.

BBCS provides exceptionally strong security for your sensitive customer data physically, through software security protocols, and the proprietary nature of the software. Finally, the Honeywell IT team backs up BBCS regularly.

- **Provide trained customer service staff for assisting customers with questions about the program, qualifying customers and facilitating participation**

KPCo provides a dedicated toll-free number and an Interactive voice response (IVR) that supports the current program. In addition to a superior staff, this call center offers multiple services to the KPCo customers, and multi-lingual staff.

All designated customer service representatives (CSRs) receive full program training prior to assignment. These trainings cover all aspects of the KPCo Whole House Efficiency Program guidelines and benefits focused on translating technical information into easy-to-understand, actionable items for participating customers. A core focus of the trainings is on message consistency. Through consistent use of terminology and ongoing focus on customer experience, our customer-centric approach results in a streamlined and simplified participation experience for customers, while increasing consumer understanding of the value of energy efficiency.

The Honeywell Call Center of Excellence

The Honeywell Customer Care Call Center of Excellence provides customer care/call center services for the programs. We provide a dedicated toll-free number, after-hours staff and an IVR to support the proposed program. We have fulfilled this important role on all of our major programs. Our customer care team has supported many large-scale utility programs in recent years. Honeywell understands that no industry has higher standards for customer service than the utility industry. Supplying essential services around the clock to an entire population is a daunting task, so a culture of superior customer service and responsiveness is required. The Honeywell ISO-9000-certified call center is staffed by over 55 highly trained, specialized customer service representatives, and an experienced leadership and management team. Honeywell provides live customer care services from 8:00 a.m. to 6:00 p.m. Monday through Friday. After hours, weekend, and holiday service calls is on an as-needed basis. Honeywell establishes an exclusive toll-free number (or use an existing number) for express use under the program and communicate this to customers through multiple channels. The call center supports all incoming calls to this toll-free number. Our call center can perform warm transfers to the KPCo call center for customers with billing, service, and other non-program related questions.

Each of our Customer Service Representatives (CSRs) is trained to provide customer service for specific utility programs and is assigned accordingly. We have seven Spanish-speaking representatives on staff, and we are currently recruiting for more. Staffing levels are monitored and adjusted on a daily and weekly basis to ensure an adequate level to handle call volumes.

To flag programs that require staffing adjustments, our team has monitoring systems in place and routine communications with local program management and marketing staff. With cross training, our primary customer service teams are able to maintain service levels, while additional certified personnel are available to provide back-up assistance during times of high call volumes.

The call center currently maintains ten T-1s with primary and back-up T-1s provided to support high volumes. Each T1 can handle approximately 23 calls at any given time, providing us with a capacity of approximately 230 calls at any given time. The call center uses Avaya CMS for skill-set routing of inbound customer calls. All calls are targeted to strategically cross-trained personnel within the center. The call center has successfully provided customer support for several large-scale utility programs over the years.

Cross-trained personnel handle any calls received outside of normal hours, based on the agreed-upon after-hours process. Personnel receiving calls after hours make all attempts to appropriately prioritize and resolve situations remotely. However, Honeywell maintains an on-call staff to respond locally, when necessary. All calls received after hours are reported for tracking the following day.

The Honeywell call center is linked to our BBCS database management system, which is used to store and track customer information, including all of our team's interactions with customers. Additionally, the call center records all conversations and maintains call data for a minimum of one year. Having real-time customer data available to both our CSRs and program management team enables our team to deliver efficient and personalized customer support to your customers. The call center uses basic phone system measurements, daily enrollment counts, and the success rate of marketing efforts to ensure enrollment levels are tracking appropriately. Along with service levels and call counts, call quality is monitored on a daily basis.

Our multi-lingual customer care team is in place, and we have excellent process development, documentation tools, and training routines for administrative staff that ensure that we launch the program on an excellent foundation.

Recruitment, hiring, and training of CSRs

Recruitment and training of CSR teams is rigorous and well documented. They are given brief tests to gauge their functional aptitude and rapport with customers. Finalists are interviewed one more time, and then preliminary hiring decisions made. In addition, Background Investigations (BI) are performed on all external candidates as part of the pre-employment check process before they are employed at Honeywell. This access is limited to Honeywell employees only with HR/staffing responsibility or Security Investigators.

Coordination of Appointment Scheduling

In scheduling appointments for the programs that require appointments, accounts are tracked in BBCS, and the CSRs have access to real-time field staff schedules and customer appointments. When scheduling appointments, our CSRs have several options to offer customers: 1) Anytime, 2) AM 8:00-12:00, 3) PM 1:00 – 5:00 4) two-hour window, 5) hard set appointment. The available time windows are viewed on screen by our CSRs while they are on the phone helping the customer. In addition, we can schedule appointments using email for those customers who prefer that medium.

Schedulers ensure that the customer fully understands the program and that any specific questions are answered. Honeywell provides scheduled participants with an appointment reminder call within 48 hours of the appointment. This call reminder system provides the ability for the program participant to speak with the installer for any questions or rescheduling needs. Honeywell is able to send KPCo a file of appointments set each day or week for that period. This information is extracted from our BBCS database.

Call Center Quality Assurance and Monitoring

Using our BBCS database, all interactions with the customer are recorded and available for review and reporting purposes. This allows Honeywell to manage the appointment process and track multiple sequential customer contacts until the customer's installation is successfully completed. We perform quality assurance audits by listening in on randomly-selected calls, both announced and unannounced to the CSR, and by conducting weekly analyses of call volumes and other metrics handled by each CSR, and such metrics as abandoned calls and escalated calls. We invite our clients to visit our call center and review with us the same metrics, and listen in on calls if desired.

Program Enrollment

Customers may apply for the programs using the toll-free number, or if approved by KPCo, through the web. Then, enrollment information is conveyed to the Honeywell BBCS data management system by secure network transfer. We track all customers until they their rebate is sent and they successfully complete program participation. The same applies to installers and dealers who have active incentive applications in process with us.

Customer Satisfaction

Honeywell understands that maintaining a high level of customer service is a key concern of utility companies. Providing outstanding customer service is a key Honeywell differentiator. For all programs Honeywell delivers, we incorporate customer service training into all aspects of our program operation from CSRs, to field staff, supervisors and management. We monitor and track team performance to ensure customers are being treated with proper respect and care. All of our programs measure customer satisfaction as a metric of program success. To ensure that the KPCo customers have an exceptional customer service experience when participating in the program, Honeywell:

- Uses supervisory staff who make unscheduled site visits while services are being performed to ensure the highest quality assessment possible;
- Contacts at least 5 percent of all participating customers through immediate follow-up calls after service by our supervisory staff;
- Contacts all customers who receive initial services from a CSR, making sure the customer understands any recommended major measures as well as supporting a call to action for these measures to be implemented. Ensure installers leave behind feedback forms that contain information on how customers can contact customer service.
- Reach out to customers through email requesting their feedback on program services through Medallia, our third-party quality assurance service provider. Other programs email a survey to the customer from BBCS on two occasions:
 - First, at the completion of an assessment;
 - Second at completion of the weatherization measures.

We have found this approach to improve customer satisfaction and provide invaluable feedback to the program allowing for better visibility into providing additional value for our customers.



- **Verify customer eligibility verifying that caller is a KPCo customer and qualifying their project**

All interactions concerning all accounts are tracked in BBCS, and the CSRs have daily reports to track customer appointments. Our CSRs would make phone contact with the customer to set up appointments. The available time windows are viewed on screen by our CSRs while they are on the phone helping the customer. We can also schedule appointments by email for those customers who prefer that medium.

Schedulers ensure that the customer fully understands the program and that any specific questions are answered. In addition, they qualify customers based on the program specifications and every effort is made to schedule the customer for an installation appointment at a time convenient for them.

If the customer prefers not to schedule an appointment during the initial call, they enter the participation backlog together with a note indicating when follow-up should be attempted (for example date of return from vacation, and so on.). In the interests of customer convenience through reducing the need for follow-up contacts, some initial pre-qualification is performed during the request intake process. These steps include:

- Utility residential electric account confirmation;
- Prior request pending;
- Owner or renter/landlord permission required;
- Number of central air conditioner/heat pump units;
- Whenever it is determined that a customer's residence or account does not meet program criteria, they are given a full explanation of the reason and requirements for future participation. All such customers receive verbal or mail notification (as appropriate) prior to request deactivation, and the opportunity to ask any questions or express concerns. If an alternative/similar program is available, they are provided information regarding those options.

Honeywell is able to send KPCo a file of appointments set each day or week for that period. Honeywell provides program participants with an appointment reminder call within 48 hours of the appointment. This call reminder system provides the ability for the program participant to speak with the installer for any questions or rescheduling needs.

- **Fulfill incentive payments within four weeks after equipment installation.**

Honeywell measures fulfillment time for rebates from the date that we receive the application.

If we have all the information required, we can fulfill within four to six weeks.

Some factors can speed the process:

- Web enrollment – if the customer enrolls online for the rebate, the turn-around time can be faster;
- Number of data points -- fewer requirements and fewer terms to qualify provide faster rebates to the customer;
- The rebate bank account is funded for that batch of incentive payments;
- The type of rebate influences the turn-around time. For example, a rebate for thermostats might be faster than for heat pump rebates.

- **Development of applications, forms, contracts, spreadsheets, and other necessary documentation**

Honeywell understands that we are responsible for design, printing, and dissemination of program applications, forms, contracts, spreadsheets, and other necessary

documentation needed for program delivery. Honeywell has a team of dedicated marketing professionals that assist our program manager in preparing the needed materials.

- **Recruitment and development of a robust trade ally network to support program objectives.**

As a current KPCo provider, Honeywell has already built a base network of service providers. For this program, we will leverage our relationships with BPI, ACI, Efficiency First, ACCA, and others to grow, broaden and strengthen the network to support the Whole House program. We have already identified nearly 100 potential new providers. Honeywell supports the KPCo current installers/trade allies by refreshing their training of audit and installation methods of providing assessments and provide one-on-one customer education on energy-efficient products and behaviors. Support the local installers in delivering the weatherization measures identified in the assessments

When additional installers are needed, Honeywell conducts outreach to the local open market trade allies through our affiliation with professional trade organizations, our extensive ContractorPro network and direct feet on the street contact with local trade owners and managers. When needed, we recruit and add additional installers for program delivery. Honeywell prepares all necessary program and participating installer documentation and executes participation agreements with those installers who agree to abide by program guidelines and protocols.

Upon completion, the installer transmits a completed work order along with all required data to Honeywell for processing of incentive payment. The Honeywell central data management system tracks all jobs and follows through to verify that all installation work is completed promptly and completely. A percentage of sites receive an on-site, post-installation inspection.

Throughout the life of the program, Honeywell supports the participating installers with ongoing phone contact, customer site contact, and on-site visits, providing materials, technical support, and training of new staff as needed. In particular, Honeywell notes what is successful about the high volume participation installers and educates other participating installers on how to improve their results.

- **Training of trade allies as well as internal KPCo resources, such as KPCo's account representatives, on program processes and procedures.**

Honeywell will provide training to all participating trade allies on program procedures, guidelines, protocols and installation requirements. In addition, Honeywell will provide ongoing support for technical issues and support for convincing customer to move forward with major measure installations. See above for additional trade ally training details. Our training for program processes and procedures extends to the KPCo account representatives.

- **Pre- and post- inspection procedures, as deemed appropriate.**

For all programs, our approach includes a rigorous structure of quality control of all submitted data and completed site work provided by participating installers to validate the quality and efficacy of measure installations and the customer education, as well as the level of customer service provided. A percentage of sites at or above 5 percent of program participants are inspected following measure installation to ensure that all materials are properly installed, program standards are met, program protocols and procedures are followed, and customers are well satisfied. This includes verification of equipment efficiency and correct installation, proper documentation, safe operating practices, quality of work, accuracy of data gathered and reported, and the quality of the

customer experience. In addition, Honeywell provides data capture and management, reporting of program activity and savings to KPCo, with all captured site visit and measure data delivered electronically.

Using our BBCS database, all interactions with the customer are recorded and available for review and reporting purposes. This allows Honeywell to manage the appointment process and track multiple sequential customer contacts until the customer's installation is successfully completed. Honeywell performs its own internal quality assurance audits by listening in on randomly-selected calls, both announced and unannounced to the CSR, and by conducting weekly analyses of call volumes and other metrics handled by each CSR, as well as such metrics as abandoned calls and escalated calls. We also invite our clients to visit our call center and review with us the same metrics, and listen in on calls if desired. The following are the steps we take to ensure high quality in every single customer interaction:

- In the field, the field supervisor is always available to assist an installer with a problem or to help answer any questions the customer may have that the installer cannot answer, although in our experience this is a very uncommon occurrence.
 - All field personnel must complete training, which includes a module on customer service, prior to assignment to the field. Any deficiencies in interactions with customers are immediately addressed, with the installer. We also are quick to provide recognition, in front of all our team members, of those installers who go "above and beyond" what is minimally expected of them in dealing with customers.
 - Quality control audits are performed by the field supervisor on 5 percent of each installer's sites, including ride-alongs, in-process reviews, and post-installation reviews. Any installer not meeting program quality and customer service guidelines is removed from active service and provided refresher training. After an installer is returned to active service a higher percentage of QC audits are performed on their work insuring that any deficiencies have been resolved.
- **Review and verify all applications, incentive requests, and supporting data for accuracy including, but not limited to, estimated demand and energy impacts.**
See our description of Honeywell Incentive Processing on page 35 for our approach to incentive processing.
 - **Development of an overall process, from customer application to final incentive payment.**
See our description of Honeywell Incentive Processing on page 35 for our approach to incentive processing.
 - **Working with KPCo on the evaluation, measurement and verification process to ensure conformity to regulatory rules and requirements.**
Please see our response to the Quality Assurance Section on page 26.
 - **Contractors are reminded that the objective will be to design programs to ensure continuity in program offerings throughout the contract period.**

We understand the KPCo need to analyze program results and effectiveness and we are pleased to offer our experience and capabilities in this area. In addition, Honeywell understands that the objective is to design programs to ensure continuity in program offerings throughout the contract period.

Marketing

Please discuss your approach and capabilities to develop marketing and outreach plans. This task will involve working with KPCo program staff to develop a final Program marketing plan and ensuring the KPCo “brand” look and feel is maintained.

Please address, although you are not limited to, the following areas in your proposal:

- Bidders are asked to provide the option for full Program promotion and marketing aimed at achieving the specified participant levels for each program year. KPCo may opt for the Contractor to provide full marketing, may opt for a mix of Contractor and KPCo marketing, or may opt for full KPCo marketing. Contractor should provide their estimate of full Program marketing, as a separate line item, to allow KPCo to fully assess this option.
- Using the KPCo - Budget Matrix, provide a marketing cost estimate for full Program promotion and marketing. Please list and detail the services that are associated with your marketing costs.

Please see our marketing worksheet in **ATTACHMENT C**.

For all the following requirements, upon contract award the Honeywell team meets with KPCo to establish all marketing requirements. Please see our *Honeywell Marketing* section, which follows.

Please discuss your approach to develop a marketing plan to support the Program. Your description should include the following:

- Marketing channels that you would expect to employ, including a description of how you would coordinate with retailers and your approach to relationship management.
 - Types of marketing material you envision developing.
 - The types of messages that your approach would convey.
 - Distribution methods for marketing materials.
 - Ensuring the KPCo “brand” look and feel is maintained.

Please see our Honeywell Marketing Section on page 31.

- Describe, in your opinion, the best marketing approach to keep participants engaged and to generate continued savings. How do you anticipate that these approaches will change over time? Please give examples.

Please see our Honeywell Marketing Section on page 31.

- Describe actions you can take to identify and segment Program trade allies and facilitate their awareness and participation in the program.

Please see our Honeywell Marketing Section on page 31.

- Given your understanding of the KPCo market, explain your initial proposed marketing strategy for the program, milestones, and timeline.

Please see our Honeywell Marketing Section on page 31.

- Review your previous experience and capabilities to develop program materials, including customer agreements and applications, technical support guidance documents, outreach presentations, and marketing collateral (such as customer brochures, fact sheets, radio, newsletters, print advertisements) to communicate to customers and Program allies.

Please see our Honeywell Marketing Section on page 31.

- Describe your creative design, graphic arts, and messaging skills. Include examples of previous creative marketing and technical support pieces as an appendix to your proposal.

Please see our Honeywell Marketing Section, which follows.

- Include in your proposal appendix examples of previous marketing materials prepared for other clients.

Please see **ATTACHMENT D – Marketing Materials**.

Honeywell Marketing

Honeywell's marketing team has developed a strategic plan to migrate KPCo's MEF program to the Whole House program. The new plan includes our current tactics (direct mail, bill inserts, and telemarketing) which are delivering a steady stream of qualified audit participants, and augments those tactics with strategies to increase customer investment in home improvement measures following their audit.

Honeywell will carefully track the response to each marketing initiative put in place for KPCo and develop regular reporting that is customized to the needs of the program, target customer segments and goals. Participant data will be tracked and analyzed to provide intelligence for forward planning and refinement of the marketing strategies.

Upon contract award, Honeywell meet with KPCo to discuss the details of this plan, and following those discussions, we will present a final plan for approval. Honeywell will submit an annual marketing plan and budget to KPCo each year. All marketing plans and materials will be reviewed with KPCo and receive written consent prior to execution. All use of trademarks and logos will consistent with KPCo branding requirements.

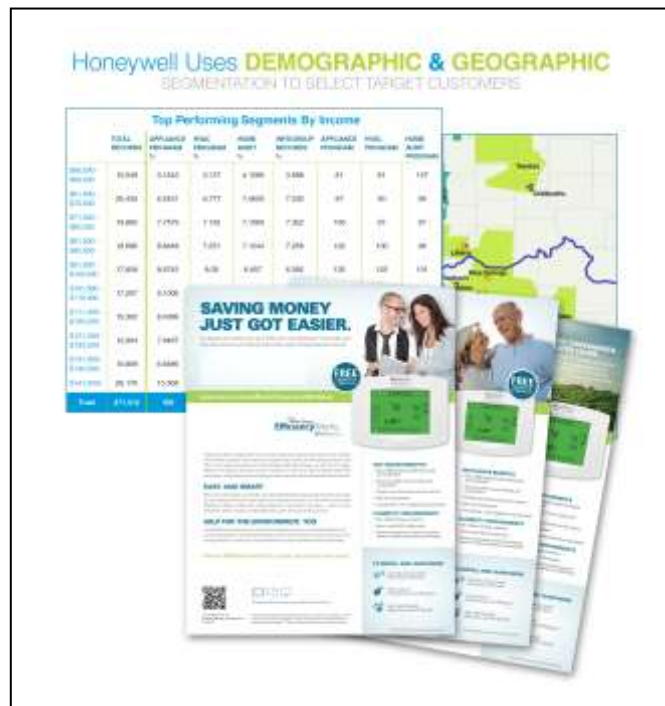
Superior Recruitment...Highly Cost Effective Results

Honeywell has successfully recruited over 1.4 Million participants for utility programs in the past four years alone. Through our experience for over 30 years, we have developed a deep understanding of the opportunities and challenges of marketing utility programs, as well as an advanced segmentation approach using predictive analytics to identify customers likely to qualify, likely to respond to the program offer and likely to benefit from energy efficiency home improvements.

Armed with this data and experience, our innovative recruitment approach represents a competitive advantage relative to that of any other third party, positioning Honeywell to deliver results that are highly cost effective. Our newest data analytics approaches are delivering **105 percent higher response rates on average** over traditional customer segmentation approaches and **46 percent lower cost per customer acquisition** on average. These analytics will drive the effectiveness of the programs direct marketing campaigns.

Honeywell's highly focused and targeted marketing approach hinges upon two key factors:

- Identification of customers who are program eligible and predisposed to participate;
- Recruitment of eligible customers to participate in the program, once they are identified.



Targeted Audit Recruitment Direct Mail Campaigns

Honeywell will deploy targeted direct mail to customers identified as likely to qualify for the Whole Home program based on Honeywell's proprietary predictive analytics.

Honeywell has planned two audit recruitment direct mail campaigns, one in spring and one in fall, each year with multiple drops. The mail pieces will include a well-defined offer and a call to action. Direct mail designs will benefit from Honeywell's Sell Smart Analysis, a scientific approach to evaluating creative design to promote higher response rates using eye tracking software, as well as an independent panel of third-party direct mail experts to provide input prior to production.

Honeywell will manage the entire direct mail process - from selecting the target data sets and preparing the mail pieces, to releasing the mail batches in accordance with the planned operations. The direct mail model used is one that affords operational efficiency and flexibility to drive enrollments where we need participation.

Audit Follow Up Outreach Campaigns

To increase participant post-audit investment in home improvement measures, Honeywell will deploy direct mail and telemarketing campaigns to recent audit participants and customers who received audits in previous program years.

Recent Audit Participants

Honeywell has budgeted for direct mail and telemarketing follow up with recent audit participants. Both direct mail letters will be personalized to each customer and focus on specific audit recommendations and estimated energy savings for customized to each home. One mailer will be sent approximately 5-6 weeks after the audit takes place, and include call to action to either visit the program web site to find a contractor, or call the program office for additional information and support. An additional personalized mailer will be sent at a later to customer who have not taken follow up action. In addition, Honeywell will contact customers with high potential energy savings using telemarketing.

Former Audit Participants

Former audit participants from previous years are also strong targets for program rebates through energy efficient home improvements. Honeywell has planned annual direct mail campaigns to these customers to encourage them to visit the program web site or call the program office to find out about the rebates being offered.

KPCo Customer Communication Channels

Honeywell also included leveraging any available existing KPCo customer communication channels such as bill inserts, social media, and e-newsletters to promote the program. Honeywell has included funding to create bill insert designs and can provide content for these channels.

Trade Channel Development

Honeywell has also included funding to support ongoing trade ally development and communications. These outreach efforts will support Honeywell's field outreach team as they recruit and work directly with participating program contractors to promote installation of qualified major measures. Honeywell will provide participating contractors with program literature and forms for handout to their customers. Throughout the contract, Honeywell will analyze contractor performance to identify underperforming contractors and implement a plan to improve program participation through this channel. Lastly, Honeywell will conduct ongoing outreach with contractors through quarterly email

newsletters. We may also develop training and reward programs to promote increased activity from the channel.

Multifamily Recruitment

Upon project startup, Honeywell will conduct market assessment to build out a target list of properties that are likely to meet eligibility criteria for participation in the program. This list will include contact information and be provided to Honeywell field outreach team for direct sales follow up. Honeywell's field outreach team will have materials to explain how the program works to property owners and managers.

To support on-site operations, Honeywell will create tenant communications materials such as pre-install letter to communicate what their unit will receive and when, day-ahead door stickers to let tenants know the installs will occur the following day, and a leave behind flyer to explain additional rebates.

Program Collateral Materials

To support customer communication and program participation, Honeywell has included funding to create new program brochures and rebate application forms, as well as maintain existing program literature.

Web Site

Honeywell will expand the current program website with additional information. From the site, KPCo customers can learn more about the major measures benefits and rebates benefits, and locate a participating contractor and request as audit.

- **Contractors should describe their proposed approach and experience with incentive processing and data tracking. The Contractor is expected to keep KPCo well informed of the Program's progress. This communication is expected to be both informal (i.e., phone calls and e-mails), through on-line/real-time systems and through formal reporting.**

Incentive Processing and Data Tracking

For all the following requirements, upon contract award, the Honeywell team meets with KPCo to establish all reporting requirements. We are confident that we can meet all of the above reporting requirements. Please see our Honeywell BBCS Database Management and Reporting section starting on page 34.

- **Database and automated reporting systems - The Contractor should maintain a program reporting database that tracks all aspects of the Program provided in a mutually agreeable electronic format. The database should be an existing, fully-debugged system capable of providing information to KPCo as requested. Preference will be for a data tracking system that is capable of being fed into KPCo's data tracking system and provide a Program "dashboard" showing updated key indicators. Key indicators may include customer participation levels compared to targets, the type and number of measures implemented, the amount of budget spent/remaining, and energy savings compared to targets.**

- **Submit monthly invoices documenting services provided, including:**
- **Customer name and address**

Please see our Honeywell BBCS Database Management and Reporting section starting on page 34.

- **Existing equipment, installed equipment, equipment cost, labor cost, incentive amount, energy and demand impacts, baseline data (standards), hours of operation, brand / model number, fixture quantity, and other related data**

Please see our Honeywell BBCS Database Management and Reporting section below.

- **Please describe your approach to reporting on key program metrics and operational milestones, establishing new performance metrics and milestones as needed, and overall ability to track progress.**
Please see our Honeywell BBCS Database Management and Reporting section below.
- **Please provide a complete listing of the data that will be captured by the Contractor as part of this Program.**
Please see our Honeywell BBCS Database Management and Reporting section below.
- **KPCo reserves the right to request additional data to be collected in order to properly and effectively evaluate this Program**
Please see our Honeywell BBCS Database Management and Reporting section below.
- **Submit monthly and quarterly reports summarizing Program activities, impacts, and results, including data from invoices. However, KPCo will require detailed customer, program, and measure data from the Contractor on a regular basis.**
Please see our Honeywell BBCS Database Management and Reporting section below.
- **Provide an overall program annual report for each calendar year. Annual reports are tentatively targeted for 30 days following the close of the Program year.**
Please see our Honeywell BBCS Database Management and Reporting section below.
- **A hard copy report may be required along with an electronic database report (Excel or Access) reflecting all pertinent customer and pre- / post- data.**

Honeywell BBCS Database Management and Reporting

Upon award, Honeywell works with KPCo to define the specific data elements, report formats, and reporting frequency that best meet the program reporting requirements. Reports are available on the web, as well as nightly, through email. In addition, we can provide KPCo with a web portal.

- Honeywell uses our BBCS database management system to track all customer activity through the lifecycle of a program. The system features management reporting, import/export interfaces, audit trail features, transmission logs, data quality audits, and bar code implementations for higher levels of data quality assurance. With BBCS, Honeywell implements File Transfer Protocol (FTP) and encryption service for protection of transferred files/data.
- KPCo has access to all available data in real-time for both viewing and reports. Specific categories for data collection include, but are not limited to:
 - Participation history
 - Work quality
 - Customer service issues, including program feedback and complaints, which leads to service calls and follow-up actions
 - Production and daily/weekly/monthly installations completed
 - Store participation, sales by store, number of each item sold, and so on

Reporting is possible on any data within the system, and the reports can be comprehensive in content and presentation. Reports can contain data on (where applicable):

- Scheduling activity

- Program quality assurance
- Detailed program participation data
- In-process, deactivated, and completed participation
- Backlog management
- Complaint resolution
- Marketing activity
- Rebate fulfillment activity
- Customer enrollment status

Built into BBCS is a set of standard management reports used to review and manage program status. Described below is a sample of the standard set of BBCS reports.

- Management Summary – A standard backlog report that presents the number of customer enrollments for a date range, by work order type and status
 - Night Owl Report – A production report for each day's activity is run at the conclusion of each day's field work, and available to KPCo in the early evening using email or FTP upload
 - Status History Report
 - Participant Summary and Detail – A list of all the completed enrollments and services performed for a date range
 - Production Report – A list of the participants who received program services within a date range
 - Invoice Processing
 - Invoice Back-up Report
- **Please describe your approach to incentive processing. Detail the processes that you have in place internally, or with subcontractors (if applicable).**

Honeywell Incentive Processing

Honeywell has been processing rebates for utility-sponsored energy efficiency programs since the 1980's. During this time, Honeywell has processed over two million rebates. Honeywell has established validation processes, standardized reporting, rebate application design and fulfillment options to facilitate and ensure a timely rebate experience, focusing on customer and client satisfaction.

Incentive Validation Processing

Your program has a defined protocol for ensuring that program-specific requirements are met prior to incentive fulfillment. Upon receiving a customer or installer rebate application, the application and accompanying documents are reviewed for validation. The submissions are validated systematically. If any exceptions are generated, the submission is manually reviewed for further evaluation.

Incentive Data Management and Reporting

Honeywell has developed standard management reports that track the status and progress of submissions. Reports are available to KPCo as defined in the program start-up. Honeywell can provide time specified summary reports with detailed program activity. Our Program Manager is responsible for monitoring and analyzing reports, identifying trends, and providing program forecasts and projections to aid in planning for incentive processing resources. Honeywell coordinates regular face-to-face meetings with the KPCo team, as agreed upon during program start-up.

Incentive Checks as Payment Option

For residential incentives valued at less than \$1,000.00, Honeywell recommends direct payments to customers, using checks. We believe these checks can play an important role in the incentive process as KPCo Whole House Efficiency Program evolves.

Please note: wire transfers are a more appropriate mechanism for secure payment of incentives to trade allies. Honeywell would also be pleased to discuss this further with KPCo.

Account Funding/Payment Processing

Honeywell maintains a bank account for the purpose of issuing the KPCo incentive funds. KPCo provides funding prior to issuance of incentive payments.

Honeywell applies numerous fiscal controls to the production and release of checks. After passing the program specific screening reviews, a series of quality assurance checks are run within the main tracking system. All necessary inspections and qualifications are completed and verified before the record can move on to a “payment-authorized” status, and individual customer records are then appended with the batch creation date.

The Honeywell program manager then creates a detailed batch request for KPCo’s approval. This request contains pertinent customer information that aligns with the invoiced funding request. Wire transfers are sent to a specified Honeywell account for invoice payment. Account funding levels are confirmed and referenced back to the batch request detail.

We track all critical data required to produce each check, including the account number and authorizing signature. Once a check is produced, and before it is released, the system automatically initiates the “Positive Pay” system through our bank. This additional control electronically details the check number, payee, and amount of the check from Honeywell’s system to the bank’s system prior to the check being released. Checks submitted for payment at the bank are crosschecked against Honeywell’s data file and cannot be cleared unless there is a perfect match. If a non-match occurs, our bank flags the transaction and the Honeywell Fiscal Coordinator is notified automatically by email.

It normally takes from one to six weeks for an individual to receive a rebate check following the submission of an application. The single greatest factor involved in turning a rebate around quickly lies with the customers themselves. Our rebate application forms are created to help the customer understand the process and supply the necessary documentation correctly and fully with their initial request for a rebate. However, should the customer fail to send the necessary documentation, or should the application arrive incomplete, the customer is contacted for needed information, understanding that this adds time to the rebate fulfillment. Other factors such as a mandatory Quality Assurance checks or funding of the bank account can also occasionally affect turn-around time. Honeywell monitors average turn-around time for every program.

Qualifications and Experience of Key Personnel

Please see the Management Plan Section on page 38.

Subcontractors

- **Bidders must clearly specify any subcontractors who are retained by the bidder at the time of the application and/ or who are expected to perform work as a subcontractor in connection with this project. Provide the same detailed information regarding subcontractors’ project staff as requested above for the Contractor’s proposed staff. The**

bidder must obtain the prior written consent from the KPCo to use any subcontractors who are not included in the original bid submission.

As Honeywell is proposing an open market trade ally delivered program approach, we will be the prime installer for all services and will only utilize Performance Systems Development (PSD) for software support and Blackhawk to assist in processing incentive payments.

Please see **ATTACHMENT B - Proposed Schedule.**

Management Plan

For the Management Plan, please describe how the approach to the Scope of Work will be organized and managed. Contractors are requested to describe their firm's experience and capabilities in managing, delivering, and implementing the tasks requested in this RFP. Contractors must provide detailed information on their overall core team qualifications and experience.

Honeywell Qualifications

- Provide a brief description of the Contractor's company and the services it provides including number of employees, office locations and capabilities. Describe the business structure under which the Contractor's typically operate (i.e., -for-profit corporation, not-for-profit corporation, partnership, etc.).

Minimum Qualifications

The Installer team responding to this RFP must have at least the following qualifications to be considered for selection:

- At least five years of experience with design, delivery, and marketing for residential program initiatives for utility sponsored programs or other system benefit charge funded programs. **Honeywell fully complies.**
- Specify certifications relevant to personnel qualifying them to conduct residential audits and issue recommendations to residents. **Honeywell fully complies.**
- Capability to design forms, develop a robust trade ally network to deliver the Program, review applications for completeness and accuracy, process incentive checks, and all of the other needed expertise to effectively deliver residential utility-sponsored programs in a turnkey manner. **Honeywell fully complies.**
- Demonstrated commitment to quality and customer service. **Honeywell fully complies.**
- Ability to conduct work immediately upon contract execution. **Honeywell has the ability to launch upon contract execution**

Honeywell Overview

For more than 35 years, Honeywell has provided utilities with industry-leading technologies and strategies from automated demand response and energy solutions to utility customer communications. Working with over 60 utility clients across North America, Asia, Europe, and Australia, Honeywell has delivered innovative programs and solutions to help utilities exceed their demand management goals. Energy and sustainability solutions are just the beginning. In addition, Honeywell helps utilities engage customers for program participation create and implement energy management systems, measure and verify energy and demand savings and serve their commercial and residential customers reliably and efficiently. Simply put, for utilities around the world, the partner of choice is Honeywell. Our service offerings include Demand Response (DR), Energy Efficiency, and program management.

We have designed, implemented, and managed some of the most innovative and successful energy programs ever delivered and currently deliver five multi program portfolios for electric and gas utilities. We have helped energy utilities issue literally millions of rebates for efficient measures. We have deployed some of the most inclusive program operations, collaborating with local installers and retailers to maximize market penetration, energy efficiency outcomes, and customer satisfaction. Honeywell has delivered dozens of large-scale and small-scale energy efficiency programs over the past decades including everything from quick check walk-through audits to

comprehensive Modified Energy Fitness Program with ENERGY STAR programs to the installation of DR enabled thermostats.

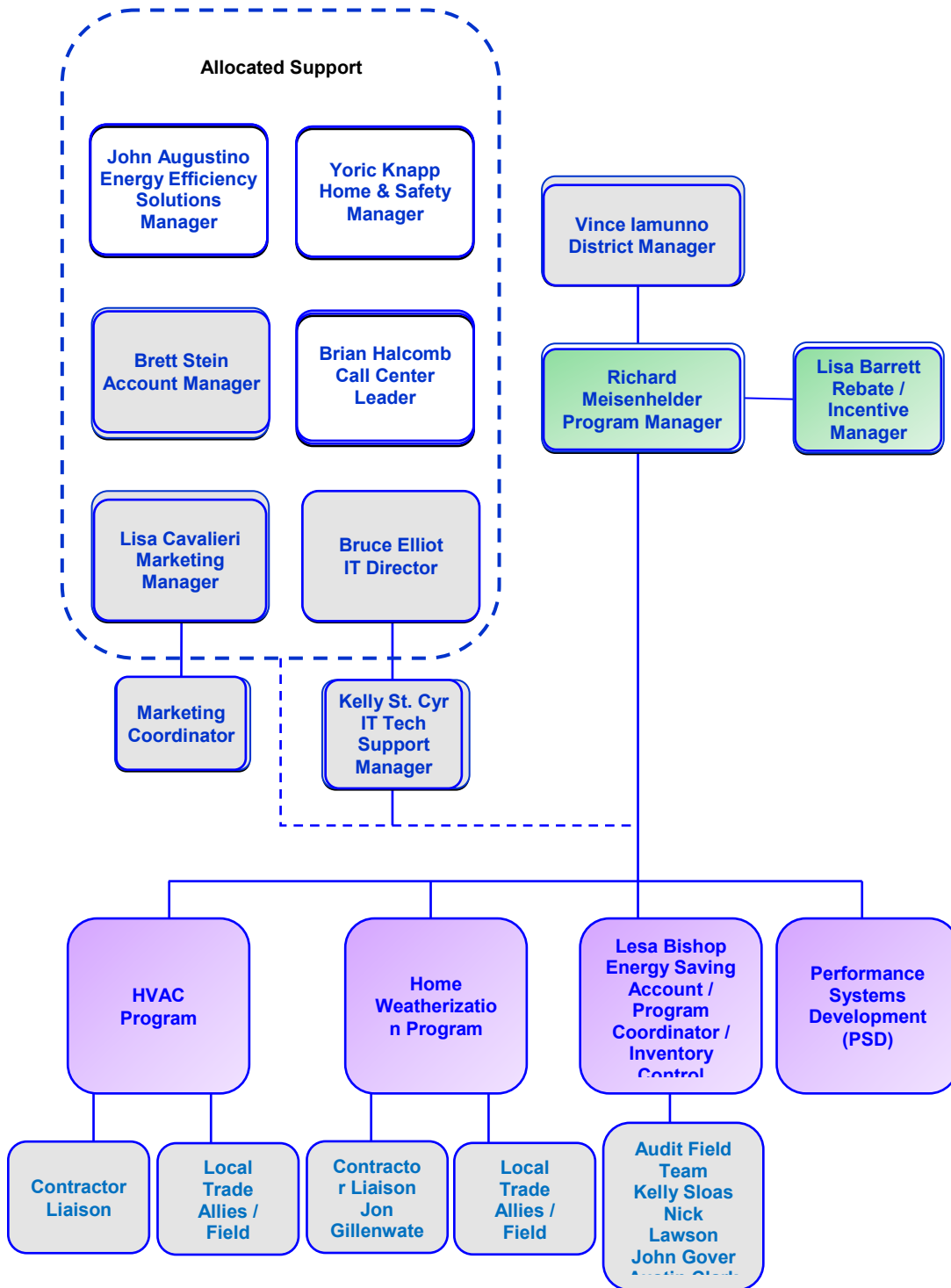
Honeywell has provided services for utilities since 1995, including projects for Dominion Virginia Power (DVP), Ameren Missouri, FirstEnergy Pennsylvania, and N.J. Board of Public Utilities – Office of Clean Energy. Additionally, with our long-standing relationship with KPCo, we will have a head start on combining your programs. (Please see our **Error! Reference source not found.** section later in this proposal.)

The Benefits of Collaborating with Honeywell

- **Turnkey Approach**— An integrated comprehensive solution that provides energy efficiency and customer engagement while addressing the residential market in a single coordinated approach
 - **World class manufacturer of energy efficiency and demand response devices**— Manufacturer of industry leading energy efficiency and demand response home and building products including programmable and Wi-Fi thermostats
 - **Best in class marketing team experienced in community aggregation** — The opportunity to engage the Honeywell in-house marketing expertise, which has been developed specifically for utility energy management programs; this expertise includes the deployment of predictive analytics and targeted marketing to deliver consistently high program participation rates in a cost-effective manner.
 - **Experienced energy efficiency and demand response staffs**— Established local program team members that have extensive experience delivering program services to the KPCo customers; we build on this existing team as needed.
 - **Customer oriented, satisfaction minded** — A customer-centric approach that makes customer participation easy, provides customer education, and verifies customer satisfaction levels with a third-party survey tool.
 - **A successful third-party entity**— We are a versatile company able to deliver all major program aspects including hardware, software, and implementation services such as measure installations and marketing/outreach.
- **Include the Contractor’s management and organizational chart to accomplish the tasks included in the Scope of Work. Indicate position, title, job responsibilities, and percentage of Full-Time Employee (FTE) equivalent. Clearly specify any subcontractor mark-up percentage.**
See page 40 for the KPCo Organizational Chart.
 - **Provide the professional experience and resumes of partners, principals, and employees in the Contractor’s company who will be responsible for, and actively involved in, the provision of professional services related to this RFP including the appropriate evidence of accreditation, certification, or licensing in their respective stated professions. Resumes and bios should describe relevant responsibilities from other projects that will help to evaluate the qualifications and experience of key personnel.**
A list and short description of key personnel follows.
 - **Include the Contractor’s management and organizational chart to accomplish the tasks included in the Scope of Work. Indicate position, title, job responsibilities, and percentage of Full-Time Employee (FTE) equivalent. Clearly specify any subcontractor mark-up percentage.**
See our **ATTACHMENT F - Honeywell Organization Chart.**

- **Provide the professional experience and resumes of partners, principals and employees in the Contractor's company who will be responsible for, and actively involved in, the provision of professional services related to this RFP including the appropriate evidence of accreditation, certification or licensing in their respective stated professions. Resumes and bios should describe relevant responsibilities from other projects that will help to evaluate the qualifications and experience of key personnel.**

Organization Chart



Note; Program Coordinator, Field Auditors and Trade Allies will all be centrally located to KPCo service territory.

Legal Claims

- **Contractor must identify any pending legal or administrative action to which it is a party, and any judgments that have been rendered against it. KPCo reserves the right to reject any bidder that is party to pending legal action or against which judgments have been rendered, or that has a history of claims against it if KPCo believes that these affect the ability of the Contractor to perform.**

Honeywell is a Fortune 100 corporation. As such, sometimes it is named as a party in lawsuits throughout the world, often in instances when it is not at fault, or receives a claim alleging that it did not complete work. Due to the nature of such litigation and claims, it is not always possible to determine whether lawsuits or claims of a particular kind are pending against Honeywell at any given time, except as disclosed in the Honeywell 10K, 10Q, and other regulatory filings. None of these lawsuits or claims has a material adverse effect on Honeywell's financial standing or its ability in any specific instance to perform in accordance with its contractual commitments.

Budget

KPCo seeks to achieve cost efficiencies through the possible selection of a Contractor to implement multiple programs. If more than one program is awarded to the same Contractor, there may be an opportunity for cost savings in certain areas of the budget.

Separate budgets shall be proposed based on the cost of providing services for each individual program. If contractors are bidding on multiple programs, it is the expectation of KPCo that the proposal and pricing documents will reflect efficiencies in both process and pricing. Contractor may decide what type of discounts to offer across multiple programs or multiple operating companies but the discounts must be clearly designated and defined in the proposal.

If the Contractor has alternative methods of demonstrating where cost efficiencies can be achieved, the Contractor should detail the alternative approach and indicate where the discounts or cost reductions can occur.

Note that it is not required for a Contractor to bid on more than one program or service. In fact, Contractors are encouraged only to bid on those programs that they have the highest level of proficiency to deliver cost effectively and with high levels of customer satisfaction.

Honeywell intends to leverage the existing KPCo Modified Energy Fitness Program that is already in place to achieve certain economies of scale for the Whole House Program. In addition to this Honeywell intends to participate in the bidding processes ongoing at PSO Oklahoma and AEP Texas Central to achieve, potentially, even greater savings across the board. The exact amount of savings achieved will be dependent on the project mix up for award.

Contractors must include, as a separate document, a copy of their escheatment process for review by KPCo.

Honeywell currently does not offer escheatment service to our customers.

Bidders should provide all budget line items as a not-to-exceed cost. Bidders should provide a time and materials budget for the tasks outlined in the Scope of Work.

In the budget proposal, the following information should be provided:

- For each key staff person and by labor classification for junior staff, provide hourly rate, hours per task, and dollars per task for each program. Staff of the Contractor and subcontractors should be clearly identified.
- Non-labor costs per task per program per year. Non-labor costs should be broken out as follows:
 - Incentives: Dollars given to customers in the form of rebates, incentives or instant discounts.
 - Marketing: Implementation contractor costs associated with marketing, outreach and education of customers and dealers, as applicable.
 - IT Reporting: Costs associated with data transfers and tracking activities.

Note: Costs should be reported at actual cost with no other indirect costs.

- Please fill out the attached spreadsheet entitled “KPCo RFP - Budget Matrix”. Figures provided by Contractor in Budget Matrix should reflect annual costs associated with the respective program year.

Please see **ATTACHMENT G – Budget Matrix**.

Compensation and Discount Structures

KPCo is interested in meaningful and creative responses that will help ensure goals are achieved. All alternative compensation structures will be considered and subject to negotiation. Contractors, at their discretion, may propose:

- **Performance Incentives & Penalties:** Contractors may propose a performance incentive structure which would reward contractors for achieving goals, under budget. The amount of potential performance incentive must be factored out of stated available Contractor budgets, after accounting for projected Program delivery costs. If Contractors propose a performance incentive, then Contractors are requested to propose an equivalent damage structure for failure to achieve goals, or a justification for why a penalty structure is not appropriate.
- **Hold Back:** Contractors may propose a portion of their invoices be “held back” in good faith, until annual performance goals are achieved. Specify payment policy on holdback/performance payment.
- **Other:** Contractors may propose other compensation or performance incentive structures for consideration.

Additionally, KPCo seeks to achieve cost efficiencies through the possible selection of a Contractor to implement multiple programs. If more than one program is awarded to the same Contractor, there may be an opportunity for cost savings in certain areas of the budget.

Separate budgets shall be proposed based on the cost of providing services for each individual program. If Contractors are bidding on multiple programs, it is the expectation of KPCo that the proposal and pricing documents will reflect efficiencies in both process and pricing. Contractor may decide what type of discounts to offer across multiple programs or multiple operating companies but the discounts must be clearly designated and defined in the proposal.

If the Contractor has alternative methods of demonstrating where cost efficiencies can be achieved, the Contractor should detail the alternative approach and indicate where the discounts or cost reductions can occur.

Note that it is not required for a Contractor to bid on more than one program or service. In fact, Contractors are encouraged only to bid on those programs that they have the highest level of proficiency to deliver cost effectively and with high levels of customer satisfaction.

Honeywell intends to use the standard Service Level Agreement in place with the Modified Energy Fitness Program for this Whole House Program. It includes a three percent revenue contingency based on mutually agreed upon performance metrics (see Page 10 for SLA details).

Attachments

Financial information requirements

- **ATTACHMENT A – KP Home Performance Incentive Totals and Major Measures**
- **ATTACHMENT B – Proposed Schedule**
- **ATTACHMENT C – Marketing Worksheet**
- **ATTACHMENT D – Marketing Materials**
- **ATTACHMENT F – Honeywell Organizational Chart**
- **ATTACHMENT G – Budget Matrix**
- **ATTACHMENT H – Certificate of Insurance**
- **ATTACHMENT I – Security Questionnaire Supplement**

Contractors are requested to demonstrate that they have the financial resources and stability to perform the proposed work.

- Note any other related and pertinent financial information or disclosures that the Contractor considers important.
- Specify any preferred or desired financial terms that will facilitate your firm's ability to respond to this RFP.
- Contractors must demonstrate that they have the financial resources to perform the proposed work; for example, three years of financial statements for their firm and any significant subcontractors, which should include a profit and loss statement, a cash flow statement, and a balance sheet (SEC form 10-K, or equivalent, is acceptable).
- A non-public or non-profit entity shall provide adequate information comparable to the information required above that allows an assessment of financial status and capability.
- In the event a Contractor is forming a new organization to bid on this proposal, the Contractor should provide comparable documents from investors, partners, and/or principals.
- Contractors must clearly identify the accounting method that they propose to utilize throughout the term of the contract.
- Please provide your Certificate of Insurance to AEP Procurement.

Please see **ATTACHMENT H – Certificate of Insurance**.

Corporation, DUNS number 13-969-1877, D&B Rating 5A2

Honeywell Financial Data(in millions of U.S. Dollars)				
Results of Operations				
	2014	2013	2012	2011
Net Sales	\$40,306	\$39,055	\$37,665	\$36,529
Net Income	4,329	3,962	2,931	2,074
Financial Position at Year-End				
	2014	2013	2012	2011
Cash	\$6,595	\$6,422	\$4,634	\$3,698
Total Assets	45,451	45,435	41,853	39,808
Long-term Debt	6,046	6,801	6,395	6,881

Corporate Website address:

www.Honeywell.com;http://investor.honeywell.com/phoenix.zhtml?c=94774andp=irol-fundSnapshot

ATTACHMENTS

➤ **ATTACHMENT A – Proposed Schedule**

➤ **ATTACHMENT B – Marketing Worksheet**

KY Pwr Home Performance Program Worksheet

Instructions

▶ **Sales Person: Please fill out form completely. All information must be completed prior to the development of a marketing plan.**

Utility Name:	Kentucky Power			
Number of Residential Customers:	110,000 res SF customers	30,000 MF customers		
Is this an existing program?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
Type of marketing required:	<input checked="" type="checkbox"/> Program Specific Only <input type="checkbox"/> Program Specific & General Awareness			
Program eligibility requirements: (check all that apply)	<input checked="" type="checkbox"/> Electric Customer <input checked="" type="checkbox"/> Multi-Family <input type="checkbox"/> Gas Customer <input checked="" type="checkbox"/> Single-Family <input type="checkbox"/> Low Income Customer <input type="checkbox"/> No Eligibility Requirement <input type="checkbox"/> Other, Please Specify: _____			
Number of eligible customers: (if available)	30,000 res SF customers 15,000 MF customers			
Estimated marketing budget: (if available)	No budget specified			
Type of audit: (check all that apply)	<input type="checkbox"/> Online Audit <input type="checkbox"/> Walk Thru Audit <input checked="" type="checkbox"/> Duct Blaster <input type="checkbox"/> Home Performance <input checked="" type="checkbox"/> Blower Door <input type="checkbox"/> Other, please specify: _____ Home Performance Trade Ally delivered audits			
Number of participants per year:	Year 1	1500 - 1600 SF, 250 - 300 MF		
	Year 2	1600 - 1700 SF, 290 - 440 MF		
	Year 3	1700 - 1800 SF, 380 - 520 MF		
	Year 4			
Weatherization measure volumes per year (2016, 2017, 2018) :	Air Sealing & Attic Insul	2016 - 115,	2017 - 124,	2018 - 122
	Wall Insulation	2016 - 30,	2017 - 32,	2018 - 34
	Basement Wall Insul	2016 - 5,	2017 - 6,	2018 - 7
	Crawl Space Insul	2016 - 10,	2017 - 11,	2018 - 12
HVAC measure volumes per year:	Heat Pump Upgrades	2016 - 60,	2017 - 65,	2018 - 70
	HP replacement of EBB	2016 - 2,	2017 - 3,	2018 - 4
	Ductless MS HP replace EBB	2016 - 10,	2017 - 14,	2018 - 20
	Smart Tstat	2016 - 100,	2017 - 180,	2018 - 300
How aggressive are these goals? (for discussion)	They are fairly aggressive given the size of the population , however, this will be a trade based program so the trades will drive some of the enlistments and there has been no historic program			
Mission of program: (check all that apply)	<input checked="" type="checkbox"/> Customer Education <input checked="" type="checkbox"/> Direct Install <input checked="" type="checkbox"/> Major Measures <input checked="" type="checkbox"/> Cross Marketing			
Is there a customer co-pay? How much?	Market Based Incentive at \$200 cost over that			
Direct installed measures: (check all that apply)	<input checked="" type="checkbox"/> CFLs <input type="checkbox"/> Tank Wrap <input checked="" type="checkbox"/> Pipe Wrap <input checked="" type="checkbox"/> Bath Aerator <input checked="" type="checkbox"/> LED Nightlight <input checked="" type="checkbox"/> Kitchen Aerator <input checked="" type="checkbox"/> Showerhead <input checked="" type="checkbox"/> Smart Strips <input type="checkbox"/> Other, please specify: _____			

➤ **ATTACHMENT C – Marketing Materials**

The Power To Save Is Now Automatic

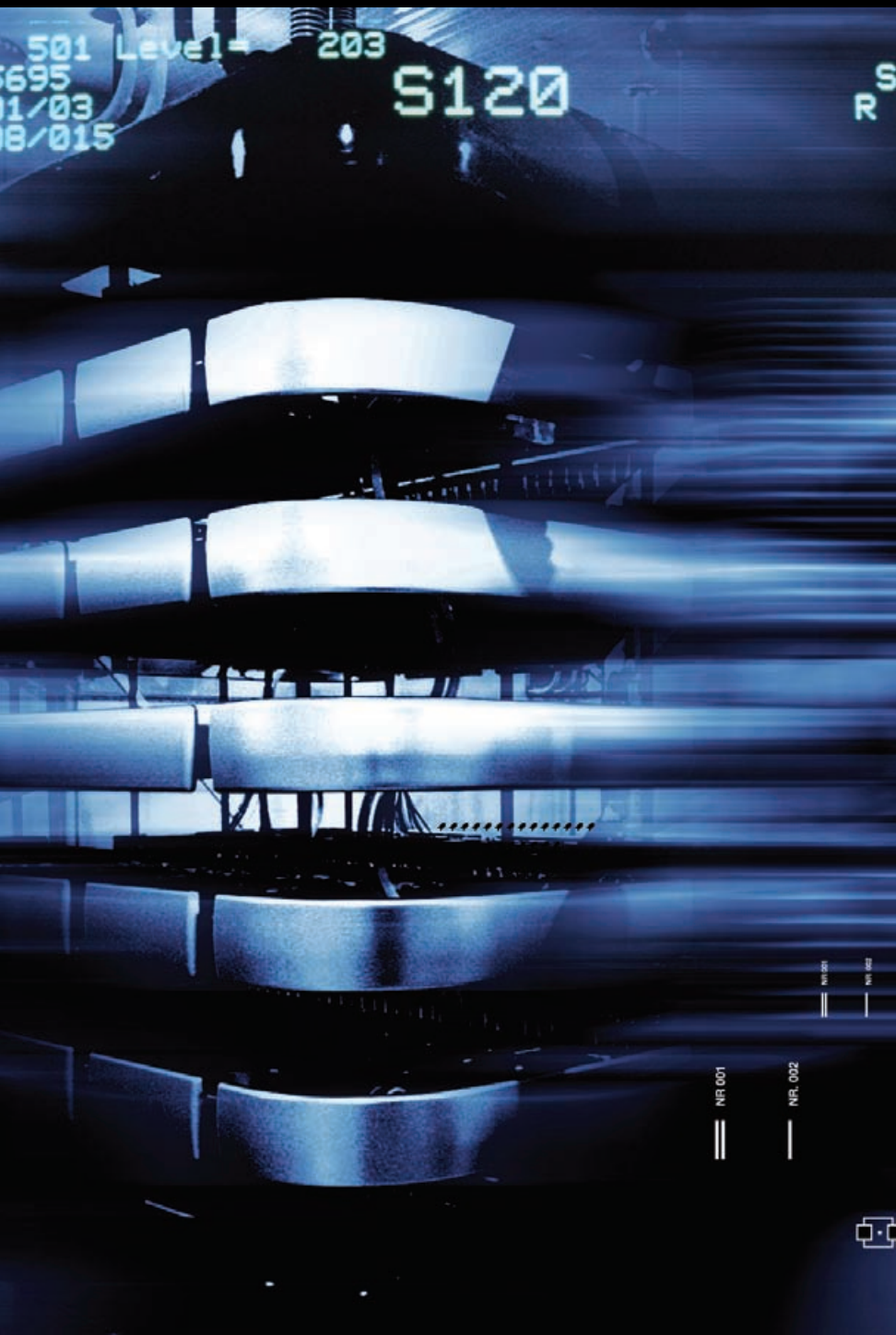
Honeywell



**Peak Events Demand
A Powerful Response**

The Perfect Response to Peak Events

With Honeywell's Automated Demand Response (Auto DR) solution, you can earn the maximum energy credits and avoid the risk of experiencing electricity pricing that can skyrocket by as much as 15 times higher than normal rates during peak events. Finding a solution to curtail your facility's power needs during these events can save you thousands of dollars in costs every year. Honeywell's Auto DR solution is here to help your facility avoid energy cost perils and focus on earning energy credits – automatically.



The Choice is Clear— And Automatic

When it comes to avoiding peak events, or earning maximum energy credits, the Auto DR solution from Honeywell is the obvious option. It directly connects you to your utility through our state-of-the-art software and interface. And it automates all of your preset strategies for shedding load through the peak period. Everything with the Honeywell Auto DR program is simple and automatic. The implementation is turnkey and can be tailored to your facility's specific needs. Once Honeywell helps you define your peak period and load-reduction plan, the system handles everything. Minimal headaches. Maximum savings.

Facility managers that try to manually navigate these “peak periods” have discovered there is a steep price in trying to “do it yourself.” Besides the stress on their schedule and staff, they usually end up paying far more than they hoped to save – due to inefficient response to the peak event and lost incentives. Also, third party aggregators that offer to manage the load shifts for you often pocket the savings and limit your level of control.

Honeywell's solution is different. We offer you real-time data and analysis, which allows you to fine tune your strategies and upgrade your systems – a far better alternative than waiting weeks for a report or having no information and limited control.

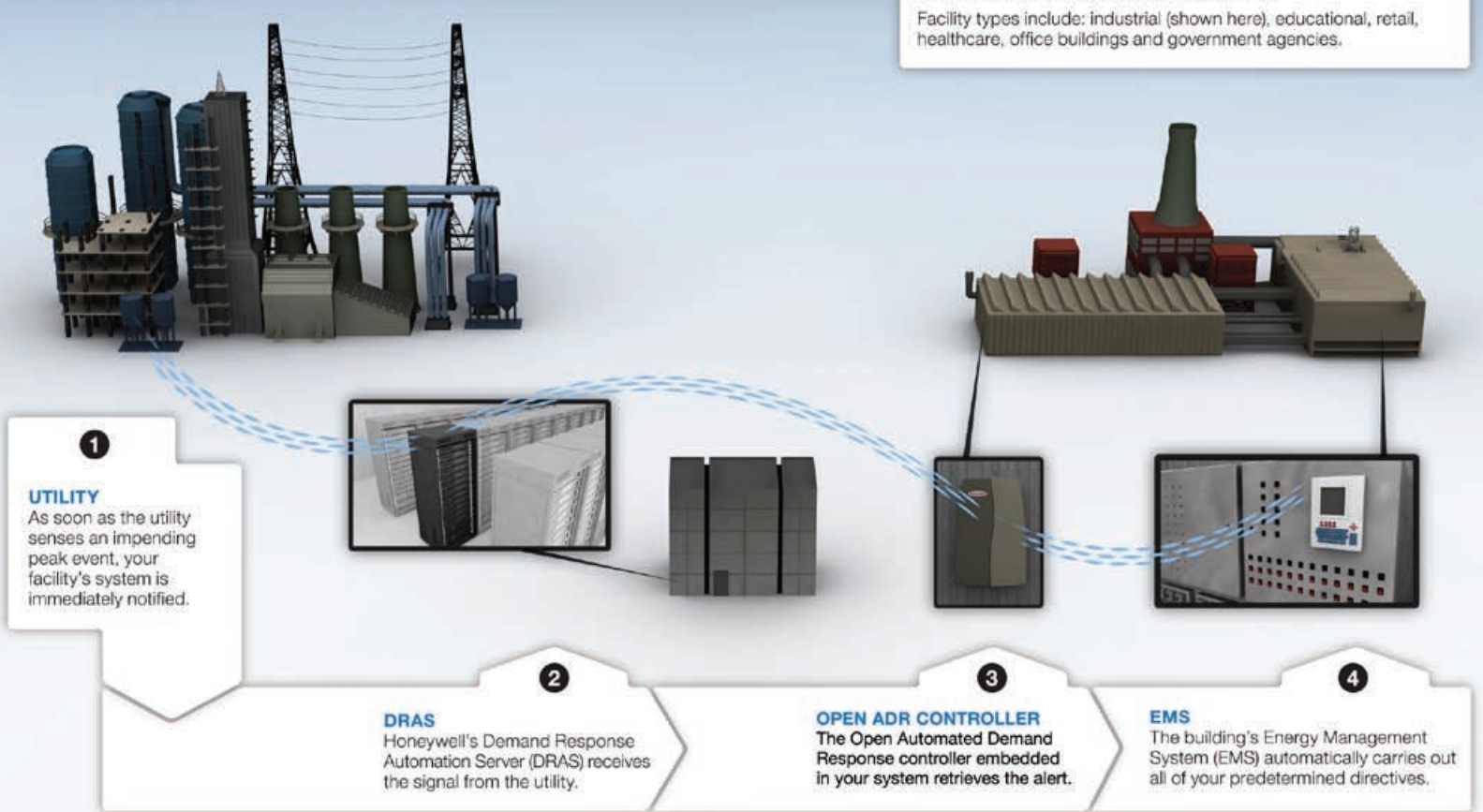
Honeywell Delivers the Technology, Experience and Service

There's a reason commercial and industrial facilities around the globe rely on Honeywell to help manage every aspect of their energy needs. Honeywell brings an unmatched reputation for innovative technology and integrated strategies that strengthen your bottom line while maximizing energy efficiency. No other energy services company can deliver the unique combination of utility and energy efficiency expertise like Honeywell. Over 50 percent of our product portfolio is related to energy. And our superior end-to-end service is always driven by your needs and your satisfaction.

Take Advantage of New Incentives NOW

The entire industry is wrestling with these issues, scrambling to find the most effective ways to preserve their bottom line through every power grid crisis. Honeywell works with companies to develop the best demand response strategies, and helps secure funding incentives from utilities. Incentives range from energy credits to cost savings that can lead to tens of thousands of dollars for building upgrades and improvements. Honeywell's Auto DR solution is the perfect way to ensure your facility experiences the full benefits of upgrading to Auto DR.

HOW AUTO DR FROM HONEYWELL WORKS:




Find Out More

To learn more about Honeywell
Auto DR, e-mail adr@honeywell.com
or call **1-800-485-2321**.

Honeywell Building Solutions

Honeywell
1985 Douglas Drive North
Golden Valley, MN 55422-3992
1-800-345-6770, ext. 612
www.honeywell.com

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15% post-consumer waste. 

SL-53-2246
November 2010
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Honeywell is proud to support the Clinton Climate Initiative, USGBC, ACUPCC and other groups that encourage the responsible use of our natural resources.

Nearly 50 percent of Honeywell's product portfolio is linked to energy efficiency, and our work helps eliminate millions of pounds of carbon dioxide emissions each year.

Honeywell has been recognized with multiple awards including the "Green Innovation of the Year" award from Frost & Sullivan.





New GreenVent program offers rebates on the energy saving Melink® Intelli-Hood® Controls.

The GreenVent Program offers restaurants, hotels, universities and supermarkets rebates on the Intelli-Hood Controls from Melink Corporation.

What is Intelli-Hood?

Melink Intelli-Hood controls are the new industry standard for commercial kitchen ventilation systems. Most commercial kitchen hoods operate at 100% capacity all day, even during idle non-cooking periods. This costs the US food service industry over \$2 billion in wasted energy every year.

Simple to Use

The cook/chef presses the light and fan switch on the keypad. That's it! The hood lights then turn on and the fans go to a pre-set minimum speed of 50%. When the cooking appliances are turned on, the fan speed increases based on exhaust air temperature. During actual cooking, the speed increases to 100% until the smoke/vapor is removed.

Savings and Benefits

The Intelli-Hood controls improve hood efficiency up to 50%. Typical annual operating savings are \$1500-\$3000 per hood. They also improve kitchen comfort, indoor air quality, and fire safety.

How does the GreenVent Rebate Program Work?

The GreenVent Rebate Program utilizes Intelli-Hood to offer the following rebates based on exhaust and make-up air motor horsepower and type of establishment:

Restaurants

\$1000 per exhaust and make-up air horsepower

Universities

\$ 600 per exhaust and make-up air horsepower

Supermarkets

\$ 450 per exhaust and make-up air horsepower

Lodging

\$ 350 per exhaust and make-up air horsepower

Honeywell Utility Solutions – GreenVent
P.O. Box 8029
Foster City, CA 94404

Call Toll Free 800-927-2134
www.greenventkitchen.com





Restaurant Cost Savings Example Highlight

Restaurant Kitchen Retrofit with Melink Intelli-Hood Controls system

The following example demonstrates a retrofit of a restaurant kitchen which has two kitchen hoods powered by 1.5 HP exhaust motors and a make-up air unit with a 5 HP motor:

Installed cost of Intelli-Hood Controls	\$ 10,000
PG&E GreenVent program rebate for 8 HP	\$ 8,000
Total Cost	\$ 2,000
Payback	< 1 Year

Restaurant Energy Cost Savings Example Highlight

Restaurant Kitchen Retrofit with Melink Intelli-Hood Controls system

The following example demonstrates a retrofit of a restaurant kitchen which has two kitchen hoods powered by 1.5 HP exhaust motors and a make-up air unit with a 5 HP motor:

Without Melink Intelli-Hood	kW	kWh/d	Cost \$ year*
Exhaust Fans (2) EF	2.2	37	\$1,756
Make-Up Air unit (1) MUA	1.5	26	\$1,234
Total			\$2,990

With Melink Intelli-Hood	kW	kWh/d	Cost \$ year*
Exhaust Fans (2) EF	0.7	12	\$569
Make-Up Air unit (1) MUA	0.6	8	\$380
Total			\$949

Total Energy Savings \$2,041

Honeywell Utility Solutions – GreenVent
P.O. Box 8029
Foster City, CA 94404

Call Toll Free 800-927-2134
www.greenventkitchen.com

Program is funded by California utility customers under the auspices of the California Public Utilities Commission through a contract awarded to Honeywell Utility Solutions.

*Energy cost savings example based on retrofit of existing restaurant kitchen hood(s) system with Melink Intelli-Hood Controls. Cost based on 17 hr/day operation at \$0.13 / kWh.





GreenVent Case Study:

Cliff House Restaurant – San Francisco, CA



Case Study : Cliff House Restaurant

Fan Energy Estimations

Current Estimated Annual Fan Energy Usage	230,812 kWh/Yr
Estimated Annual Fan Energy Usage w/CKV Controls	74,556 kWh/Yr
Estimated Annual Fan Energy Savings w/CKV Controls	156,256 kWh/Yr

Natural Gas Load Estimations

Current Estimated Annual Gas Usage	1,468,193 kbtu/Yr
Estimated Annual Natural Gas Load w/CKV Controls	966,071 kbtu/Yr
Estimated Annual Natural Gas Savings w/CKV Controls	502,122 kbtu/Yr
	5,021 Therms

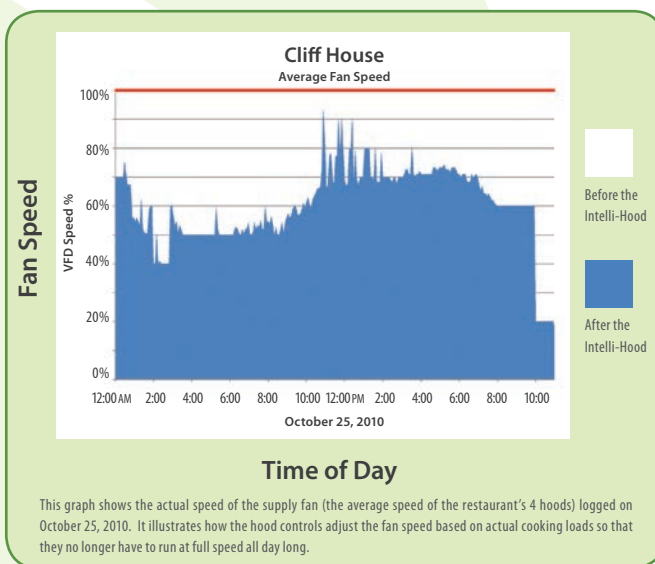
Cost Savings

Fan Energy Savings*	\$23,215 / year
Heating Savings*	\$4,962 / year
Total Cost Savings with Melink Controls	\$28,178 / year

* Calculated savings based on the facilities operating hours, estimated cooking load, local utility rates, and local climate data.

A San Francisco Classic Goes Greener!

Melink's Intelli-Hood® controls were installed in one of San Francisco's most historic restaurants - the *Cliff House*. This classic eatery installed the state-of-the-art system and reduced energy and operating costs, as well as improved kitchen and restaurant comfort. The *Cliff House* is proud to add Intelli-Hood® controls to their impressive Green Efforts initiatives.



Call Toll Free 800-927-2134
www.greenventkitchen.com

Honeywell Utility Solutions – GreenVent
 P.O. Box 8029, Foster City, CA 94404

Program is funded by California utility customers under the auspices of the California Public Utilities Commission through a contract awarded to Honeywell Utility Solutions.

Installed cost of Intelli-Hood Controls	\$ 57,834
PG&E GreenVent rebate for 42.5 HP	\$ - 42,500
Total Cost	\$ 15,334
Payback	0.54 Year

project profile



Guaranteed Energy Upgrades

Innovative lighting technologies and a performance contract backed by American Recovery and Reinvestment Act funding is saving the City of Antioch, Calif., more than \$540,000 annually through reduced maintenance costs and energy consumption.

Honeywell

City-Wide Lighting Retrofit

The Customer	<p>The City of Antioch, Calif.</p> <ul style="list-style-type: none"> • Antioch is situated in the East Bay region of San Francisco and is one of the oldest cities in the state; it has a population of more than 100,000 residents.
The Problem	<ul style="list-style-type: none"> • Antioch needed to upgrade its park and street lights, as a significant portion of its operating budget was spent on maintaining the fixtures. • The local utility charged the city \$1.30 per light pole, per month to maintain the 8,700 lights, regardless of how long they were used. • The city also paid for the cost of new fixtures, which consumed several hundred thousand dollars of the annual maintenance budget. • Lighting quality in some public areas created a potential safety issue.
Honeywell Solution	<ul style="list-style-type: none"> • The city turned to Honeywell, its energy services consultant since 1997, to design and deliver a project to upgrade all park and street lights, as well as fixtures in seven public buildings. • Honeywell helped the city secure a \$600,000 Energy Efficiency and Conservation Block Grant – through the American Recovery and Reinvestment Act – to decrease financing costs. • The company also helped identify utility incentives for installing more efficient lighting and negotiate new maintenance rates. • The savings from the project, guaranteed by a 10-year performance contract with Honeywell, will pay for the work.
Key Technologies	<ul style="list-style-type: none"> • High-efficiency induction lighting across the city, which generates light without the filaments or electrodes found in traditional fixtures. <ul style="list-style-type: none"> – With an average rated life of 100,000 hours, the lighting is helping decrease maintenance, as well as reducing energy consumption, and improving color and illumination. • Lighting retrofits in facilities, such as the water treatment plant, police department and city hall further reduce energy costs and emissions.



“By using stimulus funds and working within our budget constraints, Honeywell helped us undertake an unprecedented lighting retrofit project. The work gave a boost to the local job market. And it set the city on a path to meet our long-term energy goals without having to tap taxpayers.”

—James Davis, Mayor of Antioch

Guaranteed Impact

The city has seen significant energy and operational savings as a result of the project:

One of the largest projects of its kind in the United States, the lighting improvements created work for local contractors and are expected to save more than \$540,000 each year.

Expenses
\$540,000 ↓

The city reduced its annual energy consumption by 2.6 million kilowatt-hours, enough electricity to power more than 240 homes.


Consumption
2.6 million
kw/hours ↓

The upgrades also reduced carbon emissions by approximately 1,800 tons, equivalent to removing 310 cars from the road or planting 350 acres of trees.

Carbon Emissions
1,800 tons ↓

Honeywell Building Solutions

Honeywell
1985 Douglas Drive North
Golden Valley, MN 55422-3992
1-800-345-6770, ext. 605
www.honeywell.com

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SL-53-2272
February 2011
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➤ **ATTACHMENT D – Key Personnel Resumes**



VINCENT IAMUNNO

PROFESSIONAL EXPERIENCE

Honeywell

2014 – Present

Southeast District Manager

- Oversees the development and management of client programs throughout the Southeast U.S., including major programs for FP&L, Dominion, Duke Energy Progress, and the City of Tallahassee, Florida.
- Includes hiring, training and allocation of personnel and other resources across multiple programs.
- Coordinates with senior company management to best meet clients' needs.

2009 – 2014

Sr. Program Manager

- Responsible for managing energy-efficiency programs for Duke Energy across their service territory.
- Manage several staff members in achieving client's program quality, savings and production goals.
- Duties include: operations planning; marketing and sales to generate program participation; data system upkeep; recruitment/staff development; fiscal management; and contract compliance.
- Team has been recognized for outstanding performance for quality and safety.

FirstComp Insurance

2006 – 2009

Inside Sales & Market Research Manager

- Identified market opportunities by working with our distribution network to create new product offerings synergistic with worker's compensation.
- Increased sales through follow-up process with existing client base; monitored and tracked client response, and communicated results to senior management.
- Created new or refined existing sales processes that generated additional premiums; enhanced our technology platforms, and produced cost savings.
- Handled personnel decisions, including hiring and firing, and staff development.

2006

South Carolina Outside Sales Manager

- Grew SC sales territory and customer base by over 20% per year.
- Developed and maintained a call cycle reviewed quarterly by management.
- Completed daily review of all appointments and calls, recorded relevant updates into an internal sales management system.
- Managed marketing and expense budgets.
- Promoted to Inside Sales & Market Research Manager after one year.

SKILLS & QUALIFICATIONS

Six Sigma Green Belt

EDUCATION

B.S. Business Administration, University of Kentucky, (Departmental Honors)



JOHN AUGUSTINO

PROFESSIONAL EXPERIENCE

Honeywell

2008 - Present

Technical Support Specialist

- Leads research and design initiatives for residential energy efficiency programs across North America.
- Provides technical leadership in preparing responses to client RFP's.
- Serves as a program start-up support resource.

1996 – 2008

Program Manager

- Oversaw multiple low income Energy Affordability programs in PA & NJ, delivering comprehensive services to 7000+ homes per year.
- Directed the start-ups and implementation of the New Jersey Comfort Partners Program, PGW's Conservation Works Program, PSE&G's E-team Program, and Atlantic Electric's Comfort Connections Program including program design, training of office and field staff.

1993 – 1996

Program Manager

- Guided operations start-up and implementation of BGE's Efficient Indoor Lighting Program.
- Responsible for training office and field staff, overseeing documentation of program activity, and ensuring the attainment of program goals.
- Executed performance contracts with program vendors and subcontractors to install high efficiency lighting in commercial facilities.
- Initiated quality control procedures and activity tracking policies; served as client liaison.

National BioSystems, Inc.

1989 to 1993

Operations Manager

- Managed biological based information management projects for federal and private clients.
- Designed and implemented a computerized tracking system to monitor the disposition of hazardous substances at the National Inst. of Health.
- Designed and populated a hazardous substance database containing 100 key characteristics for over 4000 hazardous chemicals.

Honeywell

1984 to 1989

Program Manager

- Conducted a state-wide analysis of a state-funded weatherization program.
- Developed a high-efficiency data collection system which decreased on-site time by 50%, resulting in a 33% cost reduction.
- Developed and implemented a PC-based, interactive, on-site residential analysis program which outperformed other products.
- Managed a weatherization project where efficient performance and aggressive marketing produced a 30% participation volume increase.

EDUCATION

B.S. Environmental Resource Management, Pennsylvania State University
Certification for Residential Energy Audits/Inspections, State of New Jersey
Six Sigma Greenbelt Certified



BRETT A. STEIN

PROFESSIONAL EXPERIENCE

Honeywell

2013 - Present

Sales Executive – New Business

- Working in the Smart Grid Solutions group, specializing in energy efficiency, demand response and smart grid products/services for electric and gas utilities.
- Role is to specifically partner with targeted accounts that Honeywell has done little or no business within the past.
- Areas of expertise include smart grid technology deployment, utility program design and delivery, program management/evaluation, product development, and strategic marketing outreach.

Novinium

2011 - 2013

Regional Manager - Sales

- International chemical engineering and contracting company that partners with electric utilities, industrials and higher education sectors on power cable reliability.
- Responsible for developing and executing market penetration strategies for a previously non-existent territory in the Southeast United States.
- Calling upon Vice President level and above to present fiscal and operational business cases for our suite of power cable reliability services.
- Utilizing combined effort of Excel, CRM and metrics to effectively manage game plan for new territory development.

SingleSource

2009 - 2011

Strategic Account Program Manager

- Directed strategic decision-making for largest company accounts.
- Initiated and maintained national C-level and VP-level relationships for long-term revenue potential.
- Developed customized program for clients spanning product offering relating to consulting, project and solar/Photovoltaic (PV) divisions.
- Directed project selling and execution.

2006 – 2009

National Account Manager

- Developed new business and managed major strategic accounts within diversified verticals of the real estate markets consisting of: industrial, manufacturing, real estate investment trust (REIT) and retail.
- Consultatively developed, presented and sold client strategy for projects and budgeting across engineering and solar product platforms.



2004 - 2005

Senior Manager – Business Development

- Regional sales and marketing responsibility of key accounts and new business development.
- Charged with creating new accounts and growing existing relationships within Washington, DC to Boston corridor.
- Extensively cold-called executive level contacts within operations and finance sectors.

2003 - 2004

Manager – Business Development

- Managed northeast territory from Northern New Jersey to Boston.
- Responsible for new business generation through calling upon small to medium size real estate and industrial companies.

TEFEN USA Management Consulting

2002 - 2003

Manager – Sales & Marketing

- Managed and trained a team of 10 inside and outside sales representatives.
- Responsibilities included team motivation and performance assessment with the goal of prospecting and generating new revenues with Fortune 1000 companies.
- Directly contributed to generation of \$7M in revenue.

2001 - 2002

Sales Representative

- Prospected C-level and senior-level management contacts at Fortune 1000 companies within the life science, pharmaceutical, and manufacturing industries.

Canon Business Solutions - Northeast

2000 - 2001

Account Executive

- Maintained upwards of 300 existing Canon accounts within a geographic territory, providing networkable and stand-alone office equipment.

1999 - 2000

New Business Account Representative

- Entry level sales position for Canon's office equipment division.

EDUCATION

James Madison University, Harrisonburg, Virginia 1999
– Bachelor of Business Administration in Marketing

University of Wisconsin - Department of Engineering 2012
– Underground Electrical Distribution Systems Program

SKILLS & QUALIFICATIONS

Strategic Sales Training: SPIN, Sandler & Konrath Programs
Various CRM & Sales Database Management Software



LISA A. BARRETT

PROFESSIONAL EXPERIENCE

Honeywell

1987 – Present

Manager, Fiscal Operations

- Supervise workflow of our Mid-Atlantic office in the preparation of all payroll, accounts receivable and accounts payable functions.
- Oversee production of all regional fiscal reporting for fifteen (15) different programs.
- Participate in the development and monitoring of regional projections, budgets and adherence to same.
- Monitor and reconcile six (6) regional accounts for the rebate center, operations and petty cash activities.
- Interface with corporate finance department on P&L development and reconciliation.
- Act as the primary Human Resource liaison regarding policy and procedures and information distribution.

DMC Data Management, Inc.

1987

Data Entry Administrator

- Used an IBM System 34 Computer to enter energy reports.
- Operated an IBM Personal Computer to enter rebates.
- Verified the information generated.
- Performed various computer operations: controlled spool file, operated printer, printed reports and labels.
-

Marston Agency

1984 – 1987

Administrative Assistant -

- Processed homeowner, automobile, and other insurance policies.
- Handled correspondence and any discrepancies in accounts.
- Maintained an account of inflows and outflows of cash and credit transactions.
- Coordinated travel arrangements.
- Performed various office operations.

EDUCATION

B.S., Accounting/Business Administration, 1990, Montclair State University



LESA BISHOP

PROFESSIONAL EXPERIENCE

Honeywell

2014 - Present

Senior Administrator

- Reconcile monthly invoices, over sees scheduling for KPCo Program, handle customer issues, file, data entry, copy, scan documents, answer phones.
- Interact with Honeywell Program manager as well as with Program manager at Kentucky Power.

2011 - 2014

Program Coordinator

- Served as Program Coordinator for AEP/Kentucky Power Modified energy Fitness Program. CSR, reconcile invoices, scheduling, handled customer issues, file, data entry, copy, scan documents, and answer phones.
- Interacted with Program Managers at Kentucky Power.

2007 - 2011

Inventory Clerk

- Check in inventory from loading dock, stock inventory in warehouse, order inventory, order office supplies, file, data entry, copy, scan documents, answer phones, back up for other programs, E.R. Committee, Health & Safety Committee, organized work related outings, submit payroll.

2002 - 2007

Customer Service Representative

- Customer Service Representative for LGE Residential/WeCare Energy Programs.
- Scheduled appointments, copy, faxed, filed, reconcile monthly invoices.

Manpower Temporary Agency

2001, 2002

Customer Service Representative

- Customer Service Representative for EDS (Student Loan Co).
- Handled incoming calls from students concerning their student loans, data entry.

National Processing Center (NPC)

1999 - 2001

Customer Service Representative

- Reconciling customer account, data entry, and 10 key calculator.

Fifth Third Bank

1997 - 1999

Bank Teller / Customer Service Representative

- Balancing cash drawer, reconciling customer accounts, money handling, and data entry.



PNC Bank

1994 - 1996

Bank Teller / Customer Service Representative

- Balancing cash drawer, reconciling customer accounts, money handling, and data entry.

Kentucky Fried Chicken

1990 - 1991

Cashier

- Balancing cash drawer, food prep, open/close store.

SKILLS AND OTHER QUALIFICATIONS

ACS Building Steward Training Certificate

Bravo Star Award Outstanding Leadership

Special Recognition Award 2004

Customer Service Award 2007

Special Recognition Award 2015 Six Sigma Green Belt Certified – March 2014

EDUCATION

School of Business & Banking 1990 – 1991

Certificate of Completion

Central High School 1989



LISA CAVALIERI

PROFESSIONAL EXPERIENCE

Honeywell

2005 to Present

Marketing Manager

- Leads marketing team as they implement and support internal and project-based marketing programs including budget forecasting and management.
- Develops and delivers strategic marketing campaigns to support high-volume, utility-sponsored programs requiring customer appointment setting, enrollment and high levels of service.
- Develops implementation plans for integrated marketing programs including Internet, direct marketing, public relations, advertising and in-person sales strategies.
- Coordinates marketing efforts in support of start-up operations and program launches.
- Achieves measurable, project-specific goals including program enrollment and participation, installations completed and energy savings as a result of participation.

Blue Sky Marketing

1996-2005

Principal

- Developed strategic marketing plans and materials for retail, business-to-business and non-profit clients.

Bose Corporation

1994-1996

Marketing Program Manager, North American

Sales

- Created and managed sales/marketing programs to drive revenue into indirect sales channels for the commercial product division of Bose (900+ dealers).
- Developed preferred dealer program to promote sales via 3rd-party channels--exceeded goals by 150%.
- Developed co-op marketing programs for lead generation, trade shows and sales literature.

Proteon, Inc.

1992-1994

Senior Marketing Communications Specialist

- Developed marketing materials for manufacturer of networking equipment and software.
- Created direct mail, product brochures, packaging and collateral materials for product launches, events and channel marketing.

ConSolve, Inc.

1991-1992

Marketing Programs Manager

- Managed marketing programs for an environmental software firm during the release of its first product.
- Developed a PR program that achieved rapid industry presence, including coverage in 85 percent of industry trade publications and contacts at 100 percent of the "Top 50" environmental consulting firms.
- Developed corporate/product identities, brochures, packaging, sales presentation materials and proposals.
- Managed outside design firms, telemarketing firms and support staff.



Bechtel Software, Inc.

1987-1991

Marketing Communications Manager

- Managed a \$400,000 communications budget for a CAE and project management software firm.
- Increased sales leads by 58 percent, while reducing advertising expenditures by \$175,000.
- Generated over 70 published articles on the company and products.
- Supervised administrative staff and interns.

EDUCATION

Nichols College, candidate for Masters Degree in Business Administration

Boston University, Bachelor of Science in Mass Communication, magna cum laude

University of Massachusetts/Amherst, School of Fine Art, Concentration in Graphic Design



BRUCE ELLIOTT

PROFESSIONAL EXPERIENCE

Honeywell

2006 – Present

Senior Manager Information Technology, Smart Grid Solutions (SGS)

- Manage the design, development and delivery of Utility Conservation and Smart Grid software applications; delivered over 300 different utility programs, comprised of thousands of different delivery and program types.
- Manage and mentor a team of 25, overseeing the daily activities of both onshore and offshore resources.
- Define long- and short-term roadmaps that meet both business and IT strategies and then delivering the planned technology.
- Integrated the IT Support Team into the Operations delivery processes to produce continuous improvements in all startup and core deliverable functions.
- Helped define market delivery strategies with both the SGS teams and our Utility customers consisting of both field / back office processes and IT integration components.
- Responsible for all aspects of SGS IT vendor management; includes on-time delivery of IT solutions, on-going cost management, monitoring key metrics to ensure vendors meet / exceed them and producing year over year productivity gains.
- Full oversight of the SGS IT budget of over \$2M, including salaries, vendors and traditional IT spend.
- Lead the integration effort with multiple utility clients based on a variety of different secure methods; systems include utility ERP, billing and CRM, as well as multiple head-end control systems.
- Manage infrastructure requirements for SGS IT including Database, Application, Web and handheld environments.
- Act as the SGS security liaison brokering agreements between the Utility and Honeywell security teams for access to sensitive and personal utility data.
- Created the SGS business continuity environment that has been audited and accepted by Utility clients; this is a national program supporting multiple locations covering voice, data and field processes.

2003 - 2006

Director, Information Technology

- Designed, developed, and implemented an IT infrastructure resulting in reduction of overall IT budget from 2.7M to less than 1.5M annually.
- Changed to real-time application approach from 24-hour turn-around on service requests
- Reduced overall IT staff, migrating from three shifts to a single shift.
- Implemented web-based self-service toolkit providing customers real-time feedback and reducing customer service calls by 50%.

1992 – 2003

Manager, Information Technology

- Implemented and supported information and systems solutions designed to meet requirements of utility clients.
- Supported the internal corporate application infrastructure including, but not limited to, Finance, HR, Marketing and Payroll.



SPC

1990 - 1992

Account Manager

- Provided software consulting services for a wide range of customer segments on a variety of platforms including Financial System modifications and implementations in Novell & Unix.
- Inventory Management modifications for “just in time” functionality on AS/400, AIX & Unix; and Workflow management system for order processing on AIX & Novell.

SKILLS & QUALIFICATIONS

Multiple industry certifications in both Process and Technical venues including Green Belt, Lean processes, DFSS, ITIL, Recovery Planning, Unix,/Novell,/AIX & Team skill building.

EDUCATION

B. S., Computer Information Systems, Bentley College
A.S., Management & Accounting, Bentley College



JONATHAN BROOKS GILLENWATER

PROFESSIONAL EXPERIENCE

Honeywell

2015 - Present

Program Coordinator

- Working with an experienced crew of 9 technicians and an administrative assistant providing residential energy assessments for the Kentucky Modified Energy Fitness Program and the WV APCo HomeSmart Program.
- Review and resolve scheduling issues for the team, working closely with all its members and call center Customer Service Representatives.
- Provide reports and analysis on all aspects of the program, relying upon an intricate knowledge of the area and its people as a native son. Working closely with the Program Manager to achieve program goals and objectives.
- Preparing and reviewing invoices, revenue projections, and production goals while relaying program progress information to the client.
- Overseeing the Rebate program for major measures installed, and working with contractors to ensure their issues are addressed and delays in receiving rebate payments are avoided where possible.

Lincoln PSD

2014

General Manager

- Served as the General Manager for a 2,300 customer water system that serves my home town.
- Walked into a crisis situation and salvaged the PSD. Resolved 9 formal complaints registered with the WV PSC with no new ones filed under my tenure.
- Launched an \$8 Million water project that added 30% to the number of customers served in an area that desperately needed potable water, balanced the books for the first time in months, and set up payment schedules with all parties in arrears.
- Oversaw the transition of a failed billing system to one that worked. Secured funding from the County Commission to cover cash flow shortages caused by poor management practices and misappropriation of federal funds before my arrival.
- Trained the staff. Handled customer complaints. Generally salvaged a failing company.

Walmart Corporation

2014

Field Project Supervisor

- Traveled throughout the region as part of a team working on store remodels and renovations while supervising work of Walmart Associates, labor-for-hire staff, and contractors.
- Primary responsibilities include training and supervising new people on nearly a daily basis to do things the way Walmart wants them done, team building, working closely with peers to ensure completion of tasks assigned daily by the



Field Project Manager, meeting the expectations of the store manager, controlling project costs, and ensuring that safety and customer service are the highest priorities of everyone on the team.

Terradon Corporation

2008 - 2013

Construction Inspector

- Primary responsibilities include design of water and sewer utility systems. Completed design and coordinated utilities construction of The Bechtel Summit Boy Scouts of America Resort as well as the Little Beaver State Park for WV Department of Natural Resources. Scope of design and construction including roads, bathhouses, and utilities including water, sewer, electricity and natural gas totaling more than \$135M.
- As served as Construction Inspector, represented engineer during actual construction of facilities and given decision making authority on site. Given authority to make changes to design on site, with or without consultation of design engineers.
- Completed daily reports on progress of up to 6 contractors with as many as 8 crews. Verified pay requests submitted by all contractors.
- Prepared red-line records drawings of actual construction.
- Made recommendations to project engineer on changes needed to design while building facilities.
- Met with owner and public to answer questions, address concerns, and facilitate their needs related to projects.
- Coordinated construction activities with other utilities encountered in the field such as privately owned gas, electric, and telephone facilities.
- Attend progress meetings with client, engineer, and funding agency representatives.
- Also, worked with Autocad, Excel, MS Word, and other computer applications as warranted.
- Collected in excess of 1,000 water laboratory samples to test for presence of e-coli, contaminants, and other bacteria.
- Performed well water quality and income surveys of potential service areas on proposed projects.
- Licensed as a Class D1 Water Plant Operator.
- Served as liaison for staff on BSA site, but supervised none.

LandAir Transportation

2007

CDL Truck Driver (Class A)

- Drove 80,000 pound tractor trailer solo delivering dry goods throughout eastern U.S. Maintained daily contact with dispatch.
- Delivered and picked up materials by appointment, but managed my own time driving. Supervised none.

AEP Corporation



2006

Field Contract Administrator

- Served as liaison between engineering department in HQ office and construction site at Mitchell Power Plant renovation project near Martinsburg, WV.
- Reported construction progress. Reviewed costs and pay requisitions prepared by contractors.
- Wrote Changer Orders for changes in contract scope.
- Temporary position. None supervised.

Boyd Brothers Transportation

2005 - 2006

CDL Truck Driver (Class A)

- Drove 80,000 pound tractor with refrigerated trailer solo delivering goods throughout eastern half of U.S.
- Maintained daily contact with dispatch.
- Delivered and picked up materials by appointment, but managed my own time driving.
- None supervised.

C.R. England Trucking

2004 - 2005

CDL Truck Driver (Class A)

- Drove 80,000 pound tractor with refrigerated trailer driving solo and team delivering goods throughout eastern half of U.S.
- Maintained daily contact with dispatch.
- Delivered and picked up materials by appointment, but managed my driving time as well as the driving time of individual trainees.
- Supervised new individual drivers as on the road trainer for two months.

M.B. Kahn Construction

2002 - 2004

Laborer / Carpenter

- Performed tasks as assigned under the direction of the Construction Superintendent.
- Assisted with layout, operated equipment and power tools, and assembled piping and related process devices.
- Operated threading machine, backhoe, excavator, and light duty pick-up with trailer.
- Set concrete forms and grouted inverts in sewer manholes. Shot grade on sewer line installations.
- Served as right hand to project Superintendent (my brother Stephen Gillenwater) until the day he quit.
- Stayed on an additional 60 days and completed project including final construction punch list.
- Supervised between 2 and 8 people throughout the final 6 months of project.



Family First Realty

2002

Real Estate Agent

- Licensed to list and sell real estate under the direction of a broker for three years.
- Working part-time, assisted clients in sale and purchase of real estate in the Kanawha, Putnam, Cabell, Wayne, and Lincoln County areas.
- Answered phones when in office, and performed other customer service related functions.
- Prepared Comparative Market Analysis Reports for clients on real estate in the market area for both sale and purchase.
- Drafted Purchase Agreements and sold warranties to new and previously owned home buyers.
- Maintained website for properties listed.
- Took photos of properties listed and used computer software for image management.
- Performed internet searches for interested buyers. Attended closings as broker's representative.

Alum Creek Volunteer Fire Department

1996 - 2002

Chairman – Board of Directors

- Performed duties as Chief Executive Officer for the agency.
- Conducted Board meetings, and handled staff issues in both public and private forums including staff discipline and termination.
- Appointed committees for various functions.
- Approved major purchases and budget revisions.
- Drafted By-Law revisions and numerous resolutions.
- Provided counsel to the Fire Chief.
- Solicited and secured funding for a new satellite fire station.
- Provided oversight of \$150,000 annual budget and maintained staffing of around 50 members.
- Helped improve the reputation of the organization within the community.
- Appointed as Chairman within 6 months of joining, and remained as such until end, approximately 5 years. Supervised board members and Chief.

Jones Lang LaSalle

2000 - 2002

Facilities Manager (Bank One Portfolio)

- Supervised construction and maintenance activities within 41 banking centers in WV and OH.
- Cared for numerous offsite ATMs, warehouses, and parking lots; a total of 1.4 million square feet of Class A and Class B commercial property.
- Performed hiring recommendations. Provided direction to staff of 13 (1 Administrative Assistant, 2 Supervisors, and 10 Technicians), conducted training and performance reviews, set schedules (5 technicians rotated on a 24/7 basis in one hi-rise location), and hiring.
- Dealt with all aspects of large and small building operations with focus on engineering, maintenance, management, tenant leasing, asbestos abatement, safety and security for the bank facilities.



- Maintained direct control of \$1.2 million in an annual operating budget and another \$2.0 million annually in facility capital improvement projects.
- Provided support in \$15.0 million owner controlled 14 story high-rise rehab project.
- Prepared financial and project activity reports, reconciling as many as 1,600 invoices monthly.
- Negotiated contracts, prepared pay requisitions, hired and fired sub-contractors for many activities such as snow removal, landscaping, finished space renovation, window tint and cleaning.
- Performed on-site inspection of each property (from Beaver, WV to Athens, OH) on a monthly basis.
- Carried a WV Real Estate license as an agent. Hired as Manager and performed supervision to all subordinate staff while working there.

Charleston Housing Authority

1999 - 2000

Director of Special Projects

- Supervised capital improvement and renovation activities for 1,600 agency owned low income apartments in Charleston, WV.
- Worked with a federally provided annual \$5 million budget.
- Developed a five year-improvement and renovation program for capital improvements.
- Carried out modernization program that paid for itself with more efficient devices, replacing T-12 florescent lighting and fixtures with T-8 units, replaced old gas fired boilers with more efficient cyclone units, replaced old 1950's era toilets with low flow units, and changed mercury operated thermostats with digitally controlled units.
- Provided direct supervision of a staff of three (Administrative Assistant, Modernization Coordinator, and a Project Technician).
- Hired architects, engineers and contractors for various construction projects.
- Ran HOPE VI program which was used to demolish 243 decrepit apartment buildings at Orchard Manor while relocating 120 tenants (dealt with asbestos abatement which included the construction and use of a permitted land fill and maintained a positive public impression of activities throughout).
- Acted as Director of Operations for two non-profit agencies associated with Charleston Housing, building and renovating houses which were then sold to raise funds for more projects.
- Hired as Director and performed supervision to all subordinate staff while working there.

Putnam County Development Authority

1997 - 1999

Project Manager

- Performed administrative activities for PCDA while monitoring progress of numerous groups to complete construction of \$8.5 million waste treatment facilities for Toyota Motor Manufacturing of WV.
- Solicited, interviewed and negotiated contracts for two engineering groups to complete simultaneous design solutions to address both short-term and long-term waste treatment needs of the Town of Buffalo.



- Managed project as it went from concept to waste treatment in 17 months, including funding acquisition, land purchase, engineering design, site archeological exploration, and construction using four different construction contractors.
- Also served as advocate for regional airport site proposed in Putnam County, making numerous presentations in public hearings on subject.
- Renovated one building and built another from ground-up for turn-key finish.

Putnam County Office of Planning and Infrastructure

1996 - 1997

Infrastructure Specialist

- Initiated master plans for water and sewer construction within Putnam County, coordinating efforts between public and private companies vying for same service areas.
- Prepared draft ordinances addressing issues with storm-water management in developed areas of Teays Valley.
- Assisted with daily inspections of construction sites at subdivisions, monitoring for compliance with County regulations.
- Represented the County in Regional Intergovernmental Counsel highway planning meetings to establish local project funding priorities.
- Used GIS and dBase computer programs to monitor growth within County. Assisted PCDA Director in pitching and landing Toyota project.

Kelley Gidley Blair & Wolfe

1987 - 1996

Project Manager

- Started as a technician who provided support to three Professional Engineers in the water department, and worked to a level of high responsibility as a project manager.
- Designed water systems including treatment plants, pumps, storage tanks, and piping installations.
- Prepared contracts and processed monthly pay requests. Reviewed and approved shop drawing submittals.
- Directed work of other project team members to complete projects on time and under budget.
- Worked as cost estimator, cad drafter, and hydraulic modeling specialist.
- Designed pumping systems.
- Performed inspection of construction and performed final punch list inspections.
- Directed the purchase of \$42,000 in computer purchases for firm, linking accounting and production platforms to compatible systems.
- Secured several thousand dollars in new design contracts for firm through sales presentations.
- Served as lead CAD drafter on Beckley Federal Prison Project and assigned workload for 5 man team.
- Other supervision was limited to project activities, budgeting of hours, and meeting deadlines in the last 5 years with the firm.

Marriott Hotels



1987

Night Auditor

- Reconciled daily financial reports by hand between 11 pm and 7 am.
- Worked with a crew of two, rotated between audits of hotel, three restaurants, and gift shop while manning front desk.
- Handled check-in of late arrivals, and early check-out of guests.
- Employed full-time working nights, while attending school during the day.
- Twice recognized for exemplary customer service in the quarter.

CH2M Hill

1986

Cost Estimator

- Worked under direct supervision of Senior Cost Estimators developing cost estimates and quantity take-offs for buildings, water, sewer, and landfill projects that ranged up to \$20 million in Florida, New Jersey, Virginia, Illinois, and West Virginia.
- Performed quantity estimates and cost estimates for cost of construction.

US Army A Battry 1st Btn 12th Field Artillery

1982 - 1984

Surveyor

- Performed high precision surveys for a missile unit.
- Operated surveying instruments, recorded readings, and performed calculations of surveys as part of an Emergency Deployment Unit.
- Operated 4x4 truck and trailer and was twice given awards for best vehicle maintenance of the month.
- Earned all promotions at minimum time in service and grade. Honorable discharge at E-5.

EDUCATION

Wheeling Jesuit University	2009
B.A., Organizational Leadership and Development	
WVU Institute of Technology	1986
A.S., Mechanical Engineering Technology	



J. BRIAN HALCOMB

PROFESSIONAL EXPERIENCE

Honeywell Smart Grid Solutions

2014 – Present

Customer Care / COE Operations Leader

- Manage multi-functional call center supporting multiple utility-sponsored demand response and energy efficiency programs.
- Direct recruitment and retention of supervisors and staff of 65 employees.
- Train, supervise, and evaluate staff, and coach improvement management skills.
- Implement quality programs to provide consistent measurement and performance evaluations of call center employees.

2011 – 2014

Program Manager

- Primary responsibility was to manage a suite of DSM programs and AMI metering projects in Pensacola and Tallahassee, FL.
- Additional DSM responsibilities included daily operations management of field crews, client and vendor relationships, quality analysis and reporting, invoicing and marketing.
- Additional metering responsibilities include AMI network build out, local and state DOT permitting.

Honeywell International

2010 - 2011

Process Analyst

- Primary responsibility is to drive process improvement, quality analysis scoring and reporting.
- Work standardization and performance evaluation of Honeywell SGS' demand response and energy efficiency utility clients.
- Other responsibilities include call center metric analysis and forecasting, project management, workforce management, program start-up and close-out, vendor management, employee training and evaluation.

Metro Brokers GMAC Real Estate

2004 - 2010

Licensed Real Estate Agent

- As a 1099 employee, I am responsible for managing all aspects of the real estate business; including finance, marketing, bookkeeping, and new business development.
- The core of the business has been residential sales and land acquisition for builders and developers totaling over \$15 million in 5 years.



United Water Services Atlanta

2002 - 2004

Manager, Customer Service Department

- Managed daily operation of the customer service department for the City of Atlanta's Watershed Management Division.
- The department was sub-divided into 5 groups occupying 4 locations in the City of Atlanta; including Call Center Operations, Customer billing, meter reading, field services, new meter applications and walk-in customer service.
- Primary responsibility was to driver performance toward achieving contract deliverables on billing and collections averaging \$15 million monthly, customer service and meter installations.
- Other responsibilities included workforce management, key performance measurement, benchmarking and statistical analysis of daily operations.

Turner Broadcasting System, Inc.

1995 - 2002

Manager, Telephone Information Services

- Managed the daily operation of Turner Broadcasting System's 24x7 viewer response call center and switchboard.
- Project management experience includes the build-out and relocation of 2 call centers.
- Established measurable and practical customer service standards that reflect the philosophy of the company, while meeting the service level agreements established by senior IT management.
- Other duties included providing data and statistical analysis of viewer feedback to all Turner Broadcasting networks on subjects of programming, comments and overall direction of the company.

OTHER SKILLS & QUALIFICATIONS

HUS Program Manager Training

Lean Six Sigma Certification Training

STI Certified Call Center Manager

Member, Call Center Network Group, META Group & Gartner Group

Business-to-Business Sales

Consumer Sales Management

Project Management

Operations Management

Training and Development

Operations and Process Design

High-Level Client Relationship

Data Analysis and Forecasting

Account Management

Contract Negotiations

Published article in PowerGrid International for Electric, Light & Power.com

(www.elp.com); "Combining Utility Efforts for a Single Smart Grid Platform"

EDUCATION

B.A., Clark Atlanta University, Political Science/Public Policy, 1993



YORIC T. KNAPP

PROFESSIONAL EXPERIENCE

Honeywell

2009 - Present

HSE Manager (Honeywell Home and Building Solutions)

- Lead the health safety and environmental program for two businesses that provide energy services to utilities, federal government, and residential customers.

2008 - 2009

Director of HSE (Honeywell Safety Products)

- Support the integration of 27 recently acquired manufacturing and distribution sites.
- Coordinate EPA and OSHA required corrective actions.
- Liaison with legal counsel and regulatory agencies.

2004 - 2008

Director of HSE (Honeywell Automation and Control Solutions)

- Led the development and deployment of HSE management systems.
- Responsible for the development and implementation of processes to improve HSE performance of business units with a total of 56 sites.

2002 - 2004

HSE Integration Leader (Honeywell Sensing and Control Business Unit)

- Responsible for HSE due diligence, integration of acquired companies into existing businesses, and management of environmental closures for discontinued operations.
- Integrated two acquisitions with a total of 14 manufacturing sites in 6 months.

2000 - 2002

Director of Health, Safety, Environment (Honeywell Industrial Control Business Unit)

- Provided leadership for Health, Safety and Environmental programs at 35 sites globally.

KEY PROJECTS – HEALTH, SAFETY, ENVIRONMENTAL MANAGEMENT

- Developed and implemented HSE management systems at the individual site level and the overall business level including: organizational design, policies and procedures, performance measurement, risk assessments, operational controls, employee training, compliance audits and management reviews. Achieved ISO 14001 certification at multiple sites.
- Completed HSE due diligence for 13 manufacturing sites as part of the Honeywell acquisition of Invensys Sensor Systems in 2002. Achieved financial targets set during acquisition valuation. Coordinated financial instruments and provided contractor oversight for Phase I and Phase II environmental site assessments and environmental remediation. Improved safety performance and programs for regulatory compliance. Completed decontamination and environmental closure of two discontinued manufacturing operations.
- Led the development and implementation of strategic plans for environment, health and safety, including regulatory compliance, employee training, industrial hygiene, pollution prevention and waste management for a 5,000-person business unit.
- Improved business unit safety performance (OSHA recordable incident rate) by over 70% using approaches such as DuPont Safety Training Observation Program (STOP) and Six Sigma Safety.



- Helped several sites achieve over 1 million hours worked without a lost time incident; one site achieved 3 million hours without a lost time incident.
- Responsible for environmental programs at Illinois operations that received 5 Governor's Pollution Prevention Awards over a 10-year period.

SKILLS & QUALIFICATIONS

2001 Six Sigma Lean Greenbelt Certification – Association of Energy Engineers (AEE)
Honeywell

Certified Energy Manager (CEM)

Certified Sustainable Development
Professional (CSDP)

National Association for Environmental
Management (NAEM) - Past Member

International Facility Management Association
(IFMA) - Past Member

Safety performance improvement

Environmental management

HSE due diligence

Acquisition integration

Site decontamination and closure

HSE management systems

ISO 14001 certification

HSE compliance auditing

Facility management, building construction
and renovation

Energy management

EDUCATION & ADDITIONAL TRAINING

1984 Energy Management Diploma - University of Wisconsin

1982 Bachelor of Science, Mechanical Engineering - University of Illinois

2002 ADA, FMLA and Workers' Compensation in Illinois Seminar - Lorman Education

2002 Complete Environmental Regulations Course - Lion Technology

1994 National Safety Council Supervisor's Development Program

1991 DuPont Safety Training Observation Program (STOP)



KELLY ST. CYR

PROFESSIONAL EXPERIENCE

Honeywell

2010 - Present

IT Technical Support Manager

- Manage a team of software developers in support of Honeywell's utility project management system (BBCS).
- Provide customer/user support and project management to a variety of program's and customers that utilize the BBCS software.
- Monitor staff performance, project performance (effort/schedule/requirements), and quality of developed products.

Pfizer Research (formerly Wyeth Research)

2003 - 2010

Senior Engineer II

- Led a team of software developers and managed the simultaneous development of multiple software applications in support of Clinical and Non-Clinical scientific studies.
- Following the Software Development Life Cycle (SDLC), collected requirements, wrote design documents, wrote test documents and helped design of the underlying database.

Wyeth Research (formerly Genetics Institute)

1995 - 2003

Senior Software Engineer I

- Led the development of multiple client-server and web-based application projects using various versions of Oracle Forms as well as Perl scripts.
- As project lead, was responsible for the schedule and quality of the delivered product.

Raytheon Company

1987 - 1995

Senior Analyst

- As an analyst, provided support for the PATRIOT Missile Facility (PMF).
- Implemented the application and trained PMF personnel in Texas and Germany.

SKILLS & QUALIFICATIONS

DOD SECRET Security Clearance - Inactive (1995)

Society of Logistical Engineers (SOLE), Professional Logician (1993)

EDUCATION

University of Lowell: B.S., Mathematics, Concentration in Statistics.

Boston University: Graduate courses in Computer Information Systems including Data Communications, Database Design and C++Programming.



RICHARD MEISENHOLDER

PROFESSIONAL EXPERIENCE

Honeywell

2013 – Present

Program Manager

- Manage the operation of multiple utility-based energy efficiency programs including residential audit, low-income weatherization and air conditioner test and tune with emphasis on safety, excellent customer service and achieving program goals.
- Develop and lead on operational team of 20 employees and multiple sub-contractors to effectively execute program goals with special attention to proper safety and technical training, adherence to safety policies and procedures, quality of service delivered and team morale.
- Monitor all Programs to ensure Honeywell standards and client's energy efficiency objectives are being met.
- Maintain productive relationships with all clients through ongoing contact, attendance at meetings, and participation in industry events.
- Provide problem resolutions when necessary for customer issues.
- Create an annual operations budget, monitor performance monthly, and adjust accordingly to ensure achievement of all financial goals.
- Vet new technologies, monitor program operations for improvement opportunities and provide expert recommendations to client management in the spirit of continual improvement.

Kentucky Pollution Prevention Center

2008 - 2013

Program Manager

– Environmental Sustainability Services

- Form and manage the Kentucky Save Energy Now Program to create facility-level energy management programs that reduce energy cost by 25%.
- Create, manage and mentor the Kentucky Energy Alliance, a networking group of over two dozen energy-intensive manufacturing and large commercial facilities to work together and achieve improved energy management.
- Reached 114% of programmatic energy savings goal and 158% of GHG reduction goal.
- Responsible for creation, oversight and implementation of all technical services offered to commercial, industrial and institutional clients.
- Responsible for sales leads, work development and assignment to team of six engineers and two engineering students, including effective management and mentoring of project teams.
- Assist with the funding identification and development of grant and budget funding proposals and requests to support of sustainability program service initiatives.
- Assist the Executive Director and Assistant Director with special projects, including budget analysis and projections for the \$3MM/yr program.



Fellon-McCord & Associates

2004 - 2008

Project Engineer

- Develop engineering estimation method for sizing and pricing gas bypass pipeline based on facility demand requirements.
- Highly rated presenter in client energy seminar.
- Coordinate data, conduct analysis for utility procurement baseline reviews for regulated and deregulated clients.
- Support preparation of project proposals including development of project scope and written proposal, pricing recommendations and coordination with sales and contract departments.
- Manage and mentor Level I and Level II analysts in multiple aspects of project and client management services.
- Research and develop utility RFPs for third-party energy supply.
- Expand existing energy products, develop and deliver training materials for recurring client energy seminar.
- Evaluate, coordinate and negotiate energy-supply infrastructure and procurement for new sites.
- Research and evaluate utility bypass options for natural gas supply.
- Conduct energy audits of manufacturing facilities.

Honeywell DMC Services

2002 - 2004

Residential Energy Auditor (Part Time)

- Conducted residential energy audits throughout LG&E/KU territory in Kentucky.
- Educate residential customers on energy consumption best practices.
- Installation of water-saving and energy-conserving customer devices.
- On-site evaluation to determine breakdown of energy use.
- Final report with costs and savings for recommended projects.

Kentucky Pollution Prevention Center

1999 - 2004

Technical Coordinator

- Manage on-site technical assistance program, including supervision and coordination of technical staff to perform up to fifty P2, E2 or ISO-14001 gap assessments per year, research projects and follow-up evaluation.
- Develop, deliver and evaluate energy workshops for diverse audiences.
- Redraft the federal EPA guidebook *Energy Efficiency at Publicly Owned Treatment Works* to assess potential energy savings for wastewater treatment plants statewide in Kentucky.
- Develop and deliver municipal energy management program for Lexington, Kentucky, including a training workshop for all key departmental managers and energy audits of major facilities.



DOE Industrial Assessment Center

1997 - 1999

Manufacturing Assessor

- Led engineering student assessment teams investigating methods to reduce energy consumption, reduce amount and toxicity of waste generated and increase productivity at manufacturing facilities in Kentucky and southern Indiana.
- Researched and developed original opportunity recommendations for a wide range of manufacturing plants.
- Organized client summary reports for inclusion in a national database.

SKILLS AND OTHER QUALIFICATIONS

Proven team leader, directed successful energy engineer and technician teams.
Certified Energy Manager, Sustainable Development Professional & Business Energy Professional

Provisional ISO-50001 Auditor

Able to converse fluently with all levels of an organization

Critical thinker and team player, with a positive attitude

Created successful facility-level client energy programs

Strong communication/negotiation skills

Conducted over 200 energy and sustainability assessments

Developed and delivered half-hour to multi-day energy and sustainability training events

Knowledgeable in water efficiency, waste minimization, GHG evaluation, lean manufacturing, ISO-14001

Patient, level-headed, excellent interpersonal skills

Skilled in Excel, Word, PowerPoint

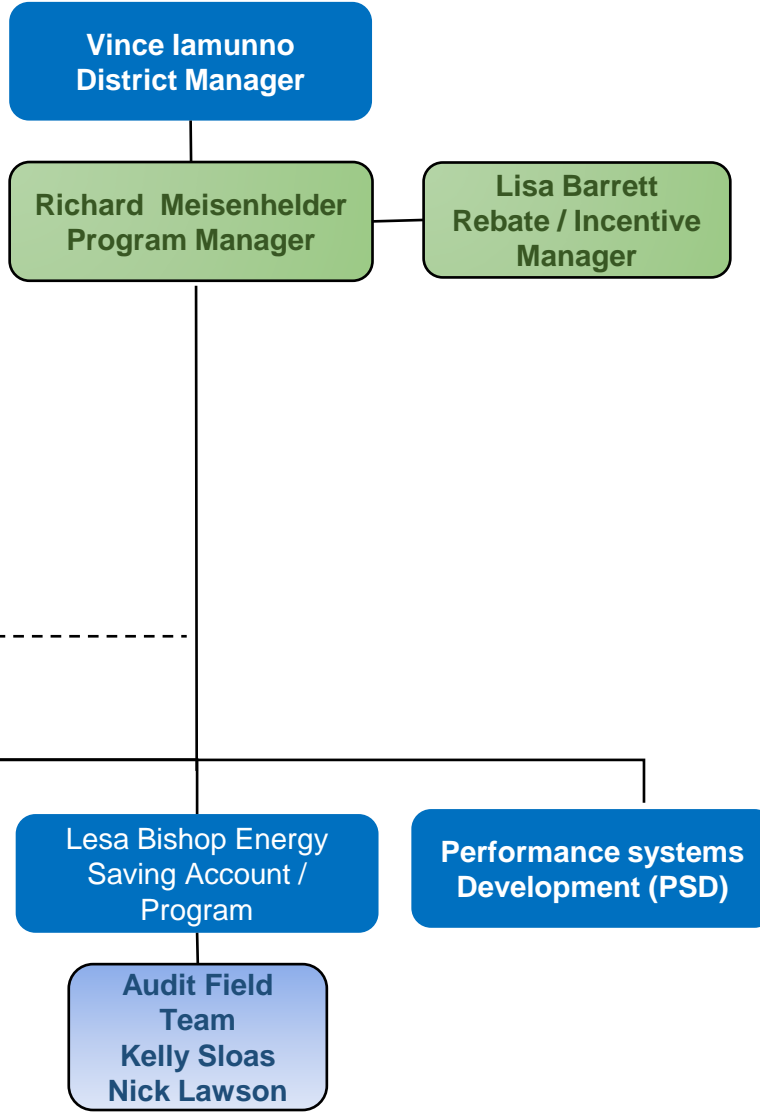
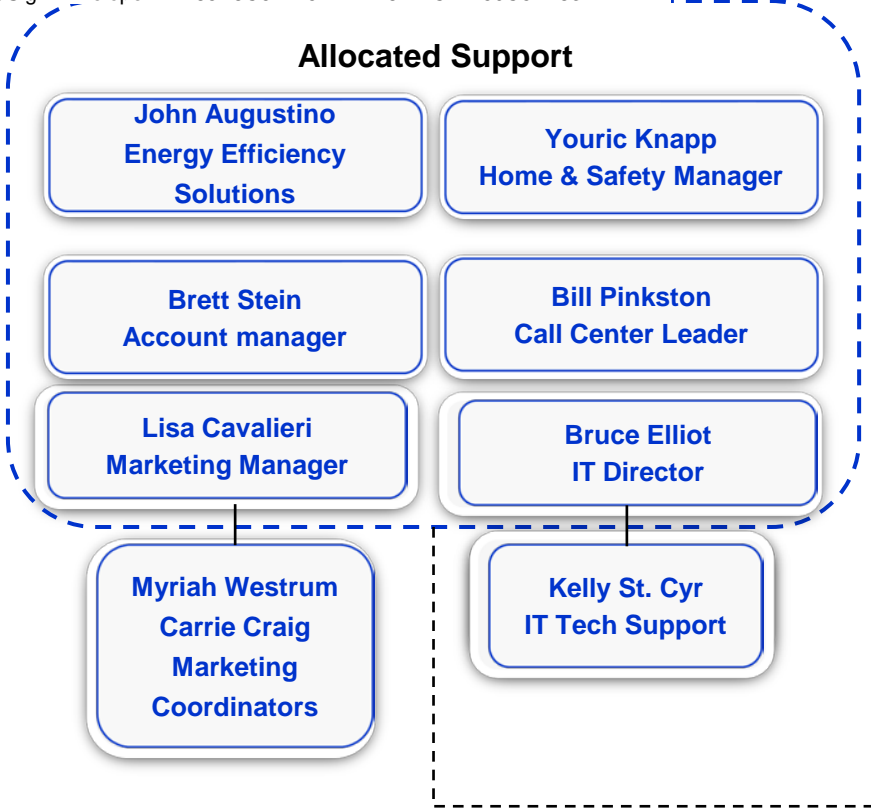
EDUCATION

University of Louisville, Louisville, KY

B.S. Chemical Engineering

➤ **ATTACHMENT E – Honeywell Organizational Chart**

Allocated Support



➤ **ATTACHMENT F – Budget Matrix**

AEP Operating Company
 Program Name
 Program Year
 Implementation Contractor

Kentucky Power
Whole House Efficiency
2016
Honeywell International - Smart Grid Solutions

<- Highlighted Cells Require Input by Contractor

PROGRAM YEAR 1

Honeywell International - Smart Grid Solutions - LABOR COSTS

Position	Hourly Rate	Hours Per FTE	# of FTEs	Total Hours	Cost
PM	\$ 94.60	478	1	478.00	\$45,219
PC	\$ 52.33	1,882	1	1,882.00	\$98,490
Admin	\$ 50.18	946	1	946.00	\$47,470
Field Supervisor	\$ 70.50	1,082	1	1,081.95	\$76,277
Field Tech	\$ 65.10	4,488	1	4,488.00	\$292,169
	\$ -	0	1	0.00	\$0
Marketing Manager	\$ 85.00	462	1	461.51	\$39,228
Rebate Processor	\$ 44.35	19	1	18.72	\$830
Customer Care Representative	\$ 36.98	3,044	1	3,044.00	\$112,564
Process/System Support	\$ 36.98	19	1	18.72	\$692
IT Support	\$ 85.00	409	1	409.31	\$34,791
Total Labor Cost		12,828	11	12,828.20	\$747,730

Honeywell International - Smart Grid Solutions - NON LABOR COSTS

Type	Cost
Incentives	\$231,980
Measure Costs	\$355,356
Marketing	\$216,171
IT Reporting	\$0
Vendor Incentives	\$0
Incentive Processing	\$885
Auditing Software	\$50,500
Total Non Labor	\$854,892

Honeywell International - Smart Grid Solutions - Total Program Costs \$1,602,622

SAVINGS GOALS AND CALCULATIONS

Contractor Provided kWh Savings Goal	3,735,660 kWh
Incentive Cost/kWh	\$0.062
Labor Cost/kWh	\$0.200
Non Labor Cost/kWh	\$0.229
Total Program Cost/kWh	\$0.429

Contractor Provided kW Savings Goal (Summer)	364 kW
Incentive Cost/kW	\$638
Labor Cost/kW	\$2,056
Non Labor Cost/kW	\$2,351
Total Program Cost/kW	\$4,407

Contractor Provided kW Savings Goal (Winter)	658 kW
Incentive Cost/kW	\$353
Labor Cost/kW	\$1,137
Non Labor Cost/kW	\$1,300
Total Program Cost/kW	\$2,437

KPCo Minimum Net kWh Savings Target	2,564,000 kWh
KPCo Minimum kW Savings Target (Summer)	351
KPCo Minimum kW Savings Target (Winter)	645
KPCo Not-to-Exceed Budget (Internal Use Only)	
KPCo Budget minus Total Program Costs (Internal Use Only)	(\$1,602,622)
Total Contractor Cost as % of KPCo Budget (Internal Use Only)	

AEP Operating Company
 Program Name
 Program Year
 Implementation Contractor

Kentucky Power
Whole House Efficiency
2017
Honeywell International - Smart Grid Soluti

-- Highlighted Cells Require Input by Contractor

PROGRAM YEAR 2

Honeywell International - Smart Grid Solutions - LABOR COSTS

Position	Hourly Rate	Hours Per FTE	# of FTEs	Total Hours	Cost
PM	\$ 94.60	478	1	478.00	\$45,219
PC	\$ 52.33	1,882	1	1,882.00	\$98,490
Admin	\$ 50.18	946	1	946.00	\$47,470
Field Supervisor	\$ 70.50	1,082	1	1,081.95	\$76,277
Field Tech	\$ 65.10	4,488	1	4,488.00	\$292,169
	\$ -	0	1	0.00	\$0
Marketing Manager	\$ 85.00	462	1	461.51	\$39,228
Rebate Processor	\$ 44.35	19	1	18.72	\$830
Customer Care Representative	\$ 36.98	3,044	1	3,044.00	\$112,564
Process/System Support	\$ 36.98	19	1	18.72	\$692
IT Support	\$ 85.00	409	1	409.31	\$34,791
Total Labor Cost		12,828	11	12,828.20	\$747,730

Honeywell International - Smart Grid Solutions - NON LABOR COSTS

Type	Cost
Incentives	\$252,770
Measure Costs	\$355,356
Marketing	\$177,964
IT Reporting	\$0
Vendor Incentives	\$0
Incentive Processing	\$986
Auditing Software	\$50,500
Total Non Labor	\$837,576

Honeywell International - Smart Grid Solutions - Total Program Costs \$1,585,307

SAVINGS GOALS AND CALCULATIONS

Contractor Provided kWh Savings Goal	3,960,280 kWh
Incentive Cost/kWh	\$0.064
Labor Cost/kWh	\$0.189
Non Labor Cost/kWh	\$0.211
Total Program Cost/kWh	\$0.400

Contractor Provided kW Savings Goal (Summer)	374 kW
Incentive Cost/kW	\$676
Labor Cost/kW	\$2,000
Non Labor Cost/kW	\$2,240
Total Program Cost/kW	\$4,240

Contractor Provided kW Savings Goal (Winter)	676 kW
Incentive Cost/kW	\$374
Labor Cost/kW	\$1,106
Non Labor Cost/kW	\$1,239
Total Program Cost/kW	\$2,345

KPCo Minimum Net kWh Savings Target	2,775,000 kWh
KPCo Minimum kW Savings Target (Summer)	377
KPCo Minimum kW Savings Target (Winter)	704
KPCo Not-to-Exceed Budget (Internal Use Only)	
KPCo Budget minus Total Program Costs (Internal Use Only)	(\$1,585,307)
Total Contractor Cost as % of KPCo Budget (Internal Use Only)	

AEP Operating Company
 Program Name
 Program Year
 Implementation Contractor

Kentucky Power
Whole House Efficiency
2018
Honeywell International - Smart Grid Solutions

<- Highlighted Cells Require Input by Contractor

PROGRAM YEAR 3

Honeywell International - Smart Grid Solutions - LABOR COSTS

Position	Hourly Rate	Hours Per FTE	# of FTEs	Total Hours	Cost
PM	\$ 94.60	478	1	478.00	\$45,219
PC	\$ 52.33	1,882	1	1,882.00	\$98,490
Admin	\$ 50.18	946	1	946.00	\$47,470
Field Supervisor	\$ 70.50	1,082	1	1,081.95	\$76,277
Field Tech	\$ 65.10	4,488	1	4,488.00	\$292,169
	\$ -	0	1	0.00	\$0
Marketing Manager	\$ 85.00	462	1	461.51	\$39,228
Rebate Processor	\$ 44.35	19	1	18.72	\$830
Customer Care Representative	\$ 36.98	3,044	1	3,044.00	\$112,564
Process/System Support	\$ 36.98	19	1	18.72	\$692
IT Support	\$ 85.00	409	1	409.31	\$34,791
Total Labor Cost		12,828	11	12,828.20	\$747,730

Honeywell International - Smart Grid Solutions - NON LABOR COSTS

Type	Cost
Incentives	\$280,920
Measure Costs	\$355,356
Marketing	\$193,143
IT Reporting	\$0
Vendor Incentives	\$0
Incentive Processing	\$1,133
Auditing Software	\$50,500
Total Non Labor	\$881,052

Honeywell International - Smart Grid Solutions - Total Program Costs \$1,628,783

SAVINGS GOALS AND CALCULATIONS

Contractor Provided kWh Savings Goal	4,260,860 kWh
Incentive Cost/kWh	\$0.066
Labor Cost/kWh	\$0.175
Non Labor Cost/kWh	\$0.207
Total Program Cost/kWh	\$0.382

Contractor Provided kW Savings Goal (Summer)	387 kW
Incentive Cost/kW	\$726
Labor Cost/kW	\$1,932
Non Labor Cost/kW	\$2,276
Total Program Cost/kW	\$4,208

Contractor Provided kW Savings Goal (Winter)	700 kW
Incentive Cost/kW	\$401
Labor Cost/kW	\$1,068
Non Labor Cost/kW	\$1,259
Total Program Cost/kW	\$2,327

KPCo Minimum Net kWh Savings Target	2,976,000 kWh
KPCo Minimum kW Savings Target (Summer)	405
KPCo Minimum kW Savings Target (Winter)	753
KPCo Not-to-Exceed Budget (Internal Use Only)	
KPCo Budget minus Total Program Costs (Internal Use Only)	(\$1,628,783)
Total Contractor Cost as % of KPCo Budget (Internal Use Only)	

NOTES TO PRICING

Honeywell submits this bid contingent upon incorporating the redline changes made to Attachment C General Terms and Conditions for the Act 129 Services Agreement, as attached, or as otherwise may be agreed upon between the parties.

- 1 Pricing is valid for 90 days from submittal.
- 2 Payment shall be made on net 45-day terms, billed monthly.
- 3 Pricing does not include applicable taxes.
- 4 Above pricing based on volumes stated. Significant changes in volume will impact pricing.
- 5 Any licenses and/or permits required to perform the work will be billed as pass-thru.
- 6 Services and deliverables which are not shown are not included in the estimate and will be billed separately.
- 7 Any additional services or deliverables requested by PSD would be pre approved and billed at a prenegotiated rate.
- 8 Honeywell is responsible to execute the marketing plan however is not responsible for the customer response. If additional customer
- 9 Prices provided for marketing deliverables are estimated based on current market rates and Honeywell assumptions regarding paper
- 10 Price quotes for bill inserts include design costs only.
- 11 Any postage fees will be paid by utility to US post office or mail house.

➤ **ATTACHMENT G – Certificate of Insurance**

MEMORANDUM OF INSURANCE

This memorandum is issued as a matter of information only to authorized viewers for their internal use only and confers no rights upon any viewer of this Memorandum. This Memorandum does not amend, extend or alter the coverages described below. This Memorandum may only be copied, printed and distributed within an authorized viewer and may only be used and viewed by an authorized viewer for its internal use. Any other use, duplication or distribution of this Memorandum without the consent of Aon Risk Services, Inc. is prohibited. "Authorized Viewer" shall mean an entity or person which is authorized by the insured named herein to access this Memorandum via <http://honeywell.com/sites/moi/>. The information contained herein is as of the date referred to above. Aon Risk Services, Inc. shall be under no obligation to update such information.

Producer: Aon Risk Services, Inc. Questions please contact: ACS.Chicago@aon.com	INSURERS AFFORDING COVERAGE			
Insured: HONEYWELL INTERNATIONAL INC. P. O. BOX 1219 101 COLUMBIA ROAD MORRISTOWN, NJ 07962	Insurer	A	Greenwich Insurance Company	
	Insurer	B	XL Insurance America	
	Insurer	C	XL Specialty Insurance Company	
	Insurer	D		

Coverages

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED, NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS MEMORANDUM MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED BELOW IS SUBJECT TO ALL THE TERMS, CONDITIONS AND EXCLUSIONS OF SUCH POLICIES. AGGREGATE LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

CO LTR	Type of Insurance	Policy Number	Policy Effective Date	Policy Expiration Date	Limits
A	General Liability <input checked="" type="checkbox"/> Commercial General Liability <input type="checkbox"/> Claims Made <input checked="" type="checkbox"/> Occur. Gen'l Aggregate Limit Applies <input checked="" type="checkbox"/> Policy <input type="checkbox"/> Project <input type="checkbox"/> Loc	RGC943763002	4/1/2015	4/1/2016	Each Occurrence \$ 5,000,000 Damage to Rented \$ 5,000,000 Med Exp (Any one) \$ 50,000 Personal & Adv Injury \$ 5,000,000 General Aggregate \$ 5,000,000 Products – Comp/Op. \$ 5,000,000
A	Automobile Liability <input checked="" type="checkbox"/> Any Auto <input type="checkbox"/> All Owned Autos <input type="checkbox"/> Scheduled Autos <input checked="" type="checkbox"/> Non-Owned Autos	RAC943764202 RAC943764302 (NH) RAO943764502 (NH)	4/1/2015	4/1/2016	Combined Single Limit \$ 5,000,000 Combined Single Limit \$ 1,000,000 Excess Auto NH \$ 4,000,000 Bodily Injury (Per Person) \$ Property Damage \$
	Excess/Umbrella Liability <input type="checkbox"/> Occurrence Reported <input type="checkbox"/> Claims Made <input type="checkbox"/> Occur. <input type="checkbox"/> Deductible <input type="checkbox"/> Retention \$				Each Occurrence \$ Aggregate \$
B C C C	Workers' Compensation and Employers' Liability (Insured States)	RWD943540302 RWC943540202 (AK, WI)	4/1/2015	4/1/2016	xx Statutory Limits E.L. Each Accident \$ 5,000,000 E.L. Disease – Each \$ 5,000,000 E.L. Disease – Policy Limit \$ 5,000,000
C	Excess Workers' and Employers' Liability Self-insured States only	RWE943540402 (AZ, OH, WA) RWE943540502 (NM)	4/1/2015	4/1/2016	Excess Workers' Compensation statutory limits excess of \$1,000,000. Employers' Liability: \$5 million for each

Additional Information

The following coverage endorsements apply to the extent the coverage is required by contract:

Blanket additional insured endorsement is included on the applicable policies shown above, except Workers' Compensation.

Blanket contractual liability is included on the applicable policies shown above, except Workers' Compensation.

A waiver of subrogation is included on the applicable policies shown above.

Honeywell will provide the ISO endorsement form numbers upon request.

This Memorandum of Insurance serves solely to list insurance policies, limits and dates of coverage. Any modifications hereto are not authorized. Any party with which the named insured is contractually required to include special status is automatically granted such status. However, coverage under the policy only applies to the extent of the coverage required by such contractual requirement and for the limits of liability specified in such contractual requirement, but in no event for insurance not afforded by the policy nor for limits of liability in excess of the applicable limits of liability of the policy. Any questions on this form may be referred via email to the Aon Risk Services, Inc. email address noted above.

➤ **ATTACHMENT H – Security Questionnaire Supplement**

- I.1.2 **Ethical Hacking.** During the calendar year 2015, Honeywell, utilizing an independent third party, will conduct a penetration test specific for the BBCS application. The results of this test will be shared in a summary format (high, medium, low) with corrective actions taken. If required, a follow-up summary will be provided with additional corrective actions taken.
- I.2 **Secure Systems Development Lifecycle (SDLC) Code Review**
Contractor's Systems Development Life Cycle (SDLC) shall include security best practices within the key development phases of the code. This should include code reviews using industry standards.
- I.3 **Secure System Hardening Systems**
Contractor should ensure that a formal, documented configuration standard exists for building and managing target systems. This should include key configuration and hardening requirements in accordance with industry security best practices, to reduce the risk of compromise.
- I.4 **Systems Patching**
Contractor shall implement an effective software update management process to ensure the most relevant, up-to-date, approved patches are installed for all authorized software. This process should also include weighing the benefit associated with installing a patch to resolve vulnerability against other factors, including the potential impact to system stability.
- I.5 **Application Security Program Governance**
Contractor shall manage the application development activities, methodologies and application security risk. Application security should be part of an organization's overall risk governance framework.
- I.6 **Application Security Vulnerability Assessment and Remediation**
Contractor shall ensure that application security vulnerabilities are assessed for business risk and impact, and have a vulnerability remediation plan.
- I.7 **Application Security SDLC Phases**
Contractor shall ensure that security requirements are part of the key phases of their internal SDLC program. This process should ensure that security reviews, security scans and security signoff occurs at applicable phases.
- I.8 **Security Review of Internal and External Applications**
Contractor shall perform security reviews of applications developed internally, as well as third party applications that process, store or transmit target data.

I.9 Application Security Awareness Training Content

Contractor shall ensure that the content of its application security program incorporates current and relevant security attacks and vulnerabilities mitigation, and that the course content is applicable to the organization and its environment

I.10 Application Security Awareness Training Content and Certification

Contractor should ensure that its software developers are aware of application security and secure coding best practices, that they attend a formal application security training program at least annually and that they pass an application security exam upon course completion.

J. Information Security Incident Management

Contractor should have incident response programs that include formal event reporting and escalation procedures that should be clearly communicated throughout the organizations, and should include the active participation of incident response members with clearly defined roles and responsibilities.

J.1 Information Security Incident Management Policy & Procedures Content

Contractor should establish a formal information security event reporting procedure, together with an incident response and escalation procedure to be executed in the event of a potential incident.

J.1.1 Any probable or confirmed compromise, unauthorized disclosure, exposure or loss of Owner information must be reported to Owner within 24 hours of Contractor's awareness of the event. Notification shall include the nature of the event, date and time of the event, suspected amount of information exposed and steps being taken to investigate the circumstances of the exposure. Upon completion of the investigation Contractor shall provide Owner with all details of the investigation and final disposition of the incident.

K. Business Continuity Management

Contractor should incorporate business continuity considerations into the overall design of their business model to mitigate the risk of service disruptions and the impacts of those within the supply chain. This should include an enterprise-wide, process-oriented approach that considers technology, business operations, testing, and communication strategies that are critical to business continuity planning for the entire business.

K.1 Business Impact Analysis

Contractor should conduct an assessment and prioritize all business functions and processes, including their interdependencies, as part of a workflow analysis. This assessment should also evaluate the potential impact of business disruptions resulting from uncontrolled, non-specific events on the organization's business functions and processes.

K.2 Threat Assessment

Contractor should create and maintain an in-depth business threat assessment that includes realistic threat scenarios such as malicious activity, natural and technical disasters, and pandemic incidents. The magnitude of the business disruption should consider a wide variety of threat scenarios, including capacity.

K.3 Business Continuity Governance

Contractor should create and maintain an in-depth business continuity governance plan that documents the program details, the decision making and communication process, and defines who is responsible for which components of governance.

K.4 Business Process Level Readiness

Contractor should create and conduct business continuity planning and analysis to be able to evaluate the business continuity readiness of end-to-end business processes.

K.5 Business Continuity Threat Assessment

Contractor should create and maintain realistic threat scenarios which consider internal, business partners, and customers. These threat scenarios should focus both on the impact of the threat as well as the nature of the threat.

K.6 Business Continuity Process Testing

Contractor should create and maintain detailed business continuity test plans. These should include scoping the business process and identifying the dependencies, as well as detailed testing to complete a realistic and thorough test.

L. Compliance

Contractor should ensure compliance of information systems with the organizational security policies, and standards to include regularly checking systems against compliance with security implementation standards and regulatory requirements.

L.1 Presence of Log-On Banners

Contractor should ensure that at log-on all users accessing target systems are made explicitly aware of the company's legal and internal terms of use. This

should include a message indicating the right and restrictions that apply.

L.2 Technical Compliance Checking – Vulnerability Testing and Remediation

Contractor shall ensure that external facing systems are regularly scanned for compliance against industry security standards including SANS 20, and that any applicable detected vulnerabilities are remediated.

L.2.1 Contractor agrees that they will use commercially reasonable efforts to identify and notify Owner in writing of any vulnerabilities, risks and threats that impact the solution within seven (7) working days of identification and provide guidance as to how the patches or remediations are to be deployed.

L.2.1.1 Notifications shall include detailed information regarding operating system patches that may impact the solution.

L.2.1.2 These requirements shall be in effect for the duration of the usable life of the solution at no additional cost to Owner.

L.2.1.3 Contractor shall provide a remediation timeline for all vulnerabilities to be reviewed by and agreed upon by Owner.

M. Fourth Party Management

The Contractor should have a documented policy and procedure as part of their overall information security policy to manage and assess risk of their own third party subcontractors. This should include processes that encompass risk assessment, onboarding, termination and regular assessment of the third party.

M.1 Subcontractor Selection and Management Process

The Contractor should have a subcontractor selection and management process in place.

M.2 Subcontractor Contracting Process

Contractor shall have contracts in place with all subcontractors who store, process, manage or access Owner data.

M.2.1 Contractor shall not contract with a third-party for any aspect of the provision of this service without full disclosure to and authorization of Owner.

M.2.2 Contractor shall require all Third party contractors and subcontractors that will be employed by Contractor to abide by the terms and conditions contained in the Contract and this Supplement.

M.3 Documenting Information Security Assessments for Subcontractors

Contractor should have a documented process in place to address information security assessments and risk as it relates to third party contractors.

M.4 Calculation of Subcontractor Information Security Risk

Contractor should have a method for calculating information security risk as it relates to subcontractors.

M.5 Information Security Review Process – Tracking and Risk Rating

Contractor should track open issues that result from their third party subcontractor's information security review process and assign a risk rating to issues.

N. Management of Privacy Programs

Contractor should establish a management framework to control and manage their privacy program. This should include the overall management of the privacy program within the organization and with all third parties that have access to target privacy data. The privacy program should include: individuals responsible for the creation, oversight and maintenance of the program; all third parties meeting their commitments under the organization's business requirements, privacy applicable law, policy and industry best practices; and the protection and privacy of target privacy data through its life cycle of collection, storage, usage, sharing, transferring, securing, retention and destruction.

N.1 Target Privacy Data Inventory and Flows

Contractor should inventory, define by data subject category and assign ownership for target privacy data and document its flow through the data life cycle of collection, storage, use, sharing, trans-border flows, retention and retirement through the organization and its third parties.

N.2 Privacy Policy and Privacy Notices

Contractor shall provide management policy, direction and support for information privacy in accordance with privacy business requirements and privacy applicable law. It should demonstrate support for, and commitment to, information privacy through the issue, acceptance and maintenance of a privacy policy across the organization. It should, where required, communicate that commitment to data subjects via privacy notices and where applicable gain their

consent and seek their permission for certain uses of target privacy data. It should ensure that third parties' privacy policies and privacy notices are consistent with its privacy policy and privacy notices. The privacy policy and privacy notices should incorporate the key areas of privacy and should be reviewed at planned intervals (at least annually), or if significant changes occur, to ensure continuing suitability, adequacy and effectiveness.

N.3 Privacy Organization and Program Maintenance

Contractor should ensure that the organization and third parties each have a designated privacy individual responsible for its privacy policy and program. The privacy program should contain enforcement and monitoring procedures and a change management procedure to remain current with privacy changes in business requirements, privacy applicable law, policy and industry best practices.

N.4 Privacy Third Party Agreements

Contractor shall ensure that all agreements with third parties contain specific clauses to ensure target privacy data is protected and that certain other privacy requirements are included.

N.5 Legal Authorizations

Contractor and its third parties shall have completed the applicable notifications, registrations, permit, approvals and/or adequacy derogations as required by privacy applicable law.

N.6 Management of Target Privacy Data

Contractor shall ensure that collection, storage, use, access, sharing, transport, retention and deletion of Client Target Privacy Data is in accordance with privacy applicable law, privacy policy, privacy notices and industry best practice, and is represented in their documented procedures, and that these procedures are maintained.

N.6.1 Contractor shall provide full disclosure of all locations (city, state and/or country) of potential data storage or processing. Owner shall have the right to prohibit their information from being stored in any location based on Owner's assessment of risk.

N.6.2 Data would be stored in one of two US based Honeywell data centers which are located in Arizona and Maryland.

N.6.3 Contractor shall certify that they have complied with Owner's prohibition in writing.

N.7 Privacy Awareness

Contractor and its third parties shall ensure that privacy awareness training occurs at least annually and attendance reports for their employees are maintained.

N.8 Privacy Event Notification and Response Management

Contractor shall establish a formal privacy communication procedure, integrated with the security incident response and escalation procedure to be executed in the event of a potential breach or other required privacy communication requirement to data subjects or other entities, including government agencies.

O. Cloud Services

Unless otherwise agreed by all parties, information stored for multiple customers must be logically separated to preclude one customer from accessing another customer's information.

Change Control Plan

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Scope

This document will outline an approved process for handling Change Control including, but not limited to, documentation, approval, rejection and reporting. This process shall be used to make changes to the existing work outlined and approved by all parties in the executed contracting instrument. The process shall be used to make adjustments to the existing work including adding measures, changing incentives and other minor changes. This does not include revisions to the general terms and conditions, payment terms or length of the contract. This document shall not be used in the addition of work that could be defined under a separate executed contracting instrument. For example, this shall not be used to separate funding to add a program in place of following the Procurement Policy.

A. Change Control Board

A formally constituted group of stakeholders responsible for reviewing, evaluation, approving, delaying, or rejecting changes to a project, with all decisions and recommendations being recorded.

A Change Control Board (CCB) will be defined to review, approve, reject and disposition any submitted changes to the project. The CCB will include a representative from AEP and a representative from the vendor. The representatives from the AEP and the vendor will have the decision making responsibility in the CCB. The CCB will have authority to approve, reject or delay any submitted Change Order at any step in the process and the decision will be recorded.

Note - If the change impacts the budget of the program, the AEP CCB members will have the authority to review and accept the Change Order but not the authority to sign the document. See CCB Approves/Rejects Change section for additional details.

a. CCB Matrix

AEP Approver	Vendor Approver
EJ Clayton	Stan Vandernoot

B. Change Order Form

Requests to expand or reduce the project scope, modify policies, processes, plans, or procedures, modify costs or budgets, or schedules.

The Change Order Form is the formally approved document used in the Change Order process. Any supporting documentation for the change should be attached to the Change Order and retained according to this Change Order Plan. Change Orders will be numbered based on the date of the

Change Order and the incremental number of the orders. The first Change Order will be 1. For example on 12/9/2013 the first Change order will be numbered CO1209131.

C. Change Order Manager

A Change Order Manager will be established to help facilitate the movement of changes for the project. The Change Order Manager will monitor the changes from creation to closure and will be the administrator responsible for the changes.

Change Control Manager	Scott Bishop
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D. Change Control Log

The Change Control Log will be used to document changes associated with this project. It will keep the following information at a minimum:

- a. Date of Creation***
- b. Number of the Change Order***
- c. Date Submitted to CCB***
- d. Disposition***
- e. Short Description***

E. Change Order Process

a. Identify Change

Any stakeholder in the project may identify a need for a change in the project or the product.

b. Initiate Change Order

The stakeholder that identifies the change may initiate the process by completing the section identified in the Change Order Form. The stakeholder that identifies the change

may also defer to another stakeholder to complete the form but that stakeholder should be involved in the completion of the form to ensure the change is captured correctly.

c. Submit Change Order

Once the Change Order has been initiated and the sections identified in the Change Order Form have been completed the form will be submitted to Change Order Manager. The Change Order Manager will log the change and include it in the weekly meetings, defined in the Communication Plan, for the CCB to complete an initial review. This initial review will allow the CCB to analyze the change and determine if it is something that should be investigated.

On determination that the change should be further investigated the CCB will accept the Change Order by assigning it a number.

If the Change Order is rejected it will follow the steps listed in the Change Order Rejection section.

d. Assign Change Order

Once the Change Order has been accepted by the CCB the Change Order Manager will work with representatives from the appropriate organization to assign it to the appropriate Subject Matter Expert(s) (SME). The appropriate SME(s) will be determined by the point of contact for the corresponding group as identified in the Communication Plan.

e. Create High Level Estimate for Investigation

The assigned SME(s) will be responsible for creating a top down estimate on the hours and material required to investigate the Change Order. The SME(s) will provide this information to the Change Order Manager to be recorder in the appropriate section of the Change Order Form.

f. Approve Investigation

Once the Change Order Form has been updated, the CCB will review the estimate to approve the investigation into the change.

If the Change Order is rejected it will follow the steps listed in the Change Order Rejection section.

g. Change Impacts Reported

Once the Change Order is approved, the SME(s) will investigate, from a bottom up level, the impact to the following as a minimum to the CCB for review of the Change Order. The Change Order Manager will enter this information into the Change Order Form in the appropriate sections.

i. Cost

All costs associated with the change must be reported on the Change Order Form. These may include, but are not limited to, labor costs, material costs or consulting costs.

ii. Schedule

All impacts to the schedule must be reported. This includes, but is not limited to, float days, critical path, completion date and adjustments needing to be made because of holidays and vacations.

iii. Hierarchy of Changes

Once the project has started it is understood that there may be multiple Change Orders that are open, being worked on or waiting for resources. It must be communicated where this change will fall on the priority list and how that impacts the hierarchy of changes.

iv. Open Changes

Once the project has started it is understood that there may be multiple Change Orders that are open, being worked on or waiting for resources. It is understood that a change can impact specific items associated with open changes. This includes, but is not limited to, tasks, deliverables, milestones or resources allocation. The impacts to the other open changes must be communicated.

h. CCB Approves/Rejects Change

After the SME(s) have updated the Change Order document the CCB will review the document. During this review the CCB is given the opportunity to ask additional questions to the SME(s) to obtain further clarity on the change and its impacts. The SME(s) will be given additional time if needed to provide answers to these questions. This length of time given will be agreed on by both the CCB and the SME(s).

Once the Change Order has been finalized it will be submitted to the Vendor's CCB for approval. After the Change Order has been signed by the authorized agent from the Vendor the Change Order will be routed to AEP's CCB.

Each CCB will be given 5 business days to approve the change. This duration does not include time for the SME(s) to respond to questions about the change. Once the SME(s) respond the time for the CCB to approve the change will reset and each CCB will have 5 business days to approve the change.

If a CCB cannot approve the change within the 5 day time period the change will be passively rejected. If the Change Order is rejected it will follow the steps listed in the Change Order Rejection section.

If a CCB member is unavailable during the approval period of the change, the missing member can either select a replacement to fill in or the member may choose to delay all approvals until they return. The max duration for a CCB member to be absent and select to delay all approvals is 5 business days. The CCB member must select a replacement for any planned absence beyond five (5) days. In the event of an unexpected absence, the CCB's supervisor may select a replacement.

If the change impacts the budget of the program, the AEP CCB member(s) will have the authority to review and accept the Change Order but not the authority to sign the document. Once the Change Order has been accepted, the Change Order Manager will be responsible to obtain signatures from an authorized signee at the dollar level of the total budget with the addition for the change for the correct business unit.

It is the role of the Change Order Manager to track the dates and timing of the change in the Change Order Log.

i. Project Baseline Update/Distribution

Once the change has been approved the Change Order Manager will work with the project leaders to update the cost and delivery baselines in the Project Plan. After this has been completed the Change Order Manager will send an email to the appropriate stakeholders to notify them of the changes to the baseline. The Change Order Manager may attach any supporting document required to help the recipients understand the change.

The Change Order Manager will facilitate a meeting to update the Risk Register based on the change. The Change Order Manager will work with the appropriate groups to identify the attendees required for this meeting. During this meeting the Risk Register will be reviewed and updated.

F. Change Order Rejection

At any time the Change Order can be rejected. If the Change Order is rejected, it will be updated in the appropriate section and the Change Order will follow the document retention section of this document. Any rejected Change Order can be resubmitted to the CCB at any time. The resubmitted Change Order will be assigned a new number and the Change Order will be treated as a new Change Order but will be noted as a resubmission.

G. Document Retention

All Change Order Forms and supporting documents will be kept through the life of the project. These documents will be stored in a manner that allows easy access to any stakeholder. At the completion of the project, in the closing phase, the team should review the changes and update the lessons learned document from lessons learned based on the changes to the project. After this has been completed the Change Order Manager can disposition the Change Orders and the associated documentation.

H. Glossary

Risk Register – The document containing the results of the qualitative risk analysis, quantitative risk analysis, and risk response planning. The risk register details all identified risks, including description, category, cause, probability of occurring, impacts(s) on objectives, proposed responses, owners, and current status.

AMERICAN ELECTRIC POWER SYSTEM ENERGY DELIVERY TOTAL COST

COMPANY: Kentucky Power Company **REGION:** Distribution/East
PROJECT: Whole House Efficiency **PROJECT #:** KYDSM0019
BUDGET ID#: _____ **CI or CPP NUMBER:** _____ **Authorized Amt.:** \$4,816,712
027530170026X
TYPE OF CONTRACT: _____ **CONTRACT NUMBER:** 110
CONTRACTOR: Honeywell
SCOPE OF WORK: Turn-key implementation services for Demand Side Management program.

PROJECT DATES:	PROJECT FUNDS:
<i>BID DATE:</i>	10/8/2015
<i>START DATE:</i>	1/1/2016
<i>COMPLETION DATE:</i>	12/31/2018

SUMMARY OF PROJECTED COSTS:	ORIGINAL*	REVISION 1	REVISION 2	REVISION 3	REVISION 4	REVISION 5
<i>Contract Award Value</i>						
<i>Implementation</i>						
<i>Operations & Maint.</i>	\$4,051,042					
<i>Incentives</i>	\$765,670					
Total	\$4,816,712					
<i>Contract Changes:</i>						
<i>Implementation</i>						
<i>Operations & Maint.</i>						
<i>Incentives</i>						
Total						
<i>Premium Time:</i>						
<i>Field Extras:</i> (Contingencies)						
<i>Escalation:</i>						
<i>Miscellaneous:</i>						
TOTAL FROM ABOVE	\$4,816,712	\$0	\$0	\$0	\$0	\$0
TOTAL EVALUATED COST:	\$4,816,712	\$4,816,712	\$4,816,712	\$4,816,712	\$4,816,712	\$4,816,712

APPROVED BY:	PREPARED BY:	
Signature:	Name: Jennifer Downey	Original signed by: Rev 1 signed by: Rev 2 signed by: Rev 3 signed by:
Name: Ranie Wornhas	Organization: Distribution Procurement	
Title: Managing Director Regulatory and Finance	Date: 4/5/2016	
Date: 4/6/2016 10:22 AM ET		

Certificate Of Completion

Envelope Id: 785B8C6D264742B8B1CEF60C5E1834FB	Status: Completed
Subject: Work Authorization No. 027530170026X110 - Honeywell - Whole House Program	
Source Envelope:	
Document Pages: 119	Signatures: 3
Certificate Pages: 3	Initials: 3
AutoNav: Enabled	Envelope Originator:
Envelopeld Stamping: Enabled	Jennifer Downey
Time Zone: (UTC-05:00) Eastern Time (US & Canada)	1 Riverside Plz FL 1
	Columbus, OH 43215-2373
	jldowney@aep.com
	IP Address: 167.239.221.81

Record Tracking

Status: Original	Holder: Jennifer Downey	Location: DocuSign
4/1/2016 3:51:36 PM	jldowney@aep.com	

Signer Events

Matthew Curtis
mpcurtis@aep.com
Mgr, T & D Contracts

American Electric Power Service Corporation
Security Level: Email, Account Authentication (None)
Electronic Record and Signature Disclosure:
Not Offered via DocuSign
ID:

Signature

Using IP Address: 167.239.221.86

Timestamp

Sent: 4/5/2016 4:35:00 PM
Viewed: 4/5/2016 4:54:57 PM
Signed: 4/5/2016 4:55:04 PM

Scott Bishop
sebishop@aep.com

Security Level: Email, Account Authentication (None)

Using IP Address: 167.239.221.84

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Viewed: 4/6/2016 8:38:04 AM
Signed: 4/6/2016 9:31:25 AM

Electronic Record and Signature Disclosure:
Accepted: 12/31/2014 11:09:00 AM
ID: 1477c2e8-a1c4-4fa5-8d85-0cab2b6468bc

Ranie Wohnhas
rkwohnhas@aep.com

Managing Director Regulatory and Finance
Security Level: Email, Account Authentication (None)

DocuSigned by:

B567756C5E6248F...

Using IP Address: 167.239.221.85

Sent: 4/6/2016 9:31:28 AM
Viewed: 4/6/2016 10:19:58 AM
Signed: 4/6/2016 10:22:09 AM

Electronic Record and Signature Disclosure:
Accepted: 4/6/2016 10:19:58 AM
ID: 75797a98-88aa-445b-81df-e2481fe28b18

Stan Vandernoot
stan.vandernoot@honeywell.com
Sr. Contracts Mgr.

Security Level: Email, Account Authentication (None)

DocuSigned by:

4EE360B694BD4A0...

Using IP Address: 199.64.6.155

Sent: 4/6/2016 10:22:11 AM
Viewed: 4/6/2016 10:44:37 AM
Signed: 4/8/2016 11:00:01 AM

Electronic Record and Signature Disclosure:
Accepted: 4/8/2016 10:59:34 AM
ID: ffe8ce6-6494-4e37-bb8a-94610897d5db

In Person Signer Events

Signature

Timestamp

Editor Delivery Events

Status

Timestamp

Agent Delivery Events	Status	Timestamp
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Intermediary Delivery Events	Status	Timestamp
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Certified Delivery Events	Status	Timestamp
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Carbon Copy Events	Status	Timestamp
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Kristen Huckaby kjhuckaby@aep.com Supervisor, T&D Contract Administration American Electric Power Service Corporation Security Level: Email, Account Authentication (None) Electronic Record and Signature Disclosure: Not Offered via DocuSign ID:	<div style="border: 2px solid blue; padding: 5px; display: inline-block;">COPIED</div>	Sent: 4/8/2016 11:00:05 AM
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Notary Events	Timestamp
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Envelope Summary Events	Status	Timestamps
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Envelope Sent	Hashed/Encrypted	4/8/2016 11:00:05 AM
Certified Delivered	Security Checked	4/8/2016 11:00:05 AM
Signing Complete	Security Checked	4/8/2016 11:00:05 AM
Completed	Security Checked	4/8/2016 11:00:05 AM

Electronic Record and Signature Disclosure
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ELECTRONIC RECORD AND SIGNATURE DISCLOSURE

Each party agrees that the electronic signatures, whether digital or encrypted, of the parties included in this Agreement are intended to authenticate this writing and to have the same force and effect as manual signatures. Electronic signature means any electronic sound, symbol or process attached to or logically associated with a record and executed and adopted by a party with the intent to sign such record.

Please confirm your agreement by clicking the 'I agree' button at the bottom of this document.